

Section IV: Schedule of Requirements

Terms of reference (TOR)

Request for Proposal for the supply of Knowledge Product on “Smart technologies for more equitable city economies”

INTRODUCTION

The Cities Alliance is the global partnership for the promotion of cities in poverty reduction and sustainable development. Headquartered in Brussels, it is a unique partnership with diverse members – local authorities, national governments, international non-governmental organisation, foundations and multi-lateral organisations – which have come together to strengthen both impacts and coherence in urban development. Cities Alliance is hosted by the United Nations Office for Project Services (UNOPS).

Cities Alliance has established a joint Work Programme (JWP) focused on fostering equitable economic growth in cities. The JWP aims to better understand and address the link between public service provision and equitable economic growth trajectories in cities. To accomplish this goal, it works with local governments, city stakeholders and development partners to produce global knowledge, facilitate policy dialogues and support city-level diagnostics and policy recommendations to respond to the challenges of inequitable economic growth in cities. The JWP is funded and chaired by the UK Department for International Development (DFID), actively facilitated by the Cities Alliance Secretariat. Further information on the JWP can be retrieved at: <http://www.citiesalliance.org/equitable-econ-growth>.

The JWP is seeking to investigate and collect cases in which the application of new smart technologies in cities have fostered – or have the potential to foster – a more productive and inclusive environment for the urban poor. It is therefore looking for an entity to produce a knowledge product on “**Smart technologies for more equitable city economies**”

BACKGROUND

Over the last decade, the statement that “cities are engines of economic growth” has been often repeated. Yet, nothing is certain about growth trajectories of cities. Many struggle to increase productivity and provide basic economic opportunity to growing populations. The inability of urban labour markets to provide economic opportunity to growing populations has led to widespread informality. In most developing regions informal employment represents more than half of non-agricultural employment. In all cities, high inequality – both income and opportunity – threatens economic growth and human development.

“Smart cities” has become a significant concept common not only in global dialogues and discourses but also informing development approaches and policy responses by a number of local governments in rapidly urbanizing partner countries of the Cities Alliance partnership. At its core lies various technical associations of sensing, data-driven urban systems designed to improve government services, enhance local economies, reduce natural resource consumption and waste, and deepen citizens’ engagement with governments and each other. However, country operations of the Cities Alliance suggest that these approaches often fall short of producing inclusive and pro-poor outcomes, and are difficult to apply in data and investment scarce environments, especially in Secondary Cities in Sub Sahara Africa. In addition, there is a growing account of experiences indicating that an uncontextualized application of technology-driven approaches to data monitoring in cities may create adverse developmental effects, such as exclusionary governance practices.

Against this background, this activity seeks to investigate and collect cases in which the application of new smart technologies in cities have fostered a more productive and inclusive environment for the urban poor. Solutions enabled by new technologies; driven by the needs and agency of the urban poor. It will lead to a knowledge product that identifies concepts for, and applications of, new people-centred and technology driven approaches that may inform an inclusive approach to smart cities, based on case studies demonstrating how technologies can be used to foster more equitable economic development.

The project intends to refocus the smart city concept in two ways, based upon evidence, ideas and inspiration from cities around the world.

First, to be **suited for the conditions of secondary cities in rapidly urbanising countries**, most of which are low and lower middle-income countries with high rates of urban informality and poverty. Many secondary cities in these countries are characterised by limited financial resources, little public and private investments, large service deficits and infrastructure backlogs, as well as dearth of reliable data. While these conditions limit the application and effectiveness of traditionally conceived technology-driven smart solutions, they are simultaneously the settings where new technologies could make a real difference by circumventing the heavy investments often required to support traditional networked infrastructure.

Secondly, focus will be on the solutions that are **driven by the needs of the urban poor**, which will require inclusivity, extensive consultation and ideally ownership by urban residents, workers and business owners themselves. In fact, much of the available data particularly in underserved secondary cities and informal settlements in Sub-Saharan Africa is collected by organisations of the urban poor themselves. Bottom-up approaches to technology development, application and ownership in cities allows not only for better solutions (adapted to the needs and realities of users) but also for more long-term sustainable ones, particularly in contexts of weak public institutions and formal governance structures. Inclusive approaches, hence, would mean inclusion both in terms of end usage and in development and application.

The knowledge product will be based on case studies and ideas reflecting these criteria in order to facilitate a better understanding of how to create truly smart secondary cities: cities that harness new technologies to foster more inclusive, equitable and vibrant economies.

OBJECTIVE, APPROACH AND METHODOLOGY

The aim of the project is to suggest a revised understanding of the smart city concept and to identify technologies applicable to data scarce environments, aimed at reducing inequalities and to foster more inclusive urban economies. The findings should be presented in a final report that will be used to inform policy dialogues and inspire approaches to further technical assistance and cooperation with cities in rapidly urbanizing countries.

The assignment and resulting knowledge product should be comprised of two main parts. First, a revised conceptual model of the smart city concept and a guiding theory of change, adapted specifically to work for the urban poor in secondary cities in rapidly urbanising countries. This should include extensive engagement with relevant literature and analysis of documented cases and approaches. The development of the conceptual model and theory of change will be documented in an initial Concept Paper (see output table below).

Second, the model should be supported, documented and thoroughly tested, refined and substantiated through a case study research methodology. The knowledge product should include at least two cases, documented and analysed using both desk and on-site field research. While documenting contextually rooted approaches and solutions, the case studies will aim to provide an evidence base and to identify good, transferable, principles (and, if possible, practice). The Technical Proposal of the bidder should include an outline of a case study selection methodology (including selection criteria) and examples of suggested, tentative, cases. The case study selection methodology as well as the suggested cases should be further elaborated in the inception report, based on which the final selection will be done by the Cities Alliance Secretariat.

The case study selection should take into consideration the following principles:

- Geographic spread: All cases should have been developed and/or applied in a secondary city context in Sub-Saharan Africa and/or South/Southeast Asia, at least one of which should come from Sub-Saharan Africa.
- Relevance: Displaying a clear link to the objectives of the assignment and the overarching topic of the report.
- Replicability / transferability: The cases should display characteristics, include approaches, principles or practise that can inform both the conceptual model and applications elsewhere.
- Gender equality / women's economic empowerment: At least one of the cases should be based on a strong gender-responsive approach, either by specifically targeting gender equality and/or women's economic empowerment or by showing significant positive outcomes towards these ends.

The documentation of case studies should involve field work with travel to at least two of the selected cities. A break down of the cost of the field trips must be included in the Financial Proposal. The purpose of the field visits is to research, collect data and fact-check the selected cases. The selection of cases, consequently, should be done prior to the field visits. The outcomes of the field visits, along with the full documentation of the cases, will be documented in a Case Study Documentation report. All case studies shall be reviewed and validated by city or project focal points. Facilitation of the validation process will be done by the contracted entity, documentation of which should be submitted to Cities Alliance upon request.

A specific purpose of the knowledge product will be to highlight to what extent people-centred and technology-based approaches can help addressing gender inequalities in cities. This aspect of Inclusive Smart Cities should be reflected both in the theory of change as well as the selection of cases, at least one of which should be focused on woman's economic empowerment. Analysis of gender impacts will be a crosscutting theme throughout the analysis. Pathways to gender-responsiveness should be a key theme when identifying recommendations and ways forward. The strive towards gender parity will be reflected in methodological choices, including the selection of interviewees and, if applicable, focus group discussions, to document the case studies.

The contracted entity will be responsible for dissemination activities which will include:

1. A workshop in Brussels by March 2020 to present the findings to the Cities Alliance Secretariat. The Secretariat will handle the logistical arrangements of the workshop excluding travelling costs to Brussels by the presenter(s). The travelling costs for the workshop will be on the account of the contracted entity and will need to be incorporated in the Financial Proposal.
2. Presentation in a webinar organised by the Cities Alliance Secretariat

A suggested outline of the report should be given in the Inception report and revised as necessary throughout the assignment. A high-level suggested outline of the report, which should not exceed 20,000 words, is as follows:

1. Executive Summary
2. Introduction
3. Conceptual model and theory of change, based on review of literature, existing approaches and case studies
4. Case study documentation and analysis
5. Conclusions and recommendations
6. Literature list and references

The final knowledge product will be disseminated in relevant fora and through the Cities Alliance membership and partners.

TARGET AUDIENCES

Cities Alliance Secretariat: The Secretariat will use the knowledge product to inform and develop its programmatic work. It will use the knowledge product in its work to advance new tools, practices and policy dialogues on key emerging themes affecting cities of all sizes, especially in rapidly urbanising countries.

Members of the JWP: Members will use the knowledge product to support global dialogues and discourses on smart cities and to inform development approaches.

Strategic Partners: Development partners and stakeholders interested in gaining a new understanding of how the concept of smart cities can be used for and lead to equitable and inclusive urban economies.

DELIVERY SCHEDULE AND OUTPUTS

All outputs will be subject to at least three rounds of revisions. All output will be subject to internal and external reviews facilitated by the Cities Alliance Secretariat.

Activity	Description	Week Completed after the Signed Contract Date	Deliverable
1. Inception report	- The inception report will outline the table of contents, approach, case study selection methodology and a list of recommended cases, key materials to be used in the paper and a suggested dissemination strategy	3	Output 1: Inception report
2. Development of a conceptual model and theory of change	- Literature review of existing approaches - An overview of global institutions with active programmes on Smart Cities in rapidly urbanising countries. This should be included as an annexure - Development of a theory of change	9	Output 2: Concept Paper
3. Research, documentation and analysis of at least two case studies	- Desk research on potential case studies - Field trip to up to two cities to conduct field research - Documentation of cases, reviewed and validated by local focal points	25	Output 3: Case Study Documentation
4. Drafting of knowledge product	- Drafting of final knowledge product on "smart technologies for more equitable city economies", incorporating output 1 and 2	33	Output 4: Full Knowledge Product
5. Dissemination material	- Development of a PowerPoint Presentation summarising the knowledge product, findings and recommendations - Development of a two-page summary - Workshop in Brussels to present the findings to the Cities Alliance Secretariat - Presentation in a webinar organised by the Cities Alliance Secretariat	40	Output 5: PowerPoint Presentation Output 6: 2-page summary

REQUIRED EXPERTISE OF KEY PERSONNEL AND IMPLEMENTATION ENTITY

The following key roles with corresponding expertise are envisaged to be required to deliver the assignment:

Senior Expert:

- Senior expert with experience in smart cities technology and data-driven urban planning, urban economics, urban public service delivery or other related academic field relevant to the subject of the assignment

- Senior expert should have at least a Masters Degree and 7 years' experience in smart cities technology and data-driven urban planning, urban economics, urban public service delivery or other related academic field relevant to the subject of the assignment
- The CV of the senior expert should demonstrate the execution of similar assignments over a period of at least 7 years.

Junior expert(s):

- Junior expert(s) with academic degree and at least 3 years demonstrated experience in the execution of similar assignments

As part of the RFP documentation, the implementation entity is requested to provide a list of similar assignments involving the production of knowledge products in the field of smart cities technology and data-driven urban planning, and urban economic development.

Contract timeframe/period:

The duration of the contract is 10 months.

OBLIGATIONS OF THE CITIES ALLIANCE SECRETARIAT

- Provide key documents;
- Quality checks on outputs;
- Final layout and graphic design.

OBLIGATIONS OF THE CONTRACT ENTITY

- Provision of all case studies, data and pictures for the knowledge product;
- Inform the Secretariat in timely fashion of all contacts made with Cities Alliance constituents;
- Treat all documents in a highly confidential manner;
- Not publish results or outputs without explicit permission from the Secretariat;
- Return all Cities Alliance documents used in the consultancy;

Report on a timely basis any possible conflicts of interest.

ADDITIONAL INFORMATION

Background information on the Cities Alliance (including its Charter, annual reports, evaluations, and list of activities financed) can be obtained from its website: www.citiesalliance.org.

PAYMENTS

Payments will be based as per the below milestone deliverables upon submission of invoice and upon certification of the work completed.

Item No	Milestone Deliverables
1	Inception Report
2	Concept Paper
3	Case study documentation
4	Knowledge product
5	PowerPoint Presentation
6	2-Page summary