

Urban Sanitation Research Initiative

RESEARCH CALL

International comparative study of models for Ghana's proposed National Sanitation Authority (NSA), and associated support to the Government of Ghana's decision-making around design of the NSA

6th September 2017

This research and policy support project, commissioned under Water and Sanitation for the Urban Poor's Urban Sanitation Research Initiative, will deliver an international comparative study of institutional models for Ghana's proposed National Sanitation Authority (NSA) (*Component A*), and associated work with the Ghanaian government to support decision-making around NSA design (*Component B*). The term "sanitation authority" may mean different things, and we suggest that Component A should first analyse wider institutional frameworks in the selected focus countries, providing a basis for understanding what roles a sanitation authority can play within a given framework structure. Component B will likely involve i) stakeholder consultation processes, ii) written analysis outlining possible roles and structures of the future Ghanaian NSA, iii) decision-maker workshops to support thinking about the future Ghanaian NSA, and iv) a final detailed recommendations report focused on the specific model identified as most appropriate. A third component, Component C, will deliver a process evaluation of this policy support/change process from a policy studies perspective. We anticipate that this contract will likely be delivered by a two-partner consortium: an academic team (possibly non-Ghanaian) responsible for Components A and C, and a policy translation team (likely Ghanaian) responsible for Component B. However, bidders may propose different team structures: we welcome bids led either by Ghanaian or non-Ghanaian organisations, and will make our decision on the basis of bid quality, not geography. We note that this project requires very rapid start-up and very rapid delivery of Components A and B, in view of the strong possibility that the NSA will be constituted within the next 6 months.

Maximum budget under this Call: GBP 80,000

Bids due: Before UK 1700 hours on Wednesday 27th September 2017

1 About Water and Sanitation for the Urban Poor (WSUP)

Water and Sanitation for the Urban Poor (WSUP) is a not-for-profit company that helps transform cities to benefit the millions who lack access to water and sanitation. We were created in 2005 as a response to the unprecedented urban explosion that has left cities unable to provide basic services, such as access to a toilet or drinking water, to low-income communities. We are based in the UK with offices in six countries in sub-Saharan Africa and Asia. Since inception we have helped over 10 million people access better water and sanitation services.

WSUP has grown rapidly to a £10-12m organisation and has plans for greater expansion over the next few years. The organisation is now at a pivotal stage in its growth. In the business plan period 2016-2020, WSUP's ambition is to raise £65 million (an annual turnover of up to £18-20 million in FY2019-20), but more importantly to be recognised as a key player in the water and sanitation section sector globally. It presently operates six well-developed, respected country programmes in Africa and Asia to strengthen public and private sector service providers to improve the delivery of affordable services to low-income consumers. WSUP has recently expanded its portfolio of operations to include the building and strengthening of private sector provision in urban water and sanitation services and the sale of consulting services on all aspects of low income urban WASH (Water, Sanitation and Hygiene) to disseminate learning and increase impact. All of these operations are supported by research, communications, funding and finance and resources teams. For more information about WSUP's vision and approach, see www.wsup.com

2 About the Urban Sanitation Research Initiative

This research is being commissioned under the WSUP-led Urban Sanitation Research Initiative (www.wsup.com/research). The Urban Sanitation Research Initiative is a 2016–2020 research initiative currently focused in Bangladesh, Ghana and Kenya. The primary aim of this initiative is to deliver research that builds national evidence bases around pro-poor urban sanitation, and that drives policy change and wider sector change in the three focus countries. The initiative is managed by Water & Sanitation for the Urban Poor (WSUP) and core-funded by UK aid from the UK government.

With this wider initiative, the Urban Sanitation Research Initiative Ghana is designed to feed into the national evidence base around pro-poor urban sanitation in Ghana, helping to drive policy change and wider sector change. The initiative is managed by WSUP in strategic partnership with the Ministry of Local Government and Rural Development, Environmental Health and Sanitation Directorate, (MLGRD-EHSD),¹ the Institute of Local Government Studies (ILGS), and the Kwame Nkrumah University of Science and Technology (KNUST).

The Urban Sanitation Research Initiative focuses on five broad areas: **1)** sanitation businesses and market development; **2)** institutional frameworks and capacity; **3)** sanitation models, user behaviour, and user experience; **4)** public finance and sanitation planning; and **5)** regulation and smart enforcement. This Call is in Area 2.

¹ The Environmental Health and Sanitation Directorate is now expected to move to the newly created Ministry of Sanitation & Water Resources.

For more information about the vision and aims of the Urban Sanitation Research Initiative, and for information about other Calls, see www.wsup.com/research

2.1 Sector influence aim

To document comparative models of national-level sanitation authorities for Ghana's Ministry of Sanitation and Water Resources, and to support decision-making around design of Ghana's future National Sanitation Authority.

3 Work required under this contract

3.1 Background

While Ghana's MDG target for improved access to drinking water was achieved, particularly thanks to significant achievements in the rural water supply, the target for improved sanitation failed with only 15% improved sanitation coverage by 2015; 19% of the population still defecate in the open. Ghana's approach to achieving universal access to safe drinking water and basic sanitation has been fragmented so far, with delivery mandates split across different bodies: the Ministry of Water Resources Works and Housing has responsibility for water, while the Ministry of Local Government and Rural Development has responsibility for sanitation.

Following a general election held in December 2016, Ghana's newly elected government is undergoing a period of policy design and strategic realignment for the delivery of WASH services –particularly environmental sanitation– including the formation of the new Ministry of Sanitation and Water Resources (MSWR). In addition to the MSWR, the government intends to create a National Sanitation Authority (NSA) to prioritise sanitation service delivery and achieve Ghana's commitment to Sustainable Development Goal 6: to “ensure availability and sustainable management of water and sanitation for all”.

Against this backdrop, the MSWR has requested that WSUP commission a detailed and rigorous comparative analysis of similar bodies that have achieved significant improvements in sanitation access in other countries, and provide inputs to support a process of decision-making about the nature of the future NSA in Ghana. This is an exciting opportunity to directly support high-level national sanitation reform at a time when the Government of Ghana has the electoral mandate, focus and budget to implement findings and recommendations from this research project.

3.2 Aims, design and approach – overview (Components A, B and C)

This Call covers work to deliver the following components:

A) An international comparative study of cases in other countries (not Ghana) which can provide useful inputs to thinking about the nature of the future NSA in Ghana; this study should be implemented to a high level of academic rigour. This study needs to be completed very early within the total project duration, in order to provide useful input into the analysis of ways forward in Ghana. Though clearly this study needs to be cognisant of the Ghanaian situation, it should focus on other-country models, not on recommendations for Ghana (which would be covered subsequently under B-iii below).

B) A parallel process to support strategic decision-making in Ghana, in close liaison with the MSWR, and likely including components of the following type: **i)** structured consultation with key sector stakeholders; **ii)** detailed initial consultation with MSWR to identify possible scope and ambition of the future NSA; **iii)** written report outlining possible variants of the future NSA, with consideration of key aspects including but not limited to structure, function and requirements in terms of financial cost, human resource, capacity development and technical support; **iv)** further decision-support workshops with MSWR and other relevant actors to support identification of the preferred model; and **v)** final analysis and report with detailed recommendations regarding structure, organisational set-up and functional departments that will make the authority effective, efficient and fully operational.

C) Academic tracking of Component B from a policy studies perspective, aiming to generate a publication for a peer-reviewed journal analysing in detail the social/organisational process of policy development, and drawing lessons for future similar processes setting out to achieve policy change.

The above is intended as guidance for bidders, and variants will be given full consideration, as long as they align with the broad aims of this work (including requirement for rigorous research components with publication of findings in a peer-reviewed journal, and structured support to MSWR decision-making about NSA design).

Bidders will need to pay careful attention to scheduling of these different components (including decision-support workshops) over the project lifespan.

3.2.1 Aims, design and approach – Component A

We encourage bidders to view this as an essentially distinct piece of work, likely delivered by a different consortium partner (not the same partner as responsible for Component B), and focusing on international models, not the Ghanaian situation.

a) This research component should be designed to provide information and analysis from other countries which can inform strategic decision-making in Ghana. The research must therefore be cognisant of the current situation and potential future situation in Ghana, but should focus on other countries. In other words, the purpose of this component is not to advise government stakeholders on possible models for Ghana, but rather to provide information and analysis from other countries which can then input into Ghanaian decision-making.

b) This research should support strategic decision-making about Ghana's future National Sanitation Authority. But a study which simply looks at other "sanitation authorities" in other countries may be of limited value, because relevant institutions may have diverse names, and because understanding of the roles and responsibilities of a given institution requires a wider understanding of the institutional framework of which that institution forms part. We therefore suggest that a useful approach for this study will be as follows:

- *Initial multi-country review of a large number of countries (15-30?), focusing on the broad defining characteristics of their institutional frameworks for sanitation and more specifically for urban sanitation.* The aim of this phase would be to create a *typology* of institutional frameworks (and this may be based at least in part on review of the literature), with consideration of how key functions are distributed among organisations within that framework. Key functions are likely to include: *regulatory functions* of different types (e.g. regulation on

owners of residential property to ensure adequate disposal of faecal waste; on landlords to ensure provision of adequate toilets for tenants; on FSM operators to dispose of waste effectively; etc); *financing functions* (e.g. disbursement of central government funds to implementing agencies, potentially including loan provision functions); *asset management functions* (e.g. ownership of water treatment facilities or other major infrastructure); *direct service delivery functions* (e.g. operation of waste treatment facilities); *technical support roles* (e.g. support to local government agencies with sanitation planning). This is not an exhaustive list, and researchers would be expected to develop a useful and coherent typology allowing analysis of functional assignment within institutional frameworks; see also comments below about current MSWR understanding of likely NSA functions.

- *Much more detailed analysis of specific sanitation authorities/agencies in a smaller number of countries (5?).* These countries would likely be selected by criteria of the following type: **a)** the countries selected should provide a useful representative overview of candidate types of framework and candidate types of sanitation authority/agency in Ghana, and **b)** the sanitation authorities/agencies selected should probably be *positive* models which have achieved demonstrable success, and for which detailed data on history and function is available. Data collection for these cases will likely include historical information on the political/legislative backdrop to creation of that framework and that agency, and to its function since creation; on the precise function/s of the agency within that country's institutional framework for sanitation; on structural characteristics including financial resourcing, staffing size, departmental structure, technical capacity; on challenges faced during development, start-up and operation, and how (if at all) those challenges have been overcome; in particular, critical assessment of the extent to which that framework and agency has been successful at achieving genuine improvement in sanitation for low-income and slum communities; overview assessment of pros and cons of that model.

The above approach, and the suggestion of 15-30 and 5 countries, are merely indicative, and bidders are free to propose designs which they consider can most effectively meet the aims of this component within the budget and time available. We request that bidders make an initial identification of country models to be included at the bidding stage, though certainly the final list developed during the inception period might be different; note however that timely delivery will require the multi-country study to start almost immediately. Countries to be included might be in Africa, or other low and low-middle income countries, or indeed middle- or even high-income countries if the researchers consider that they constitute useful models. High-quality analysis of particular cases will ideally involve country visits including interviews with sector stakeholders, but we realise that this may not be feasible within the very short time available; alternative approaches include sub-contracting of researchers/consultants resident in each country.

3.2.2 Aims, design and approach – Component B

This component will be a process to support strategic decision-making in Ghana, in close liaison with the MSWR, around the nature of the future NSA. As already indicated above, we suggest that this component would probably include components of the following type: **i)** structured consultation with key sector stakeholders; **ii)** detailed initial consultation with MSWR to identify possible scope and ambition of the future NSA; **iii)** written report (Report B1) outlining possible variants of the future NSA, with consideration of key aspects including but not limited to structure, function and requirements in terms of financial cost, human resource, capacity development and technical support; **iv)** further

decision-support workshops with MSWR and other relevant actors to support identification of the preferred model; and v) final analysis of the preferred model and report (Report B2) with detailed recommendations regarding structure, funding requirements and sources, organisational set-up and functional departments that will make the authority effective, efficient and fully operational.

This is a proposed approach to this component, but bidders are free to propose alternative approaches which are in line with the broad aims of this Call.

As noted, we would expect early phases of this work to include close consultation with MSWR and other key stakeholders to assess the spectrum of possible functions for the NSA. *[Early informal conversations with MSWR indicate that the future NSA is currently conceived as a national regulatory/standards-setting agency, though certainly this will require clear division of responsibility with respect to other regulatory agencies and regulatory enforcement agencies including municipal assemblies; it will possibly manage a National Sanitation Fund, and might (?) accordingly have some sort of asset ownership role; it will not be directly involved in service delivery, but might (?) have some delegated management function; it will possibly act as a centre of knowledge and learning. However, we stress that this is merely a summary of early informal conversations, and we will encourage researchers to a) consult closely with MSWR in the early stages of this work, and b) to maintain an open-minded approach to the possible eventual nature of the NSA.]*

3.2.3 Aims, design and approach – Component C

This component will be a rigorous academic tracking of the decision-making processes developed with support from Component B, from a policy studies perspective, aiming to generate a publication for a peer-reviewed journal analysing in detail the social/organisational process of policy development, and drawing lessons for future similar processes setting out to achieve policy change. We would expect this component to be delivered by an academic team (the same team as for Component A, or a different team) somewhat separated from the team responsible for Component B. We leave bidders freedom to consider how they would frame this component.

3.3 Core requirements for work under the Urban Sanitation Research Initiative

The following are core requirements for all work carried out under the Urban Sanitation Research Initiative:

- 1) Research must fully meet relevant research ethics requirements:** All research must be carried out in compliance with research ethics standards as rigorous as would be applied in a UK setting, and in compliance with the law and with best practice in the country or countries in which research is carried out.
- 2) Research design should pay careful attention to gender equality/equity considerations:** Bidders should explicitly ensure that their proposed design, analysis and research-into-policy work is taking full account of gender equality and equity.
- 3) Research-into-policy should be considered a core element:** Research-into-policy should be considered a core element at all levels and stages of research design; not an after-thought once the “real research” has been completed.

For more detailed explanation, see the Core Requirements Form attached as Appendix A, which must be completed by all bidders and submitted with the bid (see Section 9).

3.4 Deliverables

Assuming an approach along the lines of that suggested, the following deliverables are required:

- a) a brief inception report (about 5-10 pages) detailing the methodology to be followed;
- b) the main final report of Component A;
- c) a PowerPoint slide-set for presentation of the results of Component A to MSWR and other stakeholders;
- d) the main final report B1 (see above) written as a report for the Ghanaian government, with associated PowerPoint presentation (B1 = *written report outlining possible variants of the future NSA, with consideration of key aspects including but not limited to structure, function and requirements in terms of financial cost, human resource, capacity development and technical support*);
- e) a PowerPoint slide-set for presentation of the key findings of B1 to MSWR and other stakeholders;
- f) the main final report B2 (see above) written as a recommendations report for the Ghanaian government (B2 = *final analysis and report with detailed recommendations on the selected NSA model, regarding structure, organisational set-up and functional departments that will make the authority effective, efficient and fully operational*);
- g) a PowerPoint slide-set for presentation of the key findings of B2 to MSWR and other stakeholders;
- h) the main final report of Component C, written as a research paper in the publication format required by a named peer-reviewed journal.²
- i) a PowerPoint slide-set for presentation of the results of Component C to MSWR and other stakeholders.

IN ADDITION, we require brief monthly email updates on progress, and short (3-5 page) six-monthly WORD reports on progress/achievement/challenges (so two such reports under the present contract).

² Deliverable (h) is a research paper, to be written as a journal article in the format of a named journal, not as a report for WSUP or Ghanaian stakeholders. We do not require research papers to be submitted to the named journal by the specified deliverable date; but we will non-contractually expect publication, and will favour bidders who have a significant academic publication record and own-incentives for prompt journal publication. We (WSUP, the partners of the Urban Sanitation Research Initiative Ghana, and MSWR) expect to have full opportunity, with sufficient time allocation, to review and respond to research papers in journal article format; WSUP reserves the right to withhold corresponding payment until we are satisfied with the quality of each paper, which may require no modifications, minor modifications, or major modifications. Our focus will be on methodological/intellectual quality and readability; if there is any disagreement about interpretation of findings and questions of judgement, we will request that our views be given sensible consideration, but in the final analysis respect the researchers' academic independence.

The inception report (a) and the six-monthly reports (b) must include specific short sections indicating how the Core Requirements (Appendix A) are being met.

Bidders may also choose to offer additional deliverables, potentially including documents, powerpoints, workshop presentations, blog posts or videos for the Urban Sanitation Research Initiative website, designed for in-country or international communication. [Ideally, we would see a second journal research paper emerging from the multi-country study, but we realise that the time available for data collection and analysis may be insufficient to provide sufficient basis for this.]

All deliverables (including draft-stage reports) should be written and laid out to publication-ready standard, with strong attention to clarity of structure, quality of wording, and professional layout; reports of poor quality will not be accepted.

If the researcher judges it necessary, WSUP will respect embargo on reporting findings to be published in a peer-reviewed journal. However, this is a policy influence programme, and WSUP will expect to be able to make public headline findings (typically understood to mean any content that is included in the Abstract, though with re-wording, and potentially including basic methodology detail and headline findings not included in the Abstract but required for reasonable understanding of the study's central findings) before journal publication. We expect a mutually constructive approach on this: WSUP recognising that the researcher may not be able to make full findings public before journal publication, the researcher understanding that WSUP must have the option to immediately disseminate headline findings to key audiences. One approach which bidders may find useful is to commit to delivery of a 1-3 summary report on findings for free use by WSUP and partners: this approach will ensure that the researcher maintains control over precisely what elements are made public and precisely which should be considered embargoed until journal publication (though this does not rule out the possibility of WSUP requesting additional information be made public if the summary omits detail necessary for headline understanding).

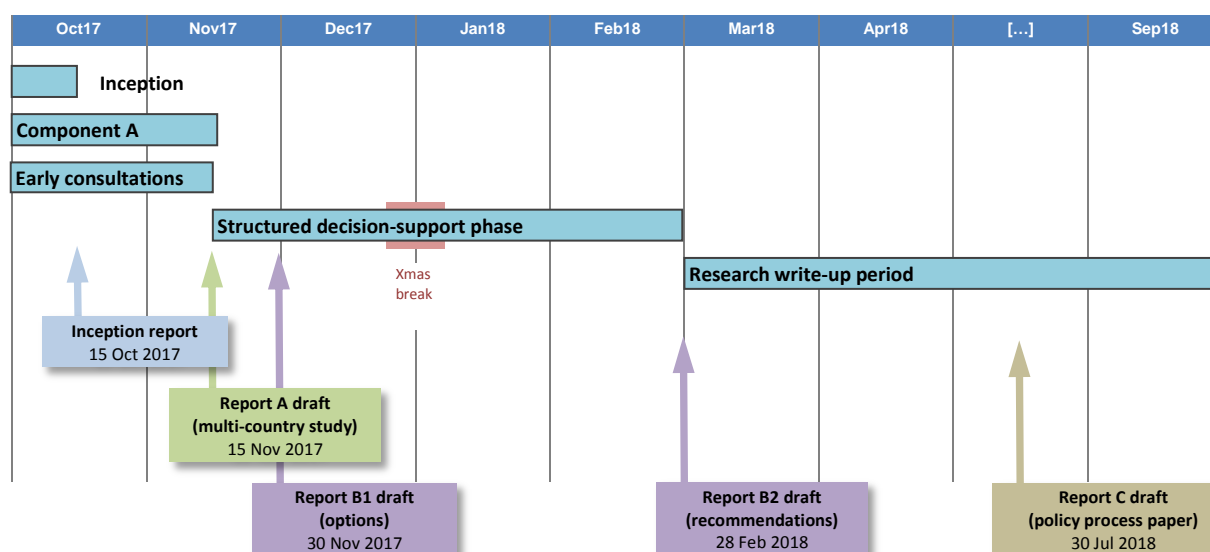
The above deliverables schedule assumes that the bidder follows our proposed approach to this work; other approaches which meet our requirements will be given full consideration, and should clearly specify deliverables, which may not be precisely the same as those indicated above. Note that our requirements include at least one, ideally two, publications in a high-quality peer-reviewed journal as a result of this work.

3.6 Deliverables Schedule

The deliverables schedule is indicated in tabular and graphical form on the next page. We are aware that this is a highly compressed timeline, particularly at the start, but this is necessary in order to usefully support the envisaged political process. Of course it is possible that the political process may not be as rapid as currently hoped, but for research planning purposes we must assume that it will be as rapid as planned. Bidders may propose timeline adjustments, with reasoned justification; but note that rapid start-up will be a key selection criterion. Furthermore, bidders will need to demonstrate a research plan that can achieve high-quality findings within the short time available. Achieving this tight timeline will require strong project management, almost certainly by a single designated person; it may also require a fairly large team, such that different components of the work can be done in parallel; it will certainly require prompt identification of decision-maker workshop dates. Note that where we refer to drafts, these should be fully complete and finalised texts (not incomplete texts pending completion before final submission).

Date	Milestone/deliverable
27 th September 2017	Bid submission
5 th October 2017	Start date
15 th October 2017 (10 days after start)	Deliverable 1: Inception report
15 th November 2017 (6 weeks after start)	Deliverable 2: Draft report A (<i>multicountry comparative study</i>)
15 th November 2017 (6 weeks after start)	Deliverable 3: Powerpoint summary of report A
30 th November 2017 (8 weeks after start)	Deliverable 4: Draft report B1 (<i>written report outlining possible variants of the future NSA, see Section 3.2.2</i>)
30 th November 2017 (8 weeks after start)	Deliverable 5: Powerpoint summary of report B1
30 th January 2018 (4 months after start)	Deliverable 6: Final report A (<i>draft was deliverable 2</i>), responding adequately to review/improvement comments from WSUP, MSWR and other possible reviewers
15 th February 2018 (4.5 months after start)	Deliverable 7: Final report B1 (<i>draft was deliverable 4</i>), responding adequately to review/improvement comments from WSUP, MSWR and other possible reviewers
28 th February 2018 (5 months after start)	Deliverable 8: Draft report B2 (<i>detailed recommendations on selected model, see Section 3.2.2</i>)
28 th February 2018 (5 months after start)	Deliverable 9: Powerpoint summary of report B2
30 th April 2018 (7 months after start)	Deliverable 10: Final report B2 (<i>draft was deliverable 8</i>), responding adequately to review/improvement comments from WSUP, MSWR and other possible reviewers
30 th July 2018 (10 months after start)	Deliverable 11: Draft report of Component C, in journal article format [because this deliverable in not time-critical, we have allowed generous time; but researchers can bring this forward if they prefer].
30 th July 2018 (10 months after start)	Deliverable 12: Powerpoint summary of report C
30 th September 2018 (12 months after start)	Deliverable 13: Final report of Component C (<i>draft was deliverable 11</i>), responding adequately to review/improvement comments from WSUP, MSWR and other possible reviewers, ready for submission to journal

This is a 12-month project with no possibility of costed or no-cost extension, and research design will need to take this into account. Deliverable 13 will be the trigger for final payment: because this is non-critical we have allowed generous time, but bidders are welcome to bring this forward if they prefer. The following indicative timeline schematic may be helpful (showing only draft reports; final reports not shown for space reasons):



4 Team profile

We are open to different team structures for this work. However, we consider that the most likely structure is a two-partner consortium: Components A and C likely delivered by a partner with strong academic/research expertise and demonstrated strong capacity for research publication; Component B by a partner with demonstrated strong experience of, and contacts and weight within, the Ghanaian WASH policy context. Overall project leadership might lie with either partner: we require a single Lead through which all contacts, negotiation and invoicing should be managed.

5 Intellectual property

This is an academic research contract, and as such the researchers will retain full intellectual property rights for this research, subject to the deliverables requirements indicated above, but with full rights granted to WSUP immediately and in perpetuity to reproduce and use the findings of the research as WSUP deems fit, including in WSUP publications drawing on the research findings, and including by partners of the Urban Sanitation Research Initiative – Ghana and/or by MSWR. In any use by WSUP or partners of findings arising from this research, the researchers will be duly credited. For full details of intellectual property rights, bidders should review WSUP's standard Research Agreement, available on request. [See also comments above under Section 3.4, in regard to publication of headline findings by WSUP and partners before journal publication.]

6 Reporting and liaison

The Task Manager for this work will be Guy Norman, WSUP Director of Research & Evaluation. Close liaison will also be expected with Azzika Tanko, Research & Policy Lead, WSUP Ghana, and Issaka Balima Musa, Country Programme Manager, WSUP Ghana. Close liaison will be required with MSWR (contact person tbc), but contract management will be entirely through WSUP.

7 Contract terms

A standard WSUP Research Agreement format will be used, subject to the Researcher's agreement with the terms. Where the bidder is a consortium, a contract (Research Agreement) will be signed with a single prime; we cannot consider multiple contracts under a single Call.

8 Payments

8.1 Payment schedule

Payment will be 20% on contract signature, 50% on acceptance by WSUP of final version of Report B2, and 30% on acceptance by WSUP of final version of Report C. All payments will require prior invoicing.

8.2 Budget

Up to GBP 80,000, inclusive of VAT (sales tax) or other taxes; this amount will be expected to cover all costs including travel costs and the full costs (including venue and participant travel costs as required) of any workshops or similar meetings; any sub-contracting of staff; and the full costs (travel and time) of any visits to WSUP's offices in Ghana or (if judged necessary and included in the proposal) in London. Over and above this budget, WSUP will additionally consider bearing a cost of

up to GBP 1,500 per article for journal publication, if the selected journal/s for publication of this research require payment for open-access; this will be subject to specific negotiation with the selected bidder (likely including a time-limit of article acceptance for publication within 6 months of the termination of this contract).

9 Bidding procedure

Bid format is designed to make bidding relatively easy, with a focus on the proposed methodology. Bids should be submitted to erl@wsup.com before UK 1700 hours (5 pm) of Wednesday 27th September 2017. We stress the importance of adhering strictly to the instructions below, including word counts; we do not expect to receive standard texts detailing bidders' previous experience, over and above the requirements indicated.

The bid document should contain only the following numbered sections:

- 1) **Name of lead bidding organisation**
- 2) **Name and email of primary contact**
- 3) **Brief summary of relevant experience of lead organisation and other participating organisations or key individuals, indicating and describing 3 recent most-relevant projects** (*max 750 words*)
- 4) **Statement of the justification for and aims of this research as expressed by the bidder.** We are interested primarily in academic/policy-influence justification, not ethical justification (*max 300 words*)
- 5) **Statement of the approach and methodology to be used.** This statement can include decisions left open pending more detailed analysis, but we encourage bidders to develop a strong methodology (including clear statement of the duration and likely scheduling of all work including in-country work). [See also Section 3.3 and Appendix A.] (*max 1000 words*)
- 6) **Statement of the available start-up date and anticipated final completion date.** See Deliverables section.
- 7) **Statement of anticipated day allocations of all participants in the research.** Include any sub-contracted participants, with participants named as far as is possible.
- 8) **Summary budget breakdown in tabular form.** Clearly indicate total budget (maximum GBP 80,000).
- 9) **Indication of first-choice named open-access journal/s for publication of this work.** Please indicate any requirement for payment for open-access.

You should also separately attach the following two documents:

- A) **Up to three CVs** including a) **the lead researcher** (i.e. person who will take primary responsibility for design and management oversight of this research, and for research journal publication) and b) **the person with highest allocation of days**. [*This may in some cases be the same person.*]
- B) **A completed copy of the Core Requirements Form:** see Appendix A.

In summary: your submitted bid should comprise 2 documents plus 1-3 CVs.

Please name your files as follows, where XXXXX is a single-word no-spaces summary bidder name (e.g. JENKINSON, CUNIKRI, URBANRT) of up to 10 letters:

XXXXX-bid
XXXXX-core-requirements-form
XXXXX-CV1 (etc)

9.2 Bid scoring criteria

Bids will be scored on the following criteria:

CRITERION	Points
a) Adherence to requirements for bid format and demonstration of clear writing/formatting skills	10
b) Quality and appropriateness of research team, as evidenced by Bid Sections 3, 7 and CVs	20
c) Strength of understanding of the research concept, and strength of methodology, as evidenced by Bid Sections 4 and 5	30
d) Demonstration that this research will effectively meet the core requirements, as evidenced by the Core Requirements Form (appendix A)	10
e) Rapid start-up and commitment to deadlines, as indicated by Bid Section 6	20
f) Cost	10
TOTAL	100

9.3 Pre-submission consultation

We are very happy to respond to clarification queries of any sort prior to bid submission: please email erl@wsup.com before UK 1000 hours of Friday 22nd September 2017. Where we consider that the response to a query should (for reasons of fairness) be shared with all bidders, we will do so by emailing all bidders who have already contacted us to express an interest in bidding: so if you want to be included in any such mail-out, please let us know promptly.

Appendix A: Core Requirements Form

As indicated in Section 9.1, all bids should include a completed copy of this Core Requirements Form, which asks you to briefly clarify how your proposal will meet the three core requirements of research under the Urban Sanitation Research Initiative, as outlined in Section 4.

Requirement 1: Research must fully meet relevant research ethics requirements

All research must be carried out in compliance with research ethics standards as rigorous as would be applied in a UK setting, and in compliance with the law and with best practice in the country or countries in which research is carried out. We note that some types of research (*for example, a study involving invasive treatments or biopsy sampling of human subjects*) will have extremely stringent research ethics requirements; other types of research (*for example, a desk study of institutional frameworks*) will have minimal research ethics requirements, beyond the need for due rigour, balance and consultation, and informed consent in any interviews; other types of research (*for example, a study involving household survey to collect information about slum communities*) will have research ethics requirements intermediate between these two extremes. We note also that researchers must take full responsibility, at the bidding and research implementation stages, for ensuring that relevant research ethics requirements are duly met, in letter and in spirit.

QUESTIONS YOU NEED TO ANSWER: How will you ensure that your research is carried out in compliance with research ethics standards as rigorous as would be applied in a UK setting, and in compliance with the law and best practice in the country or countries in which research is carried out?

write here, maximum 150 words (please adhere strictly to this maximum word count)

Requirement 2: Research design should pay careful attention to gender equality/equity considerations

Bidders should explicitly ensure that their proposed design, analysis and research-into-policy work is taking full account of gender equality and equity. This is NOT a tick-box requirement for “including gender” in all research (indeed, bids may be scored down for “including gender” in tick-box ways which unhelpfully divert the research from its primary focus). Rather, our goal is to ensure that all bidders demonstrate that they have given serious thought to the possible implications of their research for women and girls, and include gender considerations in appropriate ways where this is important to exploration of the primary research question/s.

i) If this research in any way develops, or feeds into development of, a sanitation technology, sanitation service delivery model or sanitation policy, then this should be done in ways that ensure that that technology or model or policy fully meets the needs of women and girls; specific requirements of women and girls (including, but not restricted to, menstrual hygiene management and safety after dark) should be given due attention.

ii) If this research in any way assesses sanitation service quality, or recommends ways in which sanitation service quality should be assessed, then this should be done in ways that fully explore and disaggregate possible differences in sanitation service quality as experienced by women and girls and by men and boys; again, specific requirements of women and girls should be given due attention.

iii) If this research in any way uses or promotes some form of community consultation or expert consultation, then this should be done in ways that ensure that women’s voices are heard as loudly as men’s.

iv) More generally, researchers should interrogate their designs to consider gender implications in all respects and at all levels: for example, a WTP study might (or might not) find it relevant and useful to explore whether WTP differs between women and men; an organisational capacity study might (or might not) wish to explore whether women are represented in high-level decision-making. Again, we stress that we do not require tick-box “inclusion of gender” in all projects; rather, we require that bidders give serious thought to possible gender implications, and include gender-disaggregational elements or other gender-related considerations in their

design and analysis where this is important to exploration of the primary research question/s.

QUESTIONS YOU NEED TO ANSWER: In what ways are gender considerations relevant to your proposed design, analysis and research-into-policy work? If you have included gender-disaggregational elements or other gender-related elements in your design, please briefly list these elements.

write here, maximum 150 words (please adhere strictly to this maximum word count)

Requirement 3: Research-into-policy should be considered a core element

Research-into-policy should be considered a core element at all levels and stages of research design; not an after-thought once the “real research” has been completed. Bidders should demonstrate that they have given serious thought to policy influence and policy translation of their findings: this may include [*among other possible elements*] **a)** appropriate consultation at the start-up phase, to ensure that key actors are “on board”, or at least that their needs and attitudes have been meaningfully taken into account; **b)** detailed analysis at the design stage of policy context and policy-influence aims and challenges, with consideration of relevant specific aspects such as “windows of opportunity”; **c)** detailed analysis of how in-country actors might need to be involved in the research and/or its subsequent dissemination, in order to maximise chances of policy influence outcomes; **d)** due consideration of dissemination of methods and findings throughout the project, not just at the end; and **e)** inclusion within the team of individuals with specific responsibility for editing to ensure high-quality text. Larger projects may choose to include individuals with specific responsibility for policy translation. We note that WSUP Research & Policy Leads in each of the research countries will expect to be closely involved in research-into-policy work, and you can depend on some support in this area: this can reasonably include WSUP responsibility for preparation of non-academic publication materials summarising key aspects of aims, methodology and eventual findings. [*Here we draw attention to Section 8.2, which states i) that any workshop events included within your bid must be fully funded from your budget, but ii) that WSUP will consider requests over and above budget to cover the costs of open-access academic publication.*]

QUESTION YOU NEED TO ANSWER: In what ways does this project ensure a pro-active research-into-policy focus?

write here, maximum 150 words (please adhere strictly to this maximum word count)

Please submit a completed copy of this form attached as a separate file to you bid.