

Urban Sanitation Research Initiative

RESEARCH CALL Evaluation of user experience outcomes of Clean Team service use

This research project is commissioned under the Urban Sanitation Research Initiative, a 2017–2020 research programme (www.wsup.com/research) core-funded by UK aid from the British people and managed by Water & Sanitation for the Urban Poor (WSUP). This research project will deliver an evaluation of the user experience outcomes of being a customer of Clean Team Ghana. Clean Team Ghana (www.cleanteamtoilets.com) is a social enterprise providing container-based toilets for a monthly fee covering toilet rental and the container replacement service. Clean Team Ghana currently operates in the city of Kumasi. It currently has about 1500 customers, and is recruiting new customers at a rate of about 300 per month. This research will aim to generate evidence that is a) of wide value in Ghana and internationally for understanding the user experience impacts of container-based sanitation service models of this type, and b) of specific value to Clean Team Ghana in further improving their business model. The research should focus on user experience including i) satisfaction with aspects including for example smell and container replacement service, and ii) subjective wellbeing across a range of dimensions including dignity and security. We anticipate a longitudinal design, with customers interviewed just before service start, soon after service start, and 6 months after service start. We note that Clean Team Ghana continues to receive partial financial support from WSUP: however, we (the Urban Sanitation Research Initiative, WSUP, Clean Team Ghana) require that this evaluation be delivered with absolute critical independence, and strong mechanisms will be put in place to eliminate any risk of “reputational” interference from Clean Team Ghana and WSUP.

Maximum budget under this Call: GBP 80,000 inclusive of VAT

Bids due: Before UK 1700 hours on 4th March 2019.

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

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 seven countries in sub-Saharan Africa and Asia. Since inception we have helped nearly 18 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 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 customers. 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 2017–2020 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 British people.

Within this wider initiative, the **Urban Sanitation Research Initiative Ghana** is managed by WSUP in strategic partnership with the Ministry of Sanitation and Water Resources, Environmental Health and Sanitation Directorate (MSWR-EHSD), 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 lies in Area 3.

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 contribute to Ghanaian and international understanding of the user experience outcomes of container-based sanitation, and to provide information of specific value to Clean Team Ghana for ongoing improvement of its business model.

3 Nature of the research

3.1 Background

3.1.1 Clean Team Ghana

Clean Team is a social enterprise delivering a container-based sanitation (CBS) service to low-income households in Ghana, via a high-quality plastic toilet with a sealable internal waste container. It operates on a subscription model: customers pay a monthly fee for weekly collection and replacement of the

waste container. The business is currently serving about 1,500 customers and entering a phase of scale-up. For more detail about the business offering to customers, see www.cleanteamtoilets.com. For a wider understanding of other current container-based sanitation models, see <http://www.cbsa.global/#/aboutus>.

There has to date been no rigorous externally-led evaluation of the satisfaction of Clean Team customers, or of impacts of Clean Team adoption among customers. Similarly, and as far as we are aware, there have been no previous analogous studies of other CBS service models.¹

We note that this research will be commissioned and managed by WSUP under the Urban Sanitation Research Initiative, but Clean Team Ghana is entirely supportive, and offers **a)** close collaboration with researchers, involving substantial time allocation; **b)** willingness to facilitate researcher-customer communication for the purposes of this research; and **c)** willingness to accept a rigorous and critically independent evaluation which may (potentially) generate some unfavourable findings, which would be published even if unfavourable.

3.2 Aims, approach and design

This research will deliver a rigorous evaluation of the satisfaction of Clean Team customers and of the impacts of Clean Team adoption. It is anticipated that research findings will be of value **a)** to the wider sector in understanding the user acceptability and wellbeing impacts of container-based sanitation; and also **b)** to the Clean Team business in ongoing improvement of its service offer and in seeking capital investment. We consider that the two goals are readily achieved in parallel, but where any conflict arises in research design, (a) should take priority over (b).

3.2.1 Design

We initially anticipate that this research will use a longitudinal design, with questionnaires administered to Clean Team customers **a)** immediately before service commencement, **b)** soon after service commencement (say one month), and **c)** some time after service commencement (say 6 months). Evidently a design of this type will require the researchers to liaise closely with Clean Team Ghana; though as noted in 3.2.3 below, we would expect questionnaires to be administered by members of the research team, without Clean Team staff present.²

Bidding researchers will need to propose sample sizes, and large sample size will of course add value to the bid. We note that Clean Team is currently signing up approximately 300 customers per month. We would initially anticipate that a total sample size of at least 300/400 customers would be necessary to achieve strong results. We would initially expect sampling to be random (from within the list of new sign-ups supplied by Clean Team) and probably phased: e.g. 50 customers per month over a 6-month period.

Inclusion of matched concurrent controls (non-customers) would be possible, and bidders are free to propose this: but this would reduce sample size available for customers, and may be judged unnecessary given the longitudinal follow-up of specific customers.

¹ However, there has been some related previous research, see in particular: **a)** Tilmans S, Russel K, Sklar R et al. (2015) Container-based sanitation: assessing costs and effectiveness of excreta management in Cap Haitien, Haiti. *Environment and Urbanization* 27:1, 89-104; and **b)** Russel K, Tilmans S, Kramer S et al. (2015) User perceptions of and willingness to pay for household container-based sanitation services: experience from Cap Haitien, Haiti. *Environment and Urbanization* 27:2, 525-540

² Though we note the possibility that Clean Team observers might be present for a defined small subset of interviews, e.g. during the enumerator training period, to ensure Clean Team Ghana satisfaction with interview protocol as regards customer relations.

The longitudinal design outlined here might very possibly be preceded or supported by additional elements including focus groups or customer interviews (as a basis for design of the eventual large-sample questionnaire, likely with all questions closed).

We initially feel that a longitudinal design of this type is probably the most appropriate for a study of this type, but we are certainly open to alternative designs that respond to the primary objectives of this research. Prospective bidders who want to propose a substantially different design are free to contact us before bid submission (erl@wsup.com), to get our initial view on whether that design would be within the spirit of this call. [In that situation, we would expect the proposed design to be succinctly outlined in a few lines of email text: we would not want to be reviewing large documents before bid submission, for reasons of fairness and of our own workload.]

We note additionally that Clean Team Ghana has an interest in understanding why customers *leave*, and we would be very happy to see this incorporated into the study objectives (if the bidder judges this feasible within budget and without prejudicing the main study objectives). We suspect that this would not be achievable within the main sample, because leaving rates are not very high (so this category would constitute only a very small group within the main sample). In addition, the questionnaire would clearly need to be different. So we anticipate that this would need to be designed as a small-sample secondary study with random sampling from among an ongoing list of leavers supplied by Clean Team.

3.2.2 Outcome metrics

The research should focus on user experience including **i)** satisfaction with aspects including smell and container replacement service, **ii)** subjective wellbeing across a range of dimensions including dignity and security, and **iii)** other related “objective” metrics of wellbeing e.g. self-report of toilet queuing time.

We do not expect this research to assess potential health impacts of being a Clean Team customer, because rigorous evaluation of health impacts would certainly not be feasible within the available budget. However, bidders may wish to include self-perception of health as one dimension of subjective wellbeing.

At this stage we do not consider it necessary to define a complete and fully structured list of outcome metrics, and we would expect this list to be developed in outline by bidders at the bidding stage, and by the successful bidder in the inception phase. However, we note the following likely areas of interest:

a) *satisfaction* with the service and product across a range of dimensions (e.g. price, smell, container replacement service); evidently, these metrics could be assessed only after service start, not before

b) *subjective (self-perceived) wellbeing* across a range of dimensions, likely including dignity, security, and health; such metrics could be assessed before service start, as well as after

c) *objective sanitation-related wellbeing measures* such as toilet visit/queuing time, sanitation expenditure, and healthcare expenditure;³ again, such metrics could be assessed before and after service start

In definition of outcome metrics and in data collection, we expect explicit attention to the specific needs, preferences and attitudes of women and girls.

³ These metrics are objective in the sense that they are not own-perceptions of wellbeing; though they will probably (?) need to be assessed on the basis of self-report, not direct measurement/observation.

We are entirely open to other types of outcome metric which align with the spirit of this Call.

We additionally note the following questions of interest to Clean Team management, which we think can probably be readily incorporated into questionnaires without prejudicing the primary aims (though certainly questionnaire questions would need to be phrased in neutral third-party terms, not as a direct question from Clean Team to customer):

- Why do customers choose Clean Team over available alternatives? [*In Ghana alternatives may often include pay-per-use public toilets.*]
- What benefits are most important to customers?
- What do customers like least about Clean Team? (“complaints”)
- What benefits would customers like to see?
- Related to the above, do customers recommend (or “dis-recommend”/“bad-mouth”) Clean Team to other potential customers, and what benefits or complaints would be most likely to trigger and constitute such recommendations or dis-recommendations?
- How much money are customers spending, how much were customers spending previously, and how do these amounts relate to customers’ perceptions of their spend on Clean Team in relation to their previous spend? [*Clean Team management indicate that many customers are saving money, but under-estimate how much. However, from the research perspective we wouldn’t wish to pre-judge this.*]
- If customers aren’t in fact spending more now: where are they taking this money from, i.e. what other expenditures are they reducing? [*We understand that this may be very hard to meaningfully assess, and this should not be seen as a critical requirement.*]
- How do customers think about their budget (daily, monthly, compartmentalised or fluid, etc.)? [*We consider this to be potentially a very interesting line of enquiry, both for Clean Team information and for wider sector/academic interest. We suggest that this would require careful analysis of what a useful typology might look like, and how customers might be characterised within such a typology.*]

In addition, and as noted in 3.2.1 above, we would ideally like this contract to include a subsidiary study (probably with separate smaller sample) of why ex-customers left Clean Team.

We note that WSUP and Clean Team Ghana will require close consultation, during inception phase, around outcome metrics and questionnaire questions: we have no desire to micro-manage this research, but we consider that close involvement in identifying outcome metrics will be important to ensuring effective research.

3.2.3 Ensuring critical independence

We stress that we (WSUP as commissioning manager, and Clean Team Ghana as partner subject to evaluation) require this evaluation to be delivered with absolute critical independence. We guarantee full academic independence to publish findings and researcher interpretations thereof, even if negative for Clean Team reputation, and we will ourselves actively encourage a critical approach in research design, data collection and data interpretation. Mechanisms to ensure critical independence will include **a)** the majority of data collection to be done by research team fieldworkers, not in the presence of Clean Team employees (Clean Team employees may attend an initial subset of interviews, to ensure interviews are not impacting negatively on customer relations, but will be absent thereafter); and **b)** review (at design stage and reporting stage) by an external panel of reviewers charged with ensuring critical independence. Note however that we (WSUP and Clean Team Ghana) will expect to be closely involved in detailed research design (e.g. questionnaire design) to help ensure that the design will be fit for purpose: in essence, this means we will be closely involved in defining metrics, but firewalled from subsequent assessment against those metrics.

We note that skilled enumerators will be critical to a successful study. In order to conduct customer interviews effectively, enumerators will need a base level of subject understanding, and the interviewing technique to ensure customers i) fully understand the questions being put to them; and ii) are given the space and freedom to express their opinion. Bidders should reference how they will ensure enumerators have adequate skills and training to conduct customer interviews.

We are happy for bidders to propose other means by which critical independence can be assured, without prejudicing the evident need of the Urban Sanitation Research Initiative and Clean Team Ghana to ensure that this research is effectively designed and delivered.

To ensure that this research meets the requirements of both WSUP and Clean Team Ghana, we have signed a Letter of Collaboration outlining each party's requirements: this LoC will be shared with the successful bidder.

3.3 Core requirements for work under the Urban Sanitation Research Initiative

The following are core requirements for 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

The following deliverables are required:

- a)** an inception report⁴ for WSUP (about 5 pages) detailing the methodology to be followed, within 6 weeks of contract signature
- b)** a final report of full findings written with WSUP and Clean Team Ghana as primary audiences, including raw data as appendix (e.g. in Excel format);
- c)** a research paper arising from this work, written as a journal article in the format of a named peer-reviewed journal; bidders may wish to propose an indicative title for this paper at bidding stage;
- d)** 2-page Policy Brief summarising key findings of relevance to Ghanaian and global stakeholders

In addition, we require brief monthly email updates on progress (bulletpoint format is sufficient) and a short (3-5 pages) progress report at the halfway point of the project. The inception report (a) must include a specific short section indicating how the Core Requirements (Appendix A) are being met.

⁴ Depending on the approach of the selected bidder, this may already include full questionnaires, or full questionnaire development may come subsequently; in the latter case, we would expect to be closely consulted on questionnaire design.

The above listing of deliverables does not include minor deliverables, potentially including preparatory documents and/or presentations for workshops, subsequent workshop reports, blog posts or videos for the Urban Sanitation Research Initiative website, or early reports of findings that can be made available for in-country or international communication. The WSUP team is likely to create additional short web and print publications at various stages in this project, informing about project start-up and methodology, and about emerging findings as documented in researcher reports: the research team will be fully consulted before any such publications are released.

All deliverables (including draft-stage submissions) 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.

Deliverable (c) is a research paper,⁵ to be written as a journal article in the format of a named journal, not as a report for WSUP or country-level stakeholders. We do not require research papers to be accepted by the named journal by the specified deliverable date (that lies beyond the researchers' control); but we will require submission by the specified deliverable date, and we will favour bidders who have a significant academic publication record and own-incentives for prompt journal publication. We (WSUP and the partners of the Urban Sanitation Research Initiative) expect to have full opportunity, with sufficient time allocation, to review and respond to research papers in journal article format; we reserve the opportunity 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.⁶

We anticipate regular (monthly or two-monthly) sharing of incoming customer satisfaction data and other data with Clean Team Ghana. This should be summary data across the sample, i.e. average/median/mode data, not full response-frequency-distribution data or data for individual customers, or for closely defined locations or customer groups. This will make this research more useful for CTG. However, it raises an issue of change over time: if CTG sees that smell (for example) is a major customer concern, the CTG team are likely to introduce measures to reduce that concern. This must be accepted by the Researcher and taken into account in eventual data interpretation. This approach to data sharing (sharing of average not individualised data) is designed to ensure that CTG can see broad trends emerging and respond across their customer base if they wish to; but to prevent CTG from seeing data for individual customers or closely defined locations, which would allow them to respond specifically to individual customers or closely defined locations. Full data (with full individualisation) will be shared with CTG and WSUP at the end of the study.

⁵ Publication in a peer-reviewed journal is a consistent requirement for all work commissioned under the Urban Sanitation Research Initiative. We note the reasons for this: many potential audiences for these research findings may not read journal articles, but requiring journal publication **a)** incentivises contracted researchers to pay strong attention to academic rigour, and **b)** gives a "stamp of authority" to eventual findings, which can enhance research uptake even among people who don't read the journal article itself.

⁶ 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).

3.5 Schedule

Date	Milestone/deliverable
11 th Feb 2019	Release of this Call
Before UK 1700, 4 th Mar 2019	Bid submission
1 st April 2019	Anticipated start date
1 st May 2019	Inception report submitted to WSUP
31 st January 2020	Draft final deliverables submitted to WSUP for review
Before 29 th February 2020	Journal article submitted to journal
29 th February 2020	Final deliverables submitted to WSUP

We stress that this is a 11-month project with no possibility of costed or no-cost extension, and research design will need to take this into account. Final deliverable c (journal article submitted to journal) 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.

4 Team profile

We are happy to consider any proposed team structure that provides the required skills and capacity. The research team should have strong understanding of urban sanitation, and demonstrable capacity to deliver a study of this type with academic rigour (including demonstrable capacity for academic publication). The lead organisation may be Ghanaian or non-Ghanaian, but a project with non-Ghanaian lead will need to demonstrate sufficient capacity to manage work in Ghana through own-staffing or subcontracting. Questionnaires will likely need to be delivered in Twi, or in some cases Hausa. We are happy to respond to queries about team structure during the bid preparation period.

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 and Clean Team Ghana immediately and in perpetuity to reproduce and use the findings of the research as WSUP or Clean Team Ghana deem fit, including in WSUP publications drawing on the research findings, including by partners of the Urban Sanitation Research Initiative, and including in Clean Team Ghana marketing material. In any use by WSUP or Clean Team Ghana 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 Sam Drabble (WSUP Head of Research & Learning). Close liaison will also be expected with Azzika Tanko, WSUP Ghana Research & Policy Lead; and with Kelvin Hughes, CEO Clean Team Ghana, and other relevant Clean Team Ghana staff.

7 Contract terms

A standard WSUP Research Agreement format will be used. This forms part of the Information Pack associated with this Call.

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

All payments will require prior invoicing. Payment will be 20% on contract signature, 30% on acceptance by WSUP of final versions of household questionnaire (or other midterm deliverable to be agreed with Researcher), and 40% on acceptance by WSUP of final deliverables including article submitted to journal.

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 any sub-contracting of staff, any travel costs, and the full costs (including venue and participant travel costs as required) of any workshops or similar meetings. Over and above this budget, WSUP will additionally consider bearing a cost of up to GBP 1,500 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

9.1 Bid format

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 4th Mar 2019. We stress the importance of adhering strictly to the instructions below, including word counts; we do not expect to receive long 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 justification, not ethical justification (*max 400 words*)
- 5) Statement of the approach and methodology to be used (*max 2000 words*).** 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.]
- 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 in GBP.** Clearly indicate total budget (maximum GBP 80,000 inclusive of VAT).

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 five 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 1-5 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	30
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)	20
f) Value for money within available budget	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. 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: 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.