



HIT RESET CARIBBEAN

Harnessing Innovative Technologies to Support Resilient Settlements on the Coastal Zones of the Caribbean

Terms of Reference:

Technical Papers on the use of innovation in the planning and management of coastal settlement in the Caribbean: Opportunities and Limitations

 <p>UWI ST. AUGUSTINE CAMPUS</p>	 <p>CDEMA CARIBBEAN DISASTER EMERGENCY MANAGEMENT AGENCY <i>Resilient States - Safer Lives</i></p>	
<p>Implemented by The University of the West Indies</p>	<p>Implemented by the Caribbean Disaster Emergency Management Agency</p>	<p>Implemented by Anton de Kom University of Suriname</p>
 <p>OACPS R&I</p>		
<p>OACPS Research and Innovation Programme</p>	<p>The Programme is implemented by the Organisation of African, Caribbean and Pacific States</p>	<p>This project is co-funded by the European Union</p>

This programme is funded by the ACP Innovation Fund, OACPS Research and Innovation Programme. A programme implemented by the Organization of African, Caribbean and Pacific States, with the financial contribution of the European Union

1. Background

Caribbean countries are not major contributors of greenhouse gases but are on the forefront of the impacts of Climate Change. Among these impacts are expected to be sea level rise and increases in hydro-meteorological events such as storm surges and hurricanes. Such events will impact the wellbeing of populations of the Caribbean, as approximately 70 percent of people live in coastal cities and informal settlements, and most major infrastructure is also located in the coastal zone. Although some capital cities have well-planned areas with sturdy structures, the sprawled communities on the outskirts of the city and those in proximity to the coastline often have non-resilient buildings, informal and haphazard development and are susceptible to climate and disaster risk.

Urban planning and settlements management are hampered by uncoordinated national and regional decision-making, limited stakeholder engagement, ineffective resource allocation and policies that are ill-equipped to support innovation. Thus, there is need to strengthen planning and management and more aggressively encourage the uptake of innovations in technology(ies) to reduce vulnerabilities and enhance resilience in coastal communities. Developing the capacity to identify vulnerabilities, anticipate climate change influences, plan and implement innovative mitigation and adaptation measures is key to this programme.

The Programme: Harnessing Innovative Technologies to Support Resilient Settlements on the Coastal Zones of the Caribbean (HIT RESET Caribbean) began in January 2021. It is being managed by The University of the West Indies through the Saint Augustine Center for Innovation and Entrepreneurship (STACIE), in partnership with Anton de Kom University of Suriname (AdeKUS) and the Caribbean Disaster and Emergency Management Agency (CDEMA). It is funded by the ACP Innovation Fund, OACPS Research and Innovation programme -a programme implemented by the Organisation of African, Caribbean and Pacific States, with the financial contribution of the European Union.

HIT RESET Caribbean has four specific objectives:

1. To utilize digital and modelling technologies, that are regionally replicable, to improve prediction of the impacts of Climate Change and natural disasters, and the planning and management of coastal communities of the region.
2. To promote harmonized policy and institutional frameworks and community capacity to support use of innovations.
3. To promote the programme and project objectives through sound project management practices.
4. To create a sustainable regional mechanism beyond the project's life, that supports regional and national innovation around climate smart and resilient coastal communities and relevant innovation generally.

HIT RESET Caribbean was initially supposed to start three pilot grantee projects which aimed at development of a digital technology to improve decision making in Year 1 (2021). These projects were to be evaluated in part through a technical paper (Technical Paper 1) under Output: 2.2a *Innovation systems and project reporting at first Caribbean Urban Forum*. An examination of these projects were to be utilized in preparing an analysis of the challenges and opportunities to the uptake of digital technologies for improving planning and management of coastal settlements in the Caribbean. Instead, HIT RESET Caribbean has recently contracted nine grantee projects from its Open and Third Call.

An innovation ecosystem may be defined as, *'the evolving set of actors, activities, and artifact's, and the institutions and relations, including complementary and substitute relations, that are important for the innovative performance of an actor or a population of actors'* (Granstrand and Holgersson, 2020). This concept builds on ideas from innovation systems and natural ecosystems. While the work of many actors

in the region is known, there is not much known about the challenges and opportunities to utilizing digital technologies for planning in the Caribbean and far less is known about the innovative ecosystem at the country and regional levels.

HIT RESET Caribbean would like to produce three Technical Papers to support the four objectives above, especially objectives 2 and 4. HIT RESET Caribbean is seeking a Consultant to undertake all three papers in a sequential and integrated process. The consultancy can be undertaken by an individual, a firm or a consortia that can meet the criteria established below at Section 5. The following is a synopsis of the requirements of the three papers.

2. Terms of Reference for Technical Papers

Paper 1: The first technical paper has two objectives: 1. To identify problems and limitations as well as positive mechanisms in the utilisation and uptake of innovations in the region and the general functioning of the innovation ecosystem at the national and regional levels in the CARIFORUM region and 2. Identify key indicators and develop a framework to assess the efficacy of the environment to either support or restrict innovation objectives. These objectives will be achieved by:

- a) Examining the literature on the state of innovation systems in the CARIFORUM Region focusing on the two areas of coastal settlements management and the use of digital technologies and modelling;
- b) Using a Delphi approach to engage expert opinions from three or more of the regional agencies that engage in either coastal settlements management or promoting innovation or the use of digital technologies. Such agencies and useful projects can include the Organization of Eastern Caribbean States (OECS) (coastal-blue economy project), Compete Caribbean, Caribbean Community (CARICOM) Caribbean Centre for Renewable Energy and Energy Efficiency (CCREEE), Association of Caribbean States (ACS) (disaster management data project), Inter-American Development Bank (IDB), Caribbean Development Bank (CDB) and UNHabitat.
- c) Analyse the data provided in the beneficiary proposals and any early project reporting available.

Paper 2: The grantee projects were expected to engage stakeholders in establishing and justifying their projects and then continuously engage them early in the implementation of the project in an ongoing process. Utilising the key indicators and the framework for assessment developed in Technical Paper 1, the Consultant with inputs from the Beneficiary Projects and the Project Management Team/Technical support staff, will:

- a) collect and collate information on these engagements early in the project life to establish the problems/issues to be overcome in implementing the innovation/technologies that the projects are using;
- b) Identify and critically analyse how the interaction between the projects and the national and regional innovation system occurs. The consultant can collect this information from the project reporting and further engage both the projects and key stakeholders in at least three of the countries (Trinidad and Tobago, Barbados, Dominica, Jamaica and the Dominican Republic) where projects are being implemented. This will draw heavily on the kick-off stakeholders meetings at the country level of and the initial project reporting.

Paper 3: This is intended to be a status report about the advanced implementation of the 9 grantee projects. It should identify lessons, opportunities and limitations/ challenges that have been learnt in at least three countries where projects are being implemented that can contribute to strengthening and promoting the national and regional innovation systems (especially with respect to the planning and management of coastal settlements). These would include relevant examples of existing or proposed policies, procedures, laws, institutional arrangements and investments. This will be achieved by:

- a) Review of beneficiary project reporting,
- b) Interviews with HIT-RESET Caribbean grantee teams and any relevant stakeholders.
- c) Any other relevant documents and reports.

A draft of this paper is to be presented in a formal session at CUF 2024 in June 2024 for review and discussion before finalisation.

3. Requirements/Timelines:

Submissions of Proposals: The Proposal including the requirements listed below should be submitted by the **15th June 2023**. This will include a general methods statement for the three papers with an implementation schedule. A more detailed methods statement is required for Paper 1. As the three papers build upon each other, there will be need to review and detail the methods and work plan at each stage. Proposers may be asked to participate in an information meeting and for online evaluation discussion before and after award of the consultancy. It is intended to contract the consultant by the end of June 2023.

Technical Paper 1: A draft report should be submitted for review by the end of August 2023. Review comments will be provided within 2 weeks with a final report due by the end of September 2023.

Technical Paper 2: It is expected that projects would have submitted two quarterly narrative/financial reports (including initial stakeholders engagement by October 2023). It is expected that a draft report should thus be submitted for review by the end of December 2023. Review comments will be provided within 2 weeks with a final report due by the end of January 2024.

Technical Paper 3: It is expected that projects would have submitted three quarterly narrative/financial reports (including a mid-term assessments in the first quarter of 2024). A draft report should be submitted for review by the end of May 2024. Review comments will be provided within 2 weeks with a formal presentation made at CUF 2024 in June. A final report including inputs and discussions at CUF2024 is due by the end of July 2024 (estimated 13 month period for work).

4. Project Budget and Payment Schedule

The consultancy is expected to be done remotely utilising digital communication methods. The proposed budget is 19,900 euros. Technical Paper 1 is estimated at 6,000 euro, Technical paper 2 at 6,000 euro, and Technical paper 3 at 6,000. There is one travel requirement which is to present at Caribbean Urban Forum 2024 (CUF2024) in the Dominican Republic and the cost of flight, hotel and other related travel expenses is 1900 euro. There will be a mobilisation of 10% of the overall contract on signing the contract with the remaining 90% for each deliverable paid upon submission of the final paper.

5. Requirements

The Lead should:

- Be from a CARIFORUM member country (but not be employed by The UWI, AdeKUS or CDEMA).
- Have at least a master's degree in one of the core areas of the consultancy, i.e. Urban and Coastal Planning, Digital Technologies and Modelling and Innovation (or Team).
- Have a minimum of five years working in one or more of the fields identified above.
- Have two years working experience in the CARIFORUM region (either employed or via consultancies would be an asset).
- Proven experience in undertaking at least one similar assignments such as assessments.
- Excellent analytical skills, particularly the ability to design, conduct research and analyse the findings and to prepare the conclusion, exceptional written and report writing skills (use examples of project experience to demonstrate).

- Excellent command of English.
- Basic Spanish would be an asset.

6. Application procedure

Candidates are required to email:

- a cover letter outlining how they have met the requirements and their experience in conducting similar studies (not to exceed three pages).
- A brief methodology describing approach to the activities including Gantt chart (not to exceed 3 pages)
- the CV of the Consultant (not to exceed 3 pages) and, if any, a list of competencies of any other team members (not to exceed two pages). Team members can be from non-CARIFORUM countries. Documents should be written in Times New Roman, Font 12, single spaced. (See Annex 1 Assessment criteria)

Information should be sent to:

Dr. Perry Polar

Project Manager, HIT RESET

St Augustine Center for Innovation and Entrepreneurship

Perry.Polar@sta.uwi.edu

Deadline for receipt

Friday 15th June, 2023 (12 midnight ECT)

Annex 1: Assessment Criteria

Assessment Criteria

Technical Papers on the use of innovation in the planning and management of coastal settlement in the Caribbean: Opportunities and Limitations

Cover letter and CVs (50 points)

Requirements	Does not meet expectancy	Meets expectancy	Exceed expectancy
Master's degree in one of the core areas of the consultancy, Urban and Coastal Planning, Digital Technologies and Modelling and Innovation and exposure to at least one other. (Lead or Team) (10 points)	0 points Does not possess a Masters qualifications 1-4 – Masters qualifications but not related to the identified areas	5-7 points A Masters degree in the identified area/s	8 -10 points If team lead or team have Ph.D. in the identified areas or a special certification or licenses
A minimum of five years working in the one or more of the fields identified above for the main consultant or team leader. (10 points)	0 points 1-4 Less than five years experience working in the fields identified	5-7 points Five years working in the fields identified	8 -10 points An additional point (up to 3) for each additional five years of working in the area identified.
Two years working experience in the CARIFORUM region (either employed or via consultancies would be an asset). (10 points)	0 points No experience in working in the CARICOM region 1-4 Limited experience (< 2 years) working in the CARIFORUM region	5-7 points At least two years of working experience described	8 -10 points More than 2 years of working experience described.
Proven experience in undertaking at least one similar assignments such as assessments (10 points)	0 points No past experience in similar research 1-4 Limited experience demonstrated	5-7 points At least one similar assignment demonstrated in which the applicant demonstrated the required experience	8 -10 points More than one project mentioned in which the applicant gained the required experience
Excellent analytical skills, particularly the ability to design, conduct research and analyse the findings and to prepare the conclusion.	0-1 points Limited or no evidence of designing research methodology, executing and reporting on project reporting	2-3 points Some experience in research methodology and project reporting)	4-5 points Strong experience with research methodology and project reporting; Evidence of peer reviewed publications

Exceptional written and report writing skills (5 points)			or consultancy reports provided
Excellent command of English (3 points)	0 points No experience in English	1-2 points (English not native language but fluent)	3 points (English is native language)
Some Spanish would be an asset (2 points).	0 points No experience with Spanish	1 points (limited ability to read and understand Spanish)	2 points (Working knowledge of Spanish)
TOTAL:			

A failure to meet 35 points will result in disqualification

Methodology

Requirements	Does not meet expectancy	Meets expectancy	Exceed expectancy
A Background is provided demonstrating that key literature on the subject has been read and the problems to which the paper is geared is understood. (20 points)	0 - 6 points None or limited familiarity with the literature on innovation ecosystems or challenges and opportunities which arise out of innovation demonstrated.	7-13 points Familiarity with some of the issues the literature on innovation ecosystems or challenges and opportunities which arise out of innovation demonstrated. The problem which the paper seeks to address is mentioned but there is insufficient linkage.	14 -20 points Familiarity with many of the issues in the literature on innovation ecosystems or challenges and opportunities which arise out of innovation demonstrating a deep understanding of the subject. There is an informed linkage between the literature and the goal of the three papers.
A detailed and sound methodology is provided for Technical Paper 1 which demonstrates feasibility in execution (15 points)	0 points A detailed methodology is not provided. 1-5 Weak link established between chosen the methods for data collection and analysis and the purpose of the paper asked with no unique input.	6-10 points The methodology is detailed, sound and feasible; Link established between chosen the methods for data collection and analysis and the purpose of the paper could be strengthened further	11 -15 points The methodology is detailed, sound and feasible and also provides innovative insights and approaches to achieve the results; Strong link established between chosen the methods for data collection and analysis and the purpose of the paper.

A general methods statement is provided for Technical Papers 2 and 3 (10 points)	0 points No general methods statement is provided 1-4 Insufficient detail about the data collection and analysis methods; Link between the research questions, information sources, and the methods for data collection and analysis not established or weak	5-7 points General methods statements are provided; Link between the research questions, information sources, and the methods for data collection and analysis established but could be stronger	8 -10 points General methods statements are provided; Strong link between the research questions, information sources, and the methods for data collection and analysis established..
A Gantt chart is provided showing the detailed activities in Technical Paper 1 and general activities in Technical Papers 2&3 (5 points)	0 points No Gantt Chart provided 1-2 insufficient details of the timeline for activities provided	2-3 Gantt chart provided Many details provided about the sequencing of activities; Time allotment unrealistic for some activities	4-5 Sufficient details provided to understand the flow of activities; Realistic time allotment for activities
TOTAL:			