SuSanA Organization Study

Terms of Reference
22 Feb 2018

Purpose of the Organization Study

The Stockholm Environment Institute (SEI), on behalf of the Sustainable Sanitation Alliance (SuSanA), is seeking proposals for a study that will inform decisions about creating a sustainable future for SuSanA as we work toward achieving the Sustainable Development Goals. The August 2017 global launch of SuSanA's vision document titled "The contribution of sustainable sanitation to the agenda 2030 for sustainable development" (See Annex A) describes SuSanA's aspirations. The purpose of the organization study is to produce an operational plan to strengthen governance and institutional sustainability of SuSanA including a plan for funding the budget needed to assure SuSanA's ability to maximize its contribution to SDG6.

The work will involve:

1. Analyzing strengths and weaknesses of SuSanA (vis a vis our SDG6 vision) including project planning, management, decision-making, leadership, governance and funding as it currently exists. Recent SWOT analysis will be provided to the consultants.
2. Comparing SuSanA's institutional framework to other comparable service-oriented professional associations, including comparing the SuSanA Working Group structure with other ways of coordinating the work of members and providing incentives.
3. Redesigning the steering body and enhancing engagement of organizations within it.
4. Recommending 2-3 models, each including financial sustainability and operations management, that would serve SuSanA well in working toward its vision of accomplishing SDG6.
5. Collaborating with the client and the SuSanA Secretariat to produce an operational plan, once a model has been selected and approved.
6. Analyzing SuSanA's Think Tank capacity and recommending processes that will maximize SuSanA's ability to develop consensus and influence policy related to water and sanitation.
7. Recommending how the members and partners can be motivated to represent, promote and take ownership of SuSanA.

SuSanA's decision-making context, as background to this ToR

The controversial question under discussion is: Will SuSanA's s future be (A) in the form of a more strictly formalised organisation or will it remain (B) a loose network with no strict

reporting structures that is linked to a set of in-kind efforts and externally funded projects (also called co-operation systems).

SuSanA was initiated in 2007 by about 20 individuals from approx. 15 organisations as a loose network, with the clear intention of NOT starting a new organisation. The intent was to promote high level think tank level work for (a) consensus building on current and emerging topics in the field of sustainable sanitation and its linkages to other sectors and (b) matchmaking between individuals and organisations working toward innovative approaches to achieving the MDGs.

SuSanA, as a think tank

Many of the tools and products that today contribute to the perception of SuSanA as mainly a KM-Organisation were originally produced as services of a think tank. Examples of think tank work:

1. The case study collection.
2. The factsheet collection. Topics range, but have included work on links between sanitation and other sectors, as well as on issues that needed consensus building. Working Groups invest time in reviewing, revising and publishing factsheets.
3. The library. This is think tank work in that SuSanA members bring together information on innovative approaches. This sometimes requires consensus building.
4. Thematic discussion series. This involves being in tune with current trends and sector needs and harvesting the results of thematic discussion series, to be made available on SuSanA.org.

To keep administration costs at a minimum, the secretariat's function was originally restricted mainly to (1) organising and taking minutes from plenary SuSanA meetings; (2) organising and taking minutes from face-to-face and virtual Core Group meetings; and to supporting development of factsheets done by working groups. The Secretariat also set up the first SuSanA website. With partner organisations growing from 20 to more than 300, and individual memberships growing to 9000, the staffing level of 2.5 has remained the same. Throughout this period SuSanA has experienced exponential growth and our mandate has expanded.

Basic functions are now funded by the German Government (BMZ) through the GIZ-sector program "Sustainable Sanitation." This was considered the most lean, cost efficient and flexible approach available. For example, charging partners fees, would necessitate installing a range of administrative processes, levels and functions. This has been seen as risky, since increasing administrative functions could generate more costs than could be recovered by a reasonable partner fee. Introducing a fee was also seen as a risk to SuSanA's value for being a neutral facilitator, with no monetary interests. SuSanA has placed a high value on providing a knowledge platform that makes information available to all. External funding has supported administrative costs.

It is against this background that the "organization study" called for with this ToR was conceived. Strong reasons and excellent alternatives are needed.

Background information on SuSanA

Since 2007, SuSanA has been run by a secretariat located at GIZ in Eschborn. BMZ has been the funding source for the Secretariat. SEI, as recipient of a grant from the Gates Foundation, was able to pay for moderation of the SuSanA Forum, since late 2012. The Working Group (WG) networks have been functioning with the leadership of volunteers, who act as Leads and Co-leads of each WG. However, their work is essentially an " in-kind" donation from their home organizations. Members not part of organizations may find it more difficult to pay for travel costs or to volunteer their time.

SuSanA's official mission statement is:
> "SuSanA is an open international alliance. Its members are dedicated to understanding viable and sustainable sanitation solutions. SuSanA links on the ground experiences with an engaged community made up of practitioners, policy makers, researchers, and academics from different levels. SuSanA's aim is to promote innovation and best practices in policy, programming and implementation."

SuSanA's mission statement is under discussion, as there is a strong movement to place accomplishing SDG6, and all the SDGs, "front and center" in all that SuSanA does. This ToR requests that consultants make recommendations that will maximize the contribution SuSanA and its individual and partner organizations can make to SDG6, and all the SDGs.

SuSanA's individual members and partner organizations have not been charged a fee. We value providing free KM services to individual members and to partner organizations, however we are open to the possibility that (some or all) partner organizations may need to support SuSanA financially in the sense of externally funded projects (cooperation systems)". Along with reconsideration of SuSanA's financial situation will come re-thinking of SuSanA's organization structure, governance and management of day-to-day operations and provision of services to members.

SuSanA is an open network made up of 9,300 individual members and 312 organization partners, as of February 2018. The Alliance has a shared interest in working towards accomplishing SDG 6, water and sanitation for all, and all members are engaged in work in the WASH sector. SuSanA bridges science and policy and provides a trans-disciplinary space for sanitation and water specialists to work and learn from each other.

See Annex materials for 1) a graphic depiction of the knowledge gap SuSanA aims to address by offering various services that facilitate knowledge transfer and exchange of ideas and

information, 2) a list of the Working Groups and 3) a study done in 2014 titled "Sustainable Relationships within the Sustainable Sanitation Alliance: SuSanA Network Analysis Report."

Leadership and decision-making bodies

Relevant to SuSanA: Core Group
SuSanA's leadership and decision-making team, made up of about 40-50 individuals, is called the SuSanA Core Group. Members of the Core Group are the Working Group Leads and Co-leads, and other key individuals who have made significant contributions in the past and may hold permanent or semi-permanent positions in the Core Group. Most strategic decisions about SuSanA's future are initiated by the Secretariat and discussed with the Core Group, who can intervene, raise concerns and influence programs.

Examples of initiatives that are taken to the Core Group include setting up new "cooperation systems" like the SFD Portal, regional chapters and large projects where outside funding is required or offered. (The BMGF grant that is funding SuSanA improvement, including this ToR, was discussed and eventually approved by the Core Group.) The Secretariat makes day-to-day operational decisions, with no consultation required.

The Secretariat housed within GIZ plans the agendas for Core Group meetings, manages communication with the Core Group, and schedules periodic conference call meetings with the Core Group and periodic face-to-face meetings. For example, face-to-face Core Group meetings are often held in conjunction with other meetings SuSanA hosts. Attendance at Core Group conference calls and face-to-face meetings varies from 15-40. It should be noted that travel costs are often "in kind" contributions to SuSanA as members or their organizations cover these expenses.

We are aware that face-to-face meetings that require time and money (in-kind contributions) constrain the participation of members from the Global South. On-the-ground implementers not affiliated with organizations find it especially difficult to donate time and spend money on travel. We hope to have recommendations that address the need to increase our service to, and the participation of, the Global South.

Relevant to the BMGF grant to improve SuSanA: Project Advisory Board (PAB)
SEI is the grant recipient and is responsible for management of the funds and all sub-contracts, including the work of consultants. Arno Rosemarin (based in Stockholm) and Simon Okoth (based in Nairobi) are the project managers. **The grant Consortium** is made up of representatives from WaterAid and Oxfam, as well as independent professionals hired as SEI consultants to work on specific grant activities. The work of the Consortium is overseen by the Project Advisory Board, created specifically to oversee grant activities, which is made up of 11 people:
5 representatives of the Core Group (based on a selection process)
1 representative of BMGF

2 representatives of SEI (one being the project manager)
2 representatives of SuSanA Secretariat
1 representative of BMZ

Relevant to the Organization Study: Who is the Client?
Developing an understanding of the subject of the study--SuSanA--is a key task for the consultants. However, the traditional question of "who is the client" requires a little more clarification.

The contract for the Organization Study will be signed by the Stockholm Environment Institute. SEI is the grant recipient and the lead organization managing a three-year organization development effort, described fully in the grant to be available to the consultants. As grant recipient, SEI is the administrator of grant activities and will oversee the contract and be ultimately responsible for evaluating the consultants' work. Even though the PAB oversees SEI's work as project administrator (as described above), the PAB is not the client.

To facilitate the work of the consultants, SEI will chair a "client committee" of 5 people who can represent the long-term interests of SuSanA. Members will represent GIZ, the grant Consortium and the Core Group Representatives. For practical purposes, this committee is referred to in this document as "the client." Once all work is approved by "the client," the consultants' recommendations will go to the Core Group.

In theory and in practice, the real beneficiary of this consultancy should be SDG6. How should SuSanA organize itself and leverage its individual members and its partner organizations to achieve SDG6?

SuSanA's organization chart

The following two figures suggests ways of thinking about how SuSanA is organized. They are consistent with each other, but each one gives slightly more detail on different aspects of SuSanA's programs and processes.
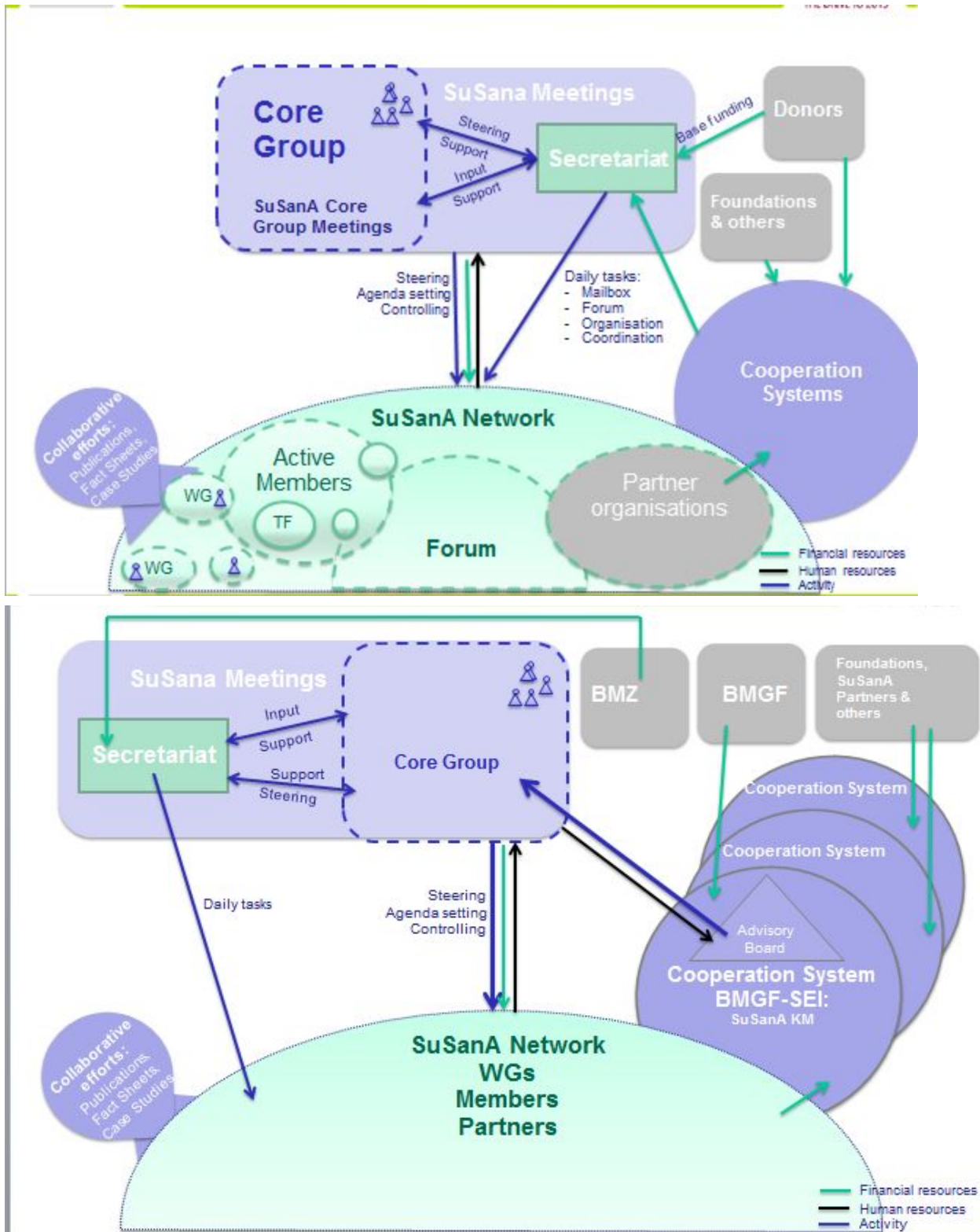
Figure 1. Schematic of SuSanA's present organization.

Currently available technical information, previous reports and monitoring data

The SuSanA website, and associated SuSanA Discussion Forum, can provide statistical information on the list of individual members and organization partners. General statistics on daily website usage, attendance at webinars and conferences, etc. are also available. An internal short study about the evolution of SuSanA's governance model and potential future models such as the Cooperation System Model was written by the SuSanA Secretariat in 2015 and will be made available as well. A marketing study done by external consultants in 2017 is also available.

SEI and the SuSanA Secretariat can provide the selected consultants with more details about how costs have been handled in the past. In summary:

- Since 2007, BMZ (The German Ministry for Economic Cooperation and Development) has funded the SuSanA Secretariat which is hosted by GIZ (Deutsche Gesellschaft für Internationale Zusammenarbeit) and is expected to continue to do this in the current form until 2020.
- Between 2007 and 2011 SEI was able to provide involvement and support to SuSanA through Swedish funding from SIDA.
- From 2012-2016, SEI received BMGF funding for SuSanA programs, mainly to develop the SuSanA Forum.
- From 2014-2017, GIZ received BMGF funding for the Excreta Flow Diagram (SFD) Portal.
- October 2016-2019 grant from the Bill & Melinda Gates Foundation to SEI to fund SuSanA development, including this study.
- Individual members and staff of partner organizations have volunteered time and resources, such as room hire, printing costs, travel.
- Individual members or their organizations cover travel costs, though there is no charge for registration for SuSanA meetings.
- All online programs and activities are free of charge.

Scope of consulting work

The study will focus exclusively on options for assuring the organizational, governance and financial future of the organization.

This will mean a critical review of SuSanA's:
1. organization and governance structure,
2. reporting and accountability mechanisms and communication strategies
3. working group structure, including incentive systems;
4. governance structure and decision-making processes; and
5. source of financing of ongoing operations and programs.

The study will also analyze other professional networks (or organizations) with similarities to SuSanA (eg membership-based, service-oriented, global membership, information and knowledge exchange activities, think tank function). Comparison with other networks (or organizations) on their organizational framework and approach to funding is a priority for this

study. The work includes identifying the selection of similar organizations to be analyzed, and having that list approved by the client. The research methodology could include desk research, unstructured interviews to gather information, or other research methods the consultants would recommend. (Research methodology is a deliverable that will then be approved by the client before the research is undertaken.)

A primary interest is making sure the comparative research includes professional networks or organizations from other sectors, given reasonable comparability with SuSanA. Seeing other successful organizational models of professional associations is important.

The scope of the work will include identifying and describing 3-5 alternative models for the SuSanA organization, and an analysis of the advantages and disadvantages of each model . The analysis should highlight what the future would hold for SuSanA if one choice or the other is made. The models should each pay attention to the three primary features: organization structure (including leadership and staffing requirements), governance and decision-making processes, and financial sustainability and accountability. The consultants may include in each model other features considered necessary for sustainable professional organizations.

Project deliverables, interim reviews, and timelines
(Due dates for deliverables will be determined as soon the date for releasing the ToR is selected.)

- Agenda and minutes from a "Project Launch" meeting with the selected consultants and the client.
- Proposed research methodology for comparative study, to be reviewed by the client.
- Proposed list of similar professional networks or organizations to be analyzed; list to be reviewed and approved by the client.
- An Interim Presentation/Report (in ppt format) and Interim meeting. 1) to the give the client interim feedback on the work, findings, and likely direction of the final report. 2) to give consultants a chance to interact with the client committee, ask questions and discuss options.
- A Final Presentation/Report (in ppt format) to be delivered to the client two weeks before the Final Meeting. That presentation will include:
  - analysis of SuSanA's (1) organization structure, (2) leadership and decision-making processes (3) financial sustainability and accountability 4) operational model with partners and members and 5) think tank capacity
  - analysis of 1, 2, 3, 4, 5 (above) for all networks/organizations/think tanks identified for the comparative research.
  - description and analysis of 3-5 alternative ways of organizing SuSanA for the future, keeping in mind SuSanA's mission for accomplishing the SDGs.
  - recommendations for the process that should be used for implementing a change of organization structure. This should include the drivers for change which might make implementation of a changed structure more possible.

- o **The Final Report should include a discussion of how to implement change**.

- A Final Meeting with the consultants and the client, to which additional members of the Consortium and Core Group will be invited.

Expected project schedule (work to be completed within 3 months of ToR release date)

        Terms of Reference to be released
        Proposals due
        Proposals assessed and "qualified" by SEI
        Proposals short-listed and discussed
        Firm to be selected, and contract signed
        First meeting with the client scheduled
        Project Launch meeting with the client and consultants
        Submit Research Methodology and list of Organizations to be studied
        Study to be conducted
        Final Report submitted
        Final Meeting with the consultants

Outline of the consultant selection process

Upon receipt of proposals, SEI will do an internal review and determine which proposals "qualify" for consideration. SEI will then rank submissions using pre-identified criteria (which will be made available as an Annex to this ToR) and will invite other members of the client group to review and rank the proposals. When a consensus emerges, SEI will award the contract.

Full address for submitting proposals, and contact information for queries

Proposals will be accepted electronically only: please do not mail hard copy
Client lead: Arno Rosemarin
Hiring organization: SEI
 Email address: arno.rosemarin@sei-international.org
Telephone number: +46707230088

Required Capacities of the Consultants

- Experience with international networks and collaboration processes.
- Expertise in system design principles, technological infrastructure and governance for international networks.
- Organization Development and action research expertise.
- Experience with international development
- Research capacity, to include desk research, interviews, ability to analyze qualitative information.
- Experience in the WASH sector not a necessity.

Required proposal contents
- Understanding of scope of project
- Work plan and timetable
- Research methodology proposed
- Corporate structure and history of clients and relevant experience
- References
- Project staffing plans and details of manpower allocated to the SuSanA project
- Staff resumes
- Fees and Budget details

Project Budget

We anticipate a total budget of $50,000. Please quote a total cost of the project, broken down by cost related to project tasks as proposed by the consultants. Also include a proposal for fee payment, associated with submission of deliverables.

Timeline

1 March	Tender released
	Proposals due
	SEI and Consortium review
	Contract negotiated and signed
1 June	Working draft deliverable submitted
1 July	Final draft delivered

Annex A

1. *Schematic of SuSanA's target space within the WASH sector showing the "middle segment" for action and exchange across the identified capacity and knowledge gap. (Source: Adapted from CAWST 2015).*
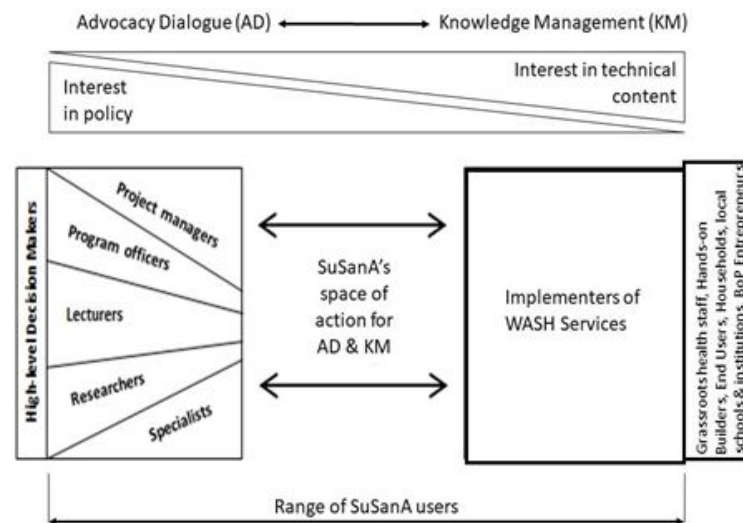
2. The SuSanA Secretariat holds responsibility for the various activities and services that come under the SuSanA umbrella. Those include:

- o Partner Profiles — Introduce yourself to peers; introduce your organization
- o Project Database — Keep up on sanitation projects being done around the world
- o Working Groups — 13 working groups covering different topics; the WGs have become large networks over recent years
- o SFD Portal — Discover SFDs (Excreta Flow Diagrams) in selected cities
- o WASH Conferences — Notes, recaps, slide presentations from WASH conferences
- o SuSanA Library — Find information and research in the curated library
- o Video Library — See footage and photos
- o Discussion Forum — Post a question or comment; debate issues; collaborate
- o Webinars — Join Skype discussions on hot topic

- o   Thematic Discussions Contribute to online discussion threads on hot topics
- o   Conferences   Attend Face-to-face gatherings of members
- o   Working Group Wikis Help create Wikis to summarize valuable information

Members can join one or more of the 13 Working Groups, each of which has a Working Group Lead who guides work and learning exchanges on that topic.

1. Capacity Development
2. Market Development
3. Renewable Energies & Climate Change
4. Sanitation Systems and Technology Options
5. Productive Sanitation and Food Security
6. Cities
7. Community & Rural & Schools (with gender and social aspects)
8. Emergency and Reconstruction Situations
9. Public Awareness, Advocacy & Civil Society Engagement
10. Operation, Maintenance and Sustainable Services
11. Groundwater Protection
12. WASH and Nutrition
13. Behaviour Change

3. Shaffer, A. 2014. "Sustainable Relationships within the Sustainable Sanitation Alliance: SuSanA Network Analysis Report." UNC.
https://drive.google.com/file/d/1ok2dwC4SRZ81Yi-eAA5LenlPK59v5lW-/view?usp=sharing