CALL FOR PROPOSALS

TERMS OF REFERENCE FOR CONSULTANTS
Study of corruption and integrity in the urban sanitation sector in 3 cities (3 separate contracts to be awarded)

1 BACKGROUND

We are seeking 3 separate consultants to deliver 3 separate studies under 3 separate contracts. Each study will focus on a large city (1 each in sub-Saharan Africa, Latin America, and Asia). The 3 consultants may, if appropriate, be invited to liaise by email/skype, to share ideas and approaches.

In each city, the study will deliver a brief analysis of corruption and integrity in the sanitation sector. The consultant can choose to focus on a subsector or a specific program within that city.

We expect each analysis to be based on a) interviews with key stakeholders, and b) a review and collation of published information (such as national and local newspaper reports, government and civil society reports) and programme documentation related to corruption and integrity in the sanitation sector in that city.

This work will feed into the Water Integrity Global Outlook 2021, an international report to be published by the Water Integrity Network next year.

The study should focus primarily on sanitation, although in some cases there may be overlaps with water supply, such as programmes to increase the accountability of both water and sanitation services.

2 OBJECTIVE

The objective of the assignment is to develop an overview of types of corruption and integrity failures, as well as measures being taken to combat these issues in different cities.

3 SCOPE OF SERVICES

- Document and analyse processes to combat corruption and other integrity failures in the urban sanitation sector. These can include such initiatives as national anti-corruption programmes, strengthening of capacities for regulation, audit and oversight of urban water and sanitation, programmes to share information and increase transparency, engagement of civil society and community participation in the management of sanitation (and water), and efforts to improve urban governance with gender-based and human-rights perspectives. Consultants are invited to consider a range of “top-down” and “bottom-up” approaches in their discussion of these “ways forward”. In the selected city, it may be that efforts to promote integrity related to sanitation are still not well-developed, but the study will be expected to assess this. This discussion should include a description of existing approaches and an analysis of the effectiveness of them, and should provide recommendations for how to expand such efforts and improve their effectiveness.

- Collate any existing relevant reports of corruption and other integrity failures and measures to address them, particularly in the last 5 years.
• Where appropriate, identify and interview key stakeholders (approximately 20) who can provide different viewpoints. We would expect these stakeholders to represent diverse interests in the sanitation sector. They include local CSOs/CBOs, journalists, and organizational/institutional stakeholders potentially including development banks, NGOs and regulators. In addition, the case studies could document perspectives from users, especially from impacted marginalized groups (such as slum dwellers, ethnic minorities, women, etc). Within the interviews, we expect to see gender balance to the extent possible.

• Where possible the case study should address issues of how corruption differently affects groups according to gender and other forms of marginalization.

4 DELIVERABLES AND SCHEDULE

The specific deliverables are:

1. Draft case study report due by 15 June 2020
2. Final case study report due by 31 July 2020

We expect a final report of approximately 20-30 pages. We are particularly interested in detailed listing and specific documentation of different types of integrity failures and approaches to combatting these in the sanitation context in the focus city. This may include quotations from respondents. Respondents must give their permission to be quoted.

Reporting should include clear distinction between i) corruption and integrity failures which have been clearly and publicly documented, and ii) corruption and integrity failures which have not been publicly documented, or which are merely suspected. In relation to the latter, anecdotal evidence and suspicions can certainly be included, but should be clearly indicated as such, with clear statement of the source of evidence. We do not require an extensive introduction or extensive background information on the city and its sanitation sector: 2-3 pages will be sufficient.

Payment schedule:

• 20% upon the approval of proposal by WIN and signing the contract
• 50% on submission and approval of the 1st draft
• 30% on submission and approval of the final draft

5 QUALIFICATIONS OF THE CONSULTANT

The lead consultant should demonstrate the following qualifications and competencies:

• Good understanding of urban water supply and sanitation sector
• Proven knowledge of the sanitation sector
• Excellent writing skills in English and good knowledge of the local language in the case study location
• Good understanding of good governance/integrity/corruption issues
• Proven analytical skills and ability to synthesize findings from diverse materials and sources.

The following will be advantageous:

• Knowledge of or experience in urban planning and management
• Knowledge of or experience in gender mainstreaming and social inclusion
6 REMUNERATION

The maximum budget available for each case study is EUR 9,500. Proposals will be assessed on value for money, among other factors.

7 COMMUNICATION

Umrbek Allakulov, WIN’s Research and Evidence Coordinator will be the responsible person for this contract.

8 PROPOSAL SUBMISSION

Interested consultants are invited to submit a proposal (including a project plan, budget, and CV) to Umrbek Allakulov at uallakulov@win-s.org. The deadline for submitting proposals is 11:30 pm CEST, 8 April 2020.

Please note that WIN cannot guarantee safety or extend protection to consultants undertaking this work. Please include a brief section outlining your understanding of whether it would be acceptable and safe for you to do this work, and measures you would take to mitigate any risk.

Instructions for proposal preparation

Please give a brief overview (max 2 pages) of:

- Your understanding of the sanitation-related corruption and integrity risks, as well as approaches to strengthen integrity in the city in which you are proposing to deliver this work. Here you can refer to documented instances of corruption and wider integrity failure, but also to anecdotal/suspected instances.

- The status of the case study that you intend to document (e.g. current, historical (give dates), under investigation, suspected etc)

- The nature of research and documentation that you propose to undertake.

In discussing the areas of corruption, your response should aim to follow our 3-way categorization of types of integrity failure (see Appendix), though certainly you are free to identify situations which do not sit easily within this categorization. In your discussion of current and possible solutions, we encourage you to consider approaches to promoting transparency, accountability, participation, and anti-corruption measures.
9 APPENDIX

We categorize types of integrity failure as follows, and consultants should aim to follow this classification:

1) Corruption in public financial management:

This category covers inappropriate capture of public resources by public or private actors. Examples might include: a) accounting fraud and diversion of major public funds; b) smaller-scale accounting fraud e.g. fraudulent expenses claims, abusive demands for per diems; c) procurement corruption; d) nepotism in contract award or employment; e) businesses paying bribes to gain some benefit (e.g. subsidy, avoidance of pollution fines); f) false or inflated invoicing.

2) Corruption at the citizen-institution interface:

This category centrally covers bribery of public officials by private citizens, to obtain a benefit or avoid a penalty. Examples might include a) bribery to obtain a subsidy, or to obtain a non-subsidized but desirable benefit (e.g. a sewer connection); b) bribery to avoid a penalty (e.g. landlord pays bribe to public official to avoid fine for non-provision of adequate toilets for tenants). These situations may range from collusion (the citizen is essentially happy to pay the bribe) to extreme extortion (the public official denies a clear basic right, or fabricates a reason to impose a penalty). Extortion may include sexual extortion (public official demands sexual favours).

3) Wider integrity failures:

The previous categories have focused on corruption, essentially unethical decision-making for personal financial gain. This category considers wider types of integrity failure. Examples here may include a) allocation of financial or other resources that is not fair and equitable, but is instead designed to win votes and/or to satisfy favoured groups (e.g. very wealthy elites, middle-class citizens, the military, public employees, favoured ethnicities); b) allocation of financial or other resources that is not fair and equitable and cost-effective, but is instead designed to achieve a “public relations” goal (e.g. government or NGO investment designed to demonstrate large “numbers of beneficiaries” cheaply rather than achieve real benefit); c) whitewashing CSR investments (e.g. a brewery which loudly invests a small amount of money in improving slum water supply, but is meanwhile over-extracting local water resource).

We have given illustrative examples here of different possible types of corruption and wider integrity failure; other types of corruption or integrity failure may exist in your city.