



**sustainable
sanitation
alliance**



Concept Paper

SuSanA 2.0



Imprint

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Abbreviations

BMZ	Federal Ministry for Economic Cooperation and Development
CMTF	Change Management Task Force
GIZ	Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH

SuSanA	Sustainable Sanitation Alliance
WASH	Water Sanitation and Hygiene

1 Introduction

Since its foundation in 2007, SuSanA has grown to become a very large, and at times influential, network of organisations and individuals on sustainable sanitation. Its growth has contributed to challenges related to its model of structure, governance and operations, and the Bill and Melinda Gates Foundation commissioned a consultancy in 2018 to consider how SuSanA could re-shape for a new era in its development.

The consultancy, by Sphaera, is considered to have been accurate in many ways in its analysis. But it is understood to have been conducted in a manner that did not bring central people in SuSanA with it towards its proposed solutions, and it approached the challenges with a framework and understanding of the world which was in some ways alien – and arguably inappropriate – to SuSanA's people and situation.

The main Sphaera recommendation that survived into the next phase was the creation of a Change Management Task Force (CMTF), which was created by the Core Group to lead SuSanA on its journey towards a new way of being, **now known as SuSanA 2.0.**

The CMTF has gone through an initialisation phase of its work, begun work with consultants and worked through a concept phase. It has now engaged in consultations with the Secretariat, several focus groups of key informants, and the Core Group of SuSanA to take forward decisions about the shape and direction of SuSanA 2.0. Before the consultants began their assignment, the CMTF had already done work on the Vision and Purpose of SuSanA 2.0, producing these statements:

Vision Statement

“All people have access to sustainable sanitation, without distinction of any kind as to race, colour, sex, gender, language, religion, political or other opinion, national or social origin, property, birth, disability or other status.”

Purpose Statement

“The Sustainable Sanitation Alliance is dedicated to informing, educating, and inspiring sector professionals, policy makers, researchers, and other agents of change by linking on the ground experience with an engaged community of practice, to achieve sustainable sanitation for all.”

The intention of the work conducted with the consultants is that the shape of SuSanA 2.0 is designed to enable these ways of seeing the alliance to be actualised.

Two papers were prepared by the consultants and used by the CMTF in advancing its work: a *Status Quo Analysis*, and a *SuSanA 2.0 Options Report*. From these, the CMTF has determined some key directions and shapes for SuSanA 2.0; these are covered in the next chapter of this *Concept Paper*. Potential elaborations of each key component are set out in the chapters that follow; these are draft proposals which may still be subject to amendment and additions. The continuing process of discussion of the concept, while a transition plan is put in place, will enable further elaboration later in the process.

The focus of this paper is the membership structure, governance structure and key operational structures for SuSanA 2.0. The paper does not elaborate the Vision and Purpose into strategic directions but is based on the belief that these structures would enable and facilitate any key strategic directions chosen by future decision makers.

2 Broad Decisions of the Change Management Task Force

The CMTF considered options for SuSanA 2.0, using the consultants' *Options Paper*, under these headings:

- Options for Membership
- Options for Governance and Decision-Making
- Options for Hosting or Registration
- Options for Operations and Secretariat
- Options for Resourcing Framework.

In their *Options Paper*, the consultants presented several options under each of these, with an exploration of advantages, disadvantages and implications. They then facilitated discussion and decision making in the CMTF, which also met separately from the consultants to advance discussions, for priorities under each area. Discussions were wide-ranging, sometimes intense, but worked towards a consensual conclusion in each area. The broad decisions in each area were these:

2.1 Membership

The driving force for any effective alliance or network is members who are active on behalf of the collective. The approach taken here to the membership structure of SuSanA 2.0 is designed to generate over time an alliance that is driven by active members, while remaining accessible to those less able or willing to give time to the collective cause.

Generating activism amongst members is about developing a sense of ownership and belonging. The closer to the centre of membership you are, the stronger your sense of ownership and belonging. A challenge for SuSanA has been that those not near the heart of the early stages of SuSanA have found it difficult to build this sense. Both the membership arrangements and the governance and decision-making arrangements for SuSanA 2.0 need to enable members, at least those at the core of membership, to build this.

Accordingly, the CMTF considered who should be at the heart of membership in SuSanA 2.0. Their conclusion was that individuals should be the core of membership, and as the primary voters in governance arrangements should be seen as Full Members. There should be no more than a nominal membership fee, or in its absence some other means³ of ensuring that Full Members are genuinely those who choose to play an active role in the Alliance.

Alongside this, organisations would be encouraged to become Organizational Members. As such, they should make a financial contribution, either a fee or some other way of contributing such as a grant. Since collectively they would be making a significant financial contribution, they would need to have some representative space in governance bodies, but this should be a minority compared with representatives of Full Members.

During a transition phase, it would be necessary to enable current individual members and organisational partners to choose their place in SuSanA 2.0. It is proposed, therefore, that in addition to Full and Organizational Members, there should be a category of Subscribers (or similar title) that enables those with no interest in being a real part of SuSanA 2.0, but who value passively receiving and having access to information, to continue to access some knowledge products.

³Membership should be affordable; this should be decided by the Interim Steering Committee, following a more thorough study/business plan. The concept is that everyone who wants to be a Member should be able to. The business plan should also consider the cost of administration, and other issues such as "scaled" or even "voluntary" fees.

One outcome of SuSanA's deliberately informal structures to date is that many members are unclear about their rights, roles and responsibilities. In SuSanA 2.0, there should be a clear statement of these for each category of member.

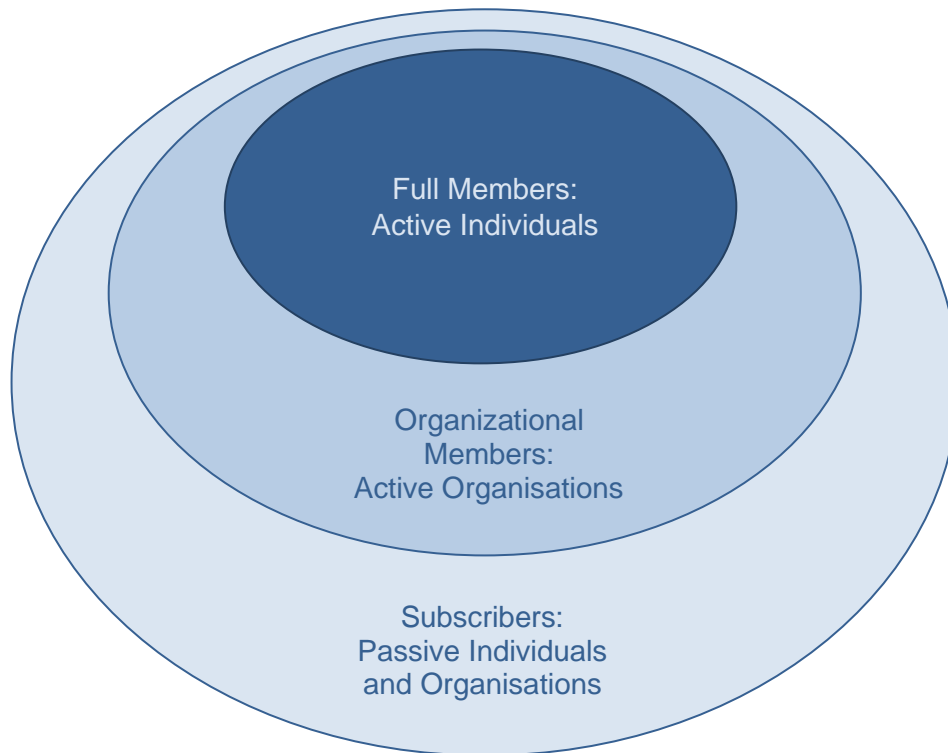


Figure 1: Membership Structure for SuSanA 2.0

2.2 Governance and Decision-Making

One of the fundamental requirements for SuSanA 2.0, agreed by the CMTF, is that the way it is governed should be inclusive and transparent. A consequence of informality (which has had many benefits) is that ways of engaging in decision-making in SuSanA have been opaque; many members have been unclear about how to be involved, about why the people currently involved are in the positions they are in, and about how to influence decision-making.

An inclusive approach to governance enables members to begin building their sense of ownership of SuSanA 2.0, and their sense of belonging in it. Inclusion begins with having a say in who sits on key governance bodies – voting rights.

The CMTF recognises the need for a global Steering Committee. Most of its members should be elected by the Full Members, with a relatively small number of places reserved for representatives of organisations that are Organizational Members.

Having explored options for segmenting the membership into sub-categories whose voices should be represented on the global Steering Committee, the CMTF concluded that there is a key role here for the regions. Some regions already have regional chapters. Under the proposed arrangements, all regions would need to have some level of definition.

This is because the CMTF concluded that the global steering committee should be composed of regional representatives of Full Members, elected by the regions, alongside a small number of representatives of Organizational Members. This would provide each region with a direct connection with global decision-making, re-balancing a perceived Euro-centricity under current arrangements. The global Steering Committee would oversee the work of a global Secretariat; and the Secretariat would enable the functioning of the various groups of members and other mechanisms delivering SuSanA 2.0's work. See Figure 2 below.

There is also a proposal that the Steering Committee should be supported by an Expert Advisory Group⁴, selected to ensure that the best experts in the sector and amongst the members are able to support strategic thinking, identification of emerging priorities and trends, and key areas for influence of institutions.

This paper does not cover future strategic directions for SuSanA 2.0. There has been some discussion in the CMTF about strategy, including the potential for advocacy to play a larger role in the work of SuSanA 2.0. It is believed that the governance structure proposed in this *Concept Paper* would be able to accommodate this type of development in the Alliance's strategic directions.

2.3 Hosting or Registration

The CMTF explored the advantages and disadvantages of SuSanA 2.0 legally registering as an organisation (including choices of jurisdiction under which to register); being hosted by an organisation already associated with SuSanA and the Water Sanitation and Hygiene (WASH) sector; and being hosted by an organisation that could act in a neutral fashion through not being connected with the WASH sector.

The CMTF concluded that registration and the consequent legal responsibilities are, at this stage in its development, a step too far for SuSanA 2.0. Hosting is the preferred option for the near to mid-term, with the possibility that registration may be appropriate in a few years' time.

So hosting is the option chosen by the CMTF. There are good reasons to step away from the current arrangement with the Deutsche Gesellschaft für Internationale Zusammenarbeit GmbH (GIZ). This has brought many advantages to SuSanA as it developed, but has also led to some constraints, such as limitations for some donors to contribute to SuSanA core work, and the view of the CMTF is that a different host would strengthen the future of SuSanA 2.0. The CMTF has concluded that a host from within the sector is a better option than a neutral host, on the grounds that they will have a stronger motivation for supporting SuSanA 2.0, and that they are likely to have an existing relationship with most of the potential donors to SuSanA 2.0, easing the process of broadening its resourcing base⁵. A contractual agreement with a new Host Organisation would be put in place; given a fixed term for such a contract, SuSanA 2.0 would be able to consider rotating the Host Organisation every few years.

It should be emphasised that the role of the host, as perceived by the CMTF, is a purely legal and administrative cover and support for SuSanA 2.0. Being host would offer an organisation no greater say in SuSanA's strategic directions and other choices than other organisations and members would have. See Figure 2 below.

⁴ Steering Committee to decide this. CMTF includes this suggestion as an option, but not yet as a part of the structure in Figure 2.

⁵ Criteria to be finalised before an open call for hosts; these advantages could be included, with or without specifying that a host must be within the sector.

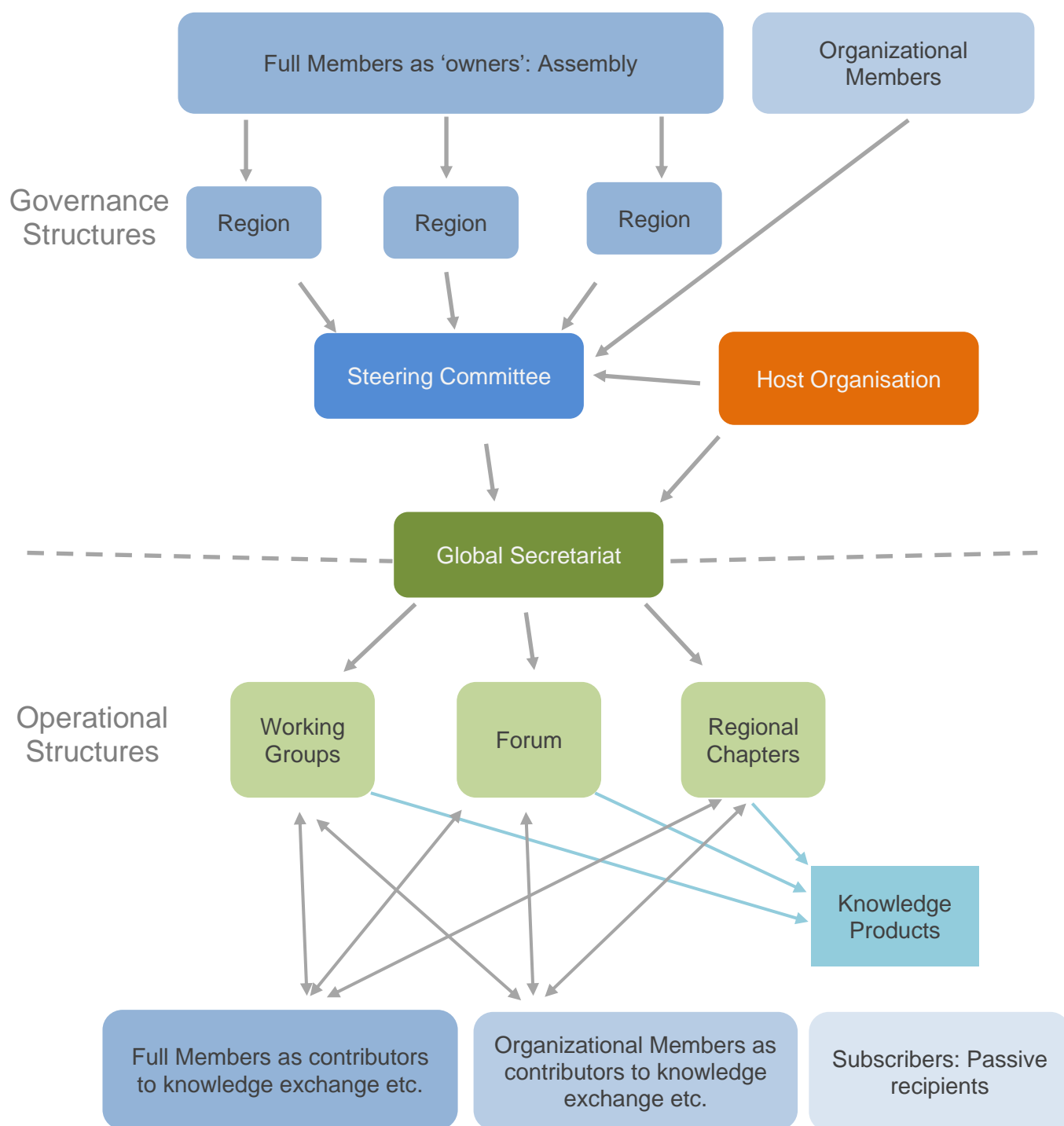


Figure 2: Organisational Structures and Position of Host Organisation

2.4 Operations and Secretariat

As noted under Governance and Decision-Making above, the CMTF foresees a Global Secretariat operating as facilitator and enabler of the Alliance. It would be overseen by the Global Steering Committee and would manage all of the resources being used to advance the cause of SuSanA 2.0, bringing in-house the various co-operation systems that have been needed in SuSanA's more informal phase⁶. The Global Secretariat would anchor the implementation of the strategy approved by the Steering Committee, primarily through enabling and facilitating members to cooperate, and managing the systems for cooperation and information exchange.

In discussion, it was noted that the Secretariat does not necessarily need to be located in a single place. A Global Secretariat can be recruited and located globally, enabling SuSanA 2.0's full-time staff to reflect more closely the diverse nature of its membership, widening the pool of potential recruits, and thereby potentially enabling SuSanA to draw on the best available talents across the world.⁷

The Secretariat has the task of enabling members to function effectively as a knowledge pool and source of collective influence in the realm of sustainable sanitation. This is assumed here to include continuation in some form of Forum activity; continuation and expansion of Regional Chapter activity; and some means of enabling groups of members to focus on topics – to date, done through Working Groups.

There is substantial evidence that the current Working Group arrangements have been overtaken by the rapid growth of membership and need review; the CMTF has not to date examined the options for reform or rebirth, but the proposals on membership in 2.1 above imply that current members who become Subscribers rather than Full Members would no longer be able to be even nominally members of Working Groups, so numbers per group would reduce significantly. This would be a useful starting point for reviewing the functioning and range of current Working Groups, an exercise that is strongly felt to be needed. It is also recognised that leadership of groups needs some refinement, including the possibility of rotation and a move towards greater geographical diversity.

2.5 Resourcing Framework

The CMTF recognises that one key reason for creating SuSanA 2.0, in a more formalised way than the informality that is at the heart of the existing SuSanA, is to create the scope for attracting a wider range of grant donors. There is some evidence to suggest that a combination of informality in decision-making structures and GIZ hosting the Secretariat has limited the range of grant-makers from whom SuSanA can get support. Where it was possible to channel funds to SuSanA activities through other means, apparent benefit to European organisations has contributed to negative perceptions in other regions.

So, a priority for SuSanA 2.0 would be to work on retaining existing grant contributions, including from GIZ/Federal Ministry for Economic Cooperation and Development (BMZ), and then expanding the range of grant-makers beyond these. Those making contributions through a co-operation system would be asked and encouraged to adjust their grant-making channels so that the new governance structures can oversee the totality of SuSanA's resourcing through one financial system.⁸

⁶ There have been questions about feasibility (possibly desirability?) of this. There is a strong case for the Steering Committee and Secretariat having oversight of all resources contributing to SuSanA 2.0's work; this is easiest if it happens within one budgeting and accounting system; but practical continuity of some existing Cooperation Systems may need a little flexibility here. The CMTF notes that practicality (e.g., Regional considerations of logistics) needs to be considered in any centralization of resources.

⁷ Experience of globally distributed secretariats for other global networks and alliances suggests that they can be very effective, for the reasons given here. They do benefit, though, from some regularity of face-to-face contact, which is an important underpinning for the strength of otherwise electronic working relationships. At a time of Covid travel restrictions, face-to-face opportunities may not be possible, and in this case a globally located secretariat may not be feasible or beneficial as this suggests.

⁸ See footnote 7. This should be encouraged; some flexibility, especially over timing, may be needed to achieve effective oversight by the Steering Committee.

The CMTF also recognises that many grant-makers need to be convinced of the Alliance's willingness to contribute to supporting itself where possible. In addition to the many hours of time willingly given by members, it is important that those members who can contribute financially do so.

The CMTF considers that organisational Organizational Members should be required to make a contribution but has agreed that setting amounts and other logistical questions should be left to the Steering or Change Committee to decide. Consideration will also need to be given to the fact that some organisational members are constrained in different ways in their financial contributions; some may find it easiest to be charged a membership fee; others may need to make this a grant, not a fee, because of their internal decision-making mechanisms.

Full Members, as individuals, are more constrained in what they can contribute financially. The CMTF has debated whether no fee, or a nominal one, should be charged. The difference between no fee and a nominal fee needs to be decided on the basis of the administrative costs of handling the small-fee option. This does not prevent SuSanA 2.0 from offering an opportunity to individual members to make voluntary contributions; this could, and probably should, be built into the online systems for membership. There may be ways of channeling members' resources to cross-subsidisation of economically disadvantaged members, as a means of generating solidarity.

Historically, SuSanA has been proudly open-source in its approach to knowledge and information. This is crucial to its role in the sector.

Conclusion

This section provides the skeleton of how SuSanA 2.0 should be shaped. The remaining sections of this *Concept Paper* aim to add more flesh to these bones. Each section is in draft form; they continue to be subjected to scrutiny and adaptation to SuSanA 2.0's needs and situation.

3 Membership of SuSanA 2.0⁹

3.1 Full Membership: rights, roles and responsibilities

Full Members are individuals who are active in the world of water, sanitation and hygiene (WASH), who have an interest in sustainable sanitation, and who are willing and able to make a contribution to SuSanA.

Any individual who meets these criteria is welcome to sign up as a Full Member; in doing so, they would take on these rights and responsibilities:

Rights and responsibilities in SuSanA 2.0 decision-making

- The right to attend, and vote at, Annual Assemblies (whether virtual or face-to-face)
- The right to vote for Regional Representatives on the Steering Committee
- The right to stand for election to the Steering Committee, and to nominate other Full Members for election to the Steering Committee
- The right to be considered by the Steering Committee for a role in the external representation of SuSanA
- The right to be kept informed on discussions and decision making of the Steering Committee
- The responsibility to attend Assemblies and other governance activities involving members whenever possible
- The responsibility to participate in Assemblies and elections with the best interests of SuSanA 2.0 at heart
- The responsibility to be well informed about SuSanA 2.0 in general, and in particular on matters on which Assemblies are making decisions
- The responsibility to pay any fees or other financial contributions as decided by the Steering Committee

Rights and responsibilities in the activities of SuSanA 2.0

- The right to participate in all working groups of SuSanA 2.0
- The right to participate in Regional Chapter activities
- The right to be considered for a leadership position in group activities of SuSanA members
- The right of access to all knowledge products and information sources of SuSanA 2.0
- The responsibility to participate in working groups on topics in which the Full Member has professional specialism and knowledge
- The responsibility to contribute knowledge, information, and if requested leadership, to groups and activities in which the Full Member participates
- The responsibility to make active contributions to the information systems and knowledge products of SuSanA 2.0, particularly in the Full Member's areas of professional specialism
- The responsibility to act in accordance with SuSanA's values and code of conduct¹⁰

Any Full Member demonstrably not living up to their responsibilities may be asked by the Steering Committee to step down to Subscriber level.

⁹ When SuSanA 2.0 is launched, all current individual members will be provided with these details and invited to choose between Full Membership and Subscriber status

¹⁰ A Code of conduct has been drafted by the CMTF

3.2 Organizational Membership: rights, roles and responsibilities

Organizational Members are organisations which are active in the world of water, sanitation and hygiene, have a commitment to and interest in sustainable sanitation, and are willing and able to make a contribution to SuSanA 2.0.

Any organisation meeting these criteria, which is also willing to make the necessary financial contribution, is welcome to become an Organizational Member, subject to acceptance by the Steering Committee; in doing so they would take on these rights and responsibilities:

Rights and responsibilities in SuSanA 2.0 decision-making

- The responsibility to make a financial contribution of at least \$xxxx per year¹¹ to SuSanA 2.0; this may be in the form of a membership fee, a grant, or some other financial instrument
- The right to attend and contribute, but not to vote at, Annual Assemblies
- The right to vote in elections for Organisation Representatives on the Steering Committee
- The right to nominate the Organizational Member's own personnel, or personnel of other Organizational Members, as Organisation Representatives
- The right to sit on the Steering Committee automatically, if they so choose, as no vote ex-officio members, if making a significant financial contribution to SuSanA 2.0 (as defined and negotiated with Steering Committee)
- The responsibility to be well-informed about SuSanA 2.0 in general, and in particular on any matters to which the Organizational Member is contributing to discussions

Rights, roles and responsibilities in the activities of SuSanA 2.0

- The right to participate in all groups and activities of SuSanA 2.0
- The right of access to all knowledge products and information sources of SuSanA 2.0
- The responsibility to encourage personnel with appropriate professional specialisms to participate in working groups
- The responsibility to contribute to SuSanA 2.0's knowledge products and information systems, particularly in areas of professional specialism of the organisation and its personnel
- The responsibility to act in accordance with SuSanA's values and code of conduct

The place of organisations making grants to SuSanA 2.0

- Organisations and institutions wishing to make grants to SuSanA 2.0, whether for its core costs or particular projects or components of its work, have options about their engagement with the network:
- Option 1: They choose to become (or are already) Organizational Members, meet the necessary criteria, and are willing to take on the responsibilities outlined here. Their grant-making becomes part of the financial requirements for Organizational Members, and they engage exactly as other Organizational Members do in the governance and operational work of the network. If their grant is more than \$xxxx¹² per year, they are entitled to a place on the Steering Committee (see section 5).
- Option 2: They choose to be a donor to SuSanA 2.0. In this case, they have no place in the internal governance or operations of SuSanA 2.0; their engagement and influence is through the normal funding proposal/approval/contract arrangements that they would

¹¹ Steering Committee to define suitable amount as part of business development

¹² Steering Committee to define

have with any other grantee organisation. They are external to SuSanA 2.0. Donors can be invited to be observers at Steering Committee meetings.¹³

3.3 Subscribers: rights, roles and responsibilities

Subscribers are individuals or organisations who value the information and knowledge products of SuSanA, who wish to avail of them, but who do not wish to make an active contribution to SuSanA.

Any individual or organisation may become a Subscriber; they would take on these rights and responsibilities:

Rights and responsibilities in SuSanA 2.0 decision-making

- Subscribers play no role in the decision-making of SuSanA 2.0

Rights and responsibilities in the activities of SuSanA 2.0

- Subscribers have access to the Discussion Forum, knowledge products, and information sources of SuSanA 2.0¹⁴
- Subscribers may not participate in working groups of SuSanA 2.0
- Subscribers have no responsibilities in the activities of SuSanA 2.0, and are not expected to make contributions of knowledge and information

¹³ This may be adjusted to take into account on-going discussions with donors.

¹⁴ CMTF decided that Discussion Forum should be open

4 The Place of the Regions in SuSanA 2.0: Roles and Responsibilities of Regional Chapters

In SuSanA 2.0, regions of the world will play a larger role than in SuSanA to date. The proposed roles and responsibilities of Regional Chapters, and their place in the structures of SuSanA 2.0, follow below.

4.1 Regional Chapters' Role in the Governance of SuSanA 2.0

The Global Steering Committee of SuSanA 2.0 will be composed of two Regional Representatives (to achieve gender balance) from each Region of the world; and two Organisation Representatives from Organizational Members. Representatives of any organisations contributing more than \$xxx (as decided by Steering Committee) annually to SuSanA 2.0 can be ex-officio (non-voting) member.

Each Regional Representative will be elected by, and from amongst, the Full Members in their Region. Once elected, they will be expected to contribute to the governance of SuSanA 2.0 by periodically consulting the Full Members in their Region.

The minimal role of a Regional Chapter, then, is to be the constituency from which Regional Representatives are nominated and elected, and through which regional views on SuSanA's governance can be developed through consultation.

4.2 Implications of Governance Role for Expansion of Regional Chapters

The main implication of this role in the governance of SuSanA 2.0 is that each region of the world must have at least a regional membership list, and at maximum a regional Chapter¹⁵.

This may not be a substantial structure. The role of Regional Chapters can be fulfilled through creation of a database of Full Members in the region and use of it in communications for elections and consultations.

The proposed Regional Chapters for SuSanA 2.0 are:

- Latin America (already existing)
- North America (new)
- Europe (new)
- West Asia and North Africa (already existing)
- Sub-Saharan Africa (already existing)
- Central Asia (new)
- South Asia (incorporating India, already existing; otherwise new)
- East Asia and the Pacific (new)

Specifically, which countries belong in which region is a piece of work that will need to be undertaken during transition to SuSanA 2.0.

4.3 Regional Chapters' Role in the Operational Work of SuSanA 2.0

At a minimal level of operation, Regional Chapters may have only a very limited role in enabling members in their region to take part in activities. Provided they function in their governance role,

¹⁵ This needs definition. Each region needs a mailing list through which elections and consultations can happen; this need not be called a regional chapter. Calling it this has raised concerns about the feasibility of setting up regional structures quickly (which is not necessary to the governance model). Leave this to Change Committee.

any additional activity on enabling members in the region to exchange and learn on sustainable sanitation is a matter of choice.

However, it is expected that more regions will make this choice, and that the Global Secretariat will play a role in encouraging and enabling them to do so. In this case, the role would be extended to- working with Regional chapters to create regional Working Groups, virtual communications and other means to build regionally specific knowledge and information on sustainable sanitation. This may be supported with specifically raised resources for the region, or support from SuSanA 2.0 centrally.

To enable active thought in the region about the potential for Regional Chapters to carry out this operational role, it has been proposed that each region should have a Coordination Group of perhaps 5 people elected in a gender balanced way by Full Members in the region. This is a recent proposal, and full details of election, terms of reference, etc. will be decided by the Interim Steering Committee at a later date.¹⁶

Organizational Members based in a region are able to participate in regional activities. Some Organizational Members are global or multi-region organisations; in these cases, their Head Offices can participate in the regions in which they are located, and their national and regional staff would be encouraged and enabled to participate in the regions in which they are located.

4.4 The Place of Regional Chapters in the Administration of SuSanA 2.0

Regional Chapters that decide to develop operational activities will be sufficiently independent to determine their own priorities and methods; this will be, however, within the parameters of the global SuSanA 2.0 strategy and core values¹⁷.

They will not register as organisations or act as separate legal entities but will function as part of the global SuSanA 2.0, operating within its parameters, norms, governance and management structures.¹⁸

Like other operational bodies within SuSanA 2.0, Regional Chapters are accountable for their operational strategies and activities to the Steering Committee.

Arrangements for resources and staffing for Regional Chapters should be set up to ensure viability and minimize logistical, legal, or other issues, while ensuring approval of the Steering Committee and coordination with the Global Secretariat.

¹⁶ The CMTF leaves these details to the Interim Steering Committee.

¹⁷ Refer to CMTF-drafted Core Values

¹⁸ However, regional hosting arrangements may be needed with organisations other than the global host. Memoranda of Understanding can still ensure that this paragraph is adhered to.

5 Governance and Management Structures and Roles for SuSanA 2.0

5.1 Annual Assembly of Members

The Annual Assembly of Members is the supreme governing body of SuSanA 2.0. It is a deliberative meeting of SuSanA 2.0 Full Members to be held each calendar year, either electronically or face-to-face. Its purpose is to:

- Adopt SuSanA 2.0 multi-annual strategies pre-approved by the Steering Committee;
- Review and amend the mission, goals, strategies and governance frameworks of SuSanA 2.0;
- Review and assess activities and accounts;
- Discuss and deliberate on all matters of importance for the network;
- Elect Steering Committee members;
- Hold the Steering Committee accountable for its work.

Participation

The Annual Assembly of Members is open to attendance by all Full Members of SuSanA 2.0, who have one vote each in any matters requiring a vote.

The Assembly is also open to all Organizational Members, who shall have full rights of participation in discussions, but do not have a vote.

Subscribers may not attend the Assembly.

Steering Committee members are required to attend unless there are overriding reasons for their absence; the Assembly elects them and holds them to account.

Secretariat staff should be present whenever possible. They are formally 'in attendance' to service the Assembly, take minutes, and ensure that it is fully informed on matters under discussion; formally, therefore, they are not participants but informants and recorders.

The Assembly is chaired by the Chair of the Steering Committee; if their absence is unavoidable, another Steering Committee member shall deputise

Timings and process

All Full and Organizational Members shall be given written advance notice of the date, time and location/online address at least 20 days before the scheduled Assembly.

All Full and Organizational Members shall be notified of the agenda, with all relevant documents, no later than two weeks prior to the meeting.

5.2 Global Steering Committee

The Global Steering Committee is delegated by members to govern SuSanA 2.0 on their behalf during the periods between Annual Assemblies. As such, it is the principal decision-making body and governance vehicle during the year. It is responsible and accountable to members, primarily through the Annual Assembly, for ensuring sound strategic and financial functioning of SuSanA 2.0.

As an unregistered organisation, SuSanA 2.0 is also accountable to its Host Organisation. The Host Organisation provides legal and regulatory legitimacy. The Steering Committee is therefore

also responsible for governing SuSanA 2.0 in a way that does not compromise the Host Organisation's legal and fiscal responsibilities.

Terms of Reference of the Global Steering Committee:

The Steering Committee is responsible for governing SuSanA 2.0 between Annual Assemblies with prudence and wisdom, in the interests of the members and their priorities, and within the boundaries of the Host Organisation's legal and fiscal responsibilities.

The Steering Committee can form a smaller Executive Committee that can be more agile in making quicker decisions on behalf of the Steering Committee. These decisions are expected to be routine and not major decisions that need deliberation and vote of the entire Steering Committee. The scope of the Executive Committee's responsibilities will be defined by the Steering Committee. Any decisions of the EC can be reviewed by the entire SC.

The Steering Committee is responsible for:

Governance Oversight

- Ensure an agreement with a Host Organisation that ensures members' ability to govern the strategic direction of SuSanA 2.0 while enabling the Host Organisation to fulfil its legal and fiscal obligations
- Ensure that all structures of SuSanA 2.0 function in the interests of the alliance's strategic priorities and within the policies of the Host Organisation
- In consultation with the Host Organisation, appoint a Head of Secretariat
- Oversee the work and performance of the Head of Secretariat, including performance appraisals in collaboration with the Host Organisation
- Regularly review risks for SuSanA 2.0

Financial Oversight

- Ensure and approve long-term resourcing strategies for SuSanA 2.0
- Approve annual budgets in line with annual work plans
- Review management accounts regularly through the financial year, and require the Head of Secretariat to adjust work plans as necessary to ensure prudent and efficient use of resources
- Review and approve annual accounts prepared by the Host Organisation, for presentation to the Annual Assembly

Resource Mobilisation

- In line with approved long-term resourcing strategies, ensure and actively support the resource-raising activities of the Secretariat
- Approve and regularly review policies on resources to be raised from members
- Approve and regularly review policies on income generation from the sale of knowledge products of SuSanA 2.0, if any
- Approve and regularly review policies on potential sources of grants for SuSanA 2.0
- Support grant applications by the Secretariat, and SuSanA 2.0's donor relations, by building on the knowledge on, and relationships with, potential and current grant-makers already held by individual Steering Committee members

Composition and Election of the Global Steering Committee:

The Steering Committee is composed of:

Voting members of the Steering Committee

- 18 elected Regional Representatives, two from each region
- 2 elected representatives of Organizational Members
- These positions are voluntary and unpaid; reasonable expenses incurred in the course of fulfilling their responsibilities will be reimbursed.

Not voting, but in attendance

- The Head of Secretariat, and any other Secretariat members the Head deems useful to the meeting
- 1 representative of each Organizational Member contributing more than \$xxxx per year to SuSanA 2.0¹⁹
- A representative of the Host Organisation, whose role in meetings and Steering Committee correspondence is defined in the Hosting Agreement

Election of Regional Representatives to Steering Committee

Two Regional Representatives are elected by the Full Members in their region.

Regional Representatives will sit for 3-year terms, re-electable once only. The maximum period for any one Regional Representative is therefore 6 years, consisting of two 3-year terms.

Amongst the nine regions, three will hold an election in any one year, at the time of the Annual Assembly²⁰. The elections will take place as follows:

- When the notice of Annual Assembly is circulated (at least 20 days before the date of the Annual Assembly), Full Members in the three regions holding elections will be invited to nominate themselves or another Full Member for election.
- Nominations will consist of short biodata, a short description of why the nominee wishes to serve on the Steering Committee and the contribution they feel they can make, and a written commitment to devote the necessary time to the role.
- The deadline for nominations will be 3 weeks before the date of the Annual Assembly.
- The Secretariat will compile all information from nominees and circulate this to all Full Members in the relevant region at the same time as papers for the Annual Assembly (2 weeks before the Annual Assembly), with details of how to vote. The Secretariat will ensure a means of voting anonymously, electronically, which ensures no Full Member is able to have more than one vote.
- Full Members in the region may vote at any time for the following 7 days, with a deadline of one week before the Annual Assembly.
- The Secretariat, with any oversight deemed necessary by the Steering Committee, will count the votes and inform the successful and unsuccessful candidates of the outcome of the election at least 3 days before the Annual Assembly.
- At the Annual Assembly, the successful candidates will be announced.

¹⁹ The exact amount is left for the Steering Committee to decide on a case-by-case basis

²⁰ At the beginning of SuSanA 2.0's existence, all 9 regions will hold an election, and a random selection will be made of which three regions will hold elections in each of the three succeeding years. (This is open to adjustment by the Interim Steering Committee, which is tasked with ensuring rapid but legitimate election of the first Steering Committee, and may need to introduce a simpler process to achieve this.)

- Their term will begin, and that of the Regional Representative they replace will end, at the close of the Annual Assembly.

Election of Organizational Member Representatives

Organizational Member Representatives are elected by Organizational Members, who have one vote each per place available.

Organizational Member Representatives will serve for 3-year terms, re-electable once only. The maximum period for any one Regional Representative is therefore 6 years, consisting of two 3-year terms. Elections will take place at the time of Annual Assemblies, when a term is completed²¹.

Elections will take place as follows:

- When the notice of Annual Assembly is circulated (at least 20 days before the date of the Annual Assembly), Organizational Members will be invited to nominate one of their personnel or other personnel from another Organizational Member for election.
- Nominations will consist of short biodata, a short description of why the nominee wishes to serve on the Steering Committee and the contribution they feel they can make, and a written commitment to devote the necessary time to the role.
- The deadline for nominations will be 3 weeks before the date of the Annual Assembly.
- The Secretariat will compile all information from nominees and circulate this to all Organizational Members at the same time as papers for the Annual Assembly (2 weeks before the Annual Assembly), with details of how to vote. The Secretariat will ensure a means of voting anonymously, electronically, which ensures no Organizational Member is able to have more than one vote.
- Organizational Members may vote at any time for the following 7 days, with a deadline of one week before the Annual Assembly.
- The Secretariat, with any oversight deemed necessary by the Steering Committee, will count the votes and inform the successful and unsuccessful candidates of the outcome of the election at least 3 days before the Annual Assembly.
- At the Annual Assembly, the successful candidate(s) will be announced.
- Their term will begin, and that of the Organizational Member Representative they replace will end, at the close of the Annual Assembly.

Role Description of the Chair of the Global Steering Committee:

When the first Steering Committee of SuSanA 2.0 is formed, it will select from amongst its voting members a Chair and Vice Chair.

The term of office of the Chair is up to three years, non-renewable. When the Chair stands down – whether at the end of their term or earlier – the Steering Committee will select a new Chair. The Vice Chair will take on the role of the Chair on those occasions when the Chair is not able to, and other roles as requested by the chair.

The role of the Chair of the Global Steering Committee will be:

Leading the Steering Committee in the execution of its governance responsibilities.

- Chairing and facilitating Steering (and Executive) Committee meetings, ensuring the range of committee members is heard.

²¹ When SuSanA 2.0 is launched, elections will be held for both Organizational Member Representatives. They will arrange amongst themselves – with support from the Chair of the Steering Committee if needed – how to ensure that both seats do not become vacant simultaneously.

- Bringing impartiality, accountability, transparency and objectivity to decision-making and to development of strategic outlook.
- Giving direction to Steering Committee policymaking.
- Together with the Head of Secretariat, planning the annual cycle of Steering Committee meetings.
- Together with the Head of Secretariat, setting agendas for Steering Committee meetings.
- Monitoring that decisions taken at meetings are implemented.
- Making decisions on behalf of the Executive Committee in urgent matters between meetings.

Liaising with the Head of Secretariat to build the performance of the Steering Committee.

- Liaising with the Head of Secretariat to develop the governance capacities of the Steering Committee.
- Facilitating change and addressing conflict within the Steering Committee and within the Alliance, liaising with the Head of Secretariat to achieve this.
- Resolving differences and disputes within the Steering Committee.

Taking lead responsibility on behalf of the Steering Committee for the relationship with the Head of Secretariat and holding him/her to account

- Leading, in association with the Host Organisation, the process of recruiting and appraising the performance of the Head of Secretariat.
- Specifically, conducting an annual appraisal with the Host Organisation, using or adapting the format in use for other Secretariat staff.
- Liaising with the Head of Secretariat to keep an overview of the Alliance's affairs.
- Supporting the Head of Secretariat in the facilitation of the Alliance and holding him/her to account for Secretariat performance.
- Ensuring a smooth relationship between the Host Organisation and the Executive Committee in the division of responsibilities for oversight of the Head of Secretariat.

Taking lead responsibility on behalf of the Steering Committee for the relationships between the Steering Committee, the Host Organisation, and the Secretariat

- Leading negotiations with potential Host Organisations on the Memorandum of Understanding.
- Ensuring the Alliance is responsible for strategic direction and work planning, while the Host Organisation is able to fulfil its legal, statutory and financial responsibilities diligently.
- Ensuring smooth communication between the Steering Committee and Host Organisation on matters of human resources policy and procedure, particularly as regards division of responsibilities for oversight of the Head of Secretariat.

Liaising with the Head of Secretariat to enhance the reputation of the Alliance.

- Representing the Alliance externally and acting as a spokesperson, ensuring that the Steering Committee is consulted and kept informed.

5.3 Global Secretariat

The Steering Committee and Host Organisation appoint a Head of Secretariat, who leads a Secretariat to facilitate, enable and coordinate SuSanA 2.0 to achieve its mission and deliver its strategy.

Terms of Reference of the Global Secretariat:

- To support the Steering Committee in carrying out its governance functions
- To support the Alliance and its members in delivering its strategy
- To support member-led groups in ways that ensure members are able to work together for sustainable sanitation
- To develop plans, and to fundraise so that the plans are adequately resourced, to enable members to effectively deliver the SuSanA 2.0 strategy
- To facilitate and coordinate the Alliance in any global advocacy, ensuring effective and appropriate representation of its collective advocacy views and agenda
- To represent the global network, when appropriate, in order to further its global advocacy objectives
- To coordinate and enable the development of capacity of Regional Chapters
- To manage information systems and forums that enable members and subscribers to remain up to date on matters relating to sustainable sanitation and to exchange knowledge and information in a way that enhances professionals' and organisations' work for sustainable sanitation across the globe.
- To support the Regional Chapters by listening, consulting, and developing joint plans and programs

5.4 Member-Led Groups and Activities

SuSanA 2.0 is a member-led alliance. Previous sections of this chapter have described how members lead the governance and decision-making of the Alliance as a whole. In addition to this, many of the operational activities are carried out by members, individually and collectively. These activities will be carried out through at least the following structures and systems:

- Regional Chapters
- Forum
- Working Groups

Other structures and systems may be designed over time, in which case the principles of member leadership will apply to these too.

Regional Chapters are described in chapter 4 above.

Moderation of the Forum is necessarily a Global Secretariat function (potentially sub-contracted). As such, it is line managed and overseen by the Head of Secretariat under the strategic guidance and oversight of the Steering Committee.

Working Groups in the current SuSanA have become increasingly problematic,²² for a variety of reasons. In SuSanA 2.0, they will be subject to a major overhaul, which will – at a minimum – include:

²² This is necessarily a generalisation; some valuable work has also, of course, been carried out

- Reduction of numbers of members of each Working Group, arising from the new membership structure detailed in chapter 3 above. Only Full Members and personnel of Organizational Members may be members of Working Groups, and it is anticipated that this will significantly reduce Working Group size. Representation across the regions and diversity should be a goal.
- A review of the range of Working Group topics, to ensure that Working Group time is focused on current strategic priorities in the sustainable sanitation sector.
- Creation of generic Terms of Reference for all Working Groups, that will set out clearly the expectations of the Alliance and which can be used to create specific Terms of Reference for each Working Group
- A change in the system for leadership of Working Groups, including
 - An opportunity for change of leadership for every Working Group, immediately after the review of the range of topics, which will enable members of the Working Group to nominate and elect candidates for leadership of the Working Group, including current leaders if they wish to be nominated.
 - A system of leadership refreshment, which will require leaders of Working Groups to offer themselves for re-election (and open up for nominations of other candidates) by members of the Working Group at least every 3 years.
 - A generic role description for Working Group leaders, which will include introduction of work prioritisation and planning as part of their responsibility

6 Hosting for SuSanA 2.0

SuSanA 2.0 will be hosted by an organisation that is able to provide it with legal and fiscal cover and employment of Secretariat staff. The Host Organisation will not play a role in the development of strategy, priorities and plans for SuSanA 2.0, except and unless its own legal and fiscal liabilities would be put at risk by decisions of the Steering Committee.

6.1 Choosing a host organisation

SuSanA 2.0 will undertake a process of selection for a new Host Organisation, for a fixed period extendable after review. Minimally, the Host Organisation needs to be able to :

- Sign funding agreements and staff contracts on behalf of SuSanA 2.0
- Provide legal and regulatory cover through its own registration arrangements, so that SuSanA 2.0 does not need to register independently as an organisation
- Provide financial administration, record-keeping and payroll administration
- Provide transparent and timely management accounts to the Steering Committee and Head of Secretariat
- Intervene in SuSanA 2.0 decision-making ONLY if its legal and financial responsibilities and liabilities are compromised
- Understand that its role is legal cover and administrative support in the background, and not leadership of strategy, policy positioning or priority-setting
- If it is an Organizational Member of SuSanA 2.0, create a clear separation between its engagement with SuSanA 2.0 as a member, and its engagement as a Host Organisation, using different personnel and/or departments for these two different roles.
- SuSanA 2.0 will issue an open call for hosting proposals based on these (and possibly other) aspects of the role, and on the criteria in 6.2 below. It may also encourage proposals from particular organisations, which will be considered in a fair and transparent manner alongside any other proposals.

6.2 Criteria for a Host Organisation

To fulfil this role, the selected organisation must be able to demonstrate that it meets at least these criteria²³:

- Be a legally registered entity
- Be financially viable, to the extent that it is not likely to collapse or become dependent on fundraising income intended for SuSanA 2.0
- Have robust systems and policies for financial, legal and human resources management, including means of arranging employment of personnel in multiple countries, which can be applied appropriately to a relatively small entity like SuSanA 2.0
- Be able to receive donations, grants and fees from official agencies of governments, multilateral institutions, foundations and trusts, and non-government organisations, in any amounts, from as wide a geographical area as possible, and to disburse money received as donations and grants
- Have a good understanding of the mission, strategy, role and potential of SuSanA 2.0, a demonstrable commitment to furthering its mission, and evidence of no conflict of interest with advancing the cause of SuSanA 2.0

²³ Selection process and draft Hosting Agreement will be determined at a later date by the Interim Steering Committee and/or the Steering Committee

- Be able to provide Host Organisation services at reasonable cost to SuSanA 2.0, or in the form of gifts in kind to SuSanA 2.0.²⁴
- Preferably, be based in the South or be able to demonstrate a governance structure which ensures significant southern influence on its purpose and strategy.²⁵
- Preferably, be able to contract for consulting services.
- Be able to provide equivalent levels of data security to members to those already in place in SuSanA: to demonstrate that the Host Organisation operates in an equivalent data protection regulatory environment and/or that it can and does uphold these standards.
- Be able to demonstrate that the jurisdiction(s) in which it operates would not constrain SuSanA's chosen mission, purpose and strategies or impose unmanageable administrative burdens (the list of jurisdiction questions in 6.3 should serve as a guide).

6.3 Registration options for the future

In choosing between a hosting arrangement and registration as an organisation, the decision has been made that, at the time of formation of SuSanA 2.0, registration is inappropriate as an option. However, after some years of hosting arrangements and dependent on the pace and depth of continued development of SuSanA 2.0, the decision might be taken to register. If this decision is taken, SuSanA 2.0 has a choice – as an Alliance with global presence and role – about where to register. These considerations should be included in any such discussions:

- Is SuSanA 2.0 now willing and able to take on its own legal responsibilities, to be liable for remaining within legal and financial regulations and for its own financial viability, legal, grant-contract and employment obligations?
- Are SuSanA 2.0's governance structures strong enough to take on these responsibilities on behalf of the members?
- Are the governance and management structures willing to take on the administrative tasks and time to fulfil these new obligations?
- How do the Secretariat's structures, systems and capacities need to change, to take over the financial administration and human resources management from the Host Organisation (or to oversee outsourced services for these)?
- Which jurisdiction best serves the needs of SuSanA 2.0?
- Which ones seek to enable, rather than control, civil society through their regulatory systems?
- Which ones seek to enable, rather than control or prevent, donations from outside of the jurisdiction?
- Which ones permit income in the form of membership fees and charges for services?
- Which ones have suitable tax exemptions and benefits for non-profit organisations?
- Which ones permit or enable organisation to operate with an international membership base?
- Which ones offer the right balance between simple administration for compliance with regulations on the one hand, and requirements for transparency by organisations on the other?

²⁴ If the Host Organisation provides its services as a gift in kind, this could be seen as payment for Organizational Membership; it should, however, be seen as part of a Hosting Agreement which requires the Host Organisation to deliver on agreed activities and outputs.

²⁵ Criteria need continuing development by the Interim Steering Committee before being used for an open call for hosting proposals.

7 Resourcing of SuSanA 2.0

The intended resourcing framework for SuSanA 2.0 contributes to the Alliance's mission in three ways:

- Providing the financial resources to make delivery of the strategy possible
- Contributing to risk management by ensuring the Alliance is not excessively dependent on any single sources of income whose decision-making may change
- Enabling (some) members to express commitment, ownership and belonging to the Alliance through a contribution of resources
-

Overall, the Alliance aims to mix contributions from some members with grants from a variety of sources to achieve these.

7.1 Member contributions

SuSanA 2.0 will have three categories of 'membership':

- Full Membership, with full voting rights, will be restricted to individuals
- Organizational Membership will be for organisations
- Subscribers will be individuals who have access to information and knowledge products but make no contribution to the Alliance.

Contributions will be a requirement for Organizational Members. SuSanA 2.0 will apply this requirement flexibly, to allow for those who can most easily contribute through a grant, those who prefer a membership fee payment, and those who may be able to provide resources in kind. For example, if current organisational members all decide to continue their engagement, each providing an average of \$1,000 would result in income from organisational members of \$350,000. It can be reasonably expected that some would contribute considerably more than this; total income from Organizational Members of perhaps \$1m might be targeted.

Full Members will not be required to pay a membership fee but should be enabled to make a financial contribution if they choose to do so. It is important that individuals who want to contribute to SuSanA 2.0 through their engagement in the work and information exchange are not inhibited by a significant charge. Some, who would be priorities for Full Membership because of their work at the grassroots of sustainable sanitation, might be the least able to pay. The proposal, then, is that Full Members are proactively steered to the new Donate Button on the website, when they first sign up and through a reminder annually or more frequently, so that they are encouraged to make voluntary contributions; but there would be no obligation to pay for their membership.²⁶

Subscribers are those who make use of information from SuSanA, but do not contribute to the information exchange or knowledge products. This relatively low level of engagement is likely to correspond to a relatively low interest in contributing financially. Nonetheless, it would be prudent for SuSanA 2.0 to proactively remind them of the existence of the Donate Button periodically. Apart from this, the priority for SuSanA 2.0 on being a genuinely open source of information, knowledge and best practice means it would be counterproductive to make payment a requirement for Subscribers.

In total, given their voluntary nature, donations from individuals would not be expected to contribute significantly to the total income of SuSanA 2.0, but would be welcome as signals of commitment from members.

²⁶ There continues to be debate about whether a small fee would be helpful. A case has been made for compulsory fees generating a more strongly committed Full Membership cohort; CMTF needs to put this alongside the exclusion argument. CMTF decided to leave this to the Interim Steering Committee or Steering Committee to decide.

7.2 Funding streams

SuSanA has operated to date on the basis of substantial finance, particularly for the Secretariat's costs, from BMZ through GIZ. Other funding streams contributing to SuSanA's work have often been directed through Cooperation Systems, rather than through GIZ's accounts, because of institutional constraints; in addition, however, there have been some grants directly to the Secretariat for a variety of purposes.

SuSanA 2.0 will work actively, both before and immediately after its launch, to secure continuation of as much of this funding income as possible. During a transition period from the current SuSanA to SuSanA 2.0, resources that have been channelled through Cooperation Systems will gradually be brought into the accounts of SuSanA 2.0 (paced in a way that is suitable for contractual partners and terms) so that all the financial resources contributing to SuSanA 2.0 can be seen in a single set of accounts, and thereby governed and managed effectively²⁷.

In addition, it is known that some potential grant-makers have felt unable to contribute to SuSanA's work to date because of institutional constraints related to GIZ's role, or because of the informal nature of SuSanA's set-up and structures. These grant-makers – and others – will be proactively approached during the formation stage of SuSanA 2.0, kept informed of the new structures and systems, including hosting arrangements, of SuSanA 2.0, and encouraged to work on funding proposals.

It is anticipated that, with reassurance to existing donors that SuSanA 2.0 is building on the successes of SuSanA to date, while new donors are convinced by the new structures of SuSanA 2.0, that grant income will have the potential to increase.

7.3 Income generation versus open-source information

The essence of SuSanA's contribution to sustainable sanitation is the generation and improved circulation of information and knowledge. Constraints on circulation and dissemination of knowledge would not be helpful for its continued mission. This means that there are few prospects of generating income from sale of products or services. A resourcing framework for SuSanA 2.0 should not include an expectation of significant income generation. However, there may be some, carefully selected, products or services that could be sold to certain potential clients, and the management and governance of SuSanA 2.0 should be alert to any such opportunities that arise. Similarly, there may be some producers of information and knowledge who would be willing to pay for SuSanA's distribution potential.²⁸

²⁷ See footnotes in section 2 and section 4 on potential need for flexibility about this, especially with regard to Regional Chapters

²⁸ It is understood that the current Secretariat has given some thought to income generation potential; their existing wisdom should be drawn on when more detailed business plans are being developed.

8 Conclusion

This *Concept Paper* is prepared as a contribution to, and a key milestone in, the continuing development of the structures and systems of SuSanA 2.0. Building from a set of conclusions and decisions by the Change Management Task Force (CMTF), it proposes a range of the shapes and details needed in the construction of SuSanA 2.0. Some elements are more evolved than others; in the main, those needing more flesh to be added are those that require the input of internal knowledge of SuSanA in its current form. It is hoped and expected that continued discussions of this paper, and work on the details of a transition phase from the current SuSanA to SuSanA 2.0, will lead to progressively more fully evolved proposals on structure and shape.

Planning for a transition process from current arrangements to the new SuSanA 2.0 is now beginning. Sufficient time should be given to this transition; there are many new elements in the design of SuSanA 2.0, and they will take time to introduce. Similarly, some elements of the existing SuSanA arrangements will need some time to wind down, change and integrate into the proposed new structures. There may be up to a 2-year period of transition before a fully-fledged SuSanA 2.0 is in place.