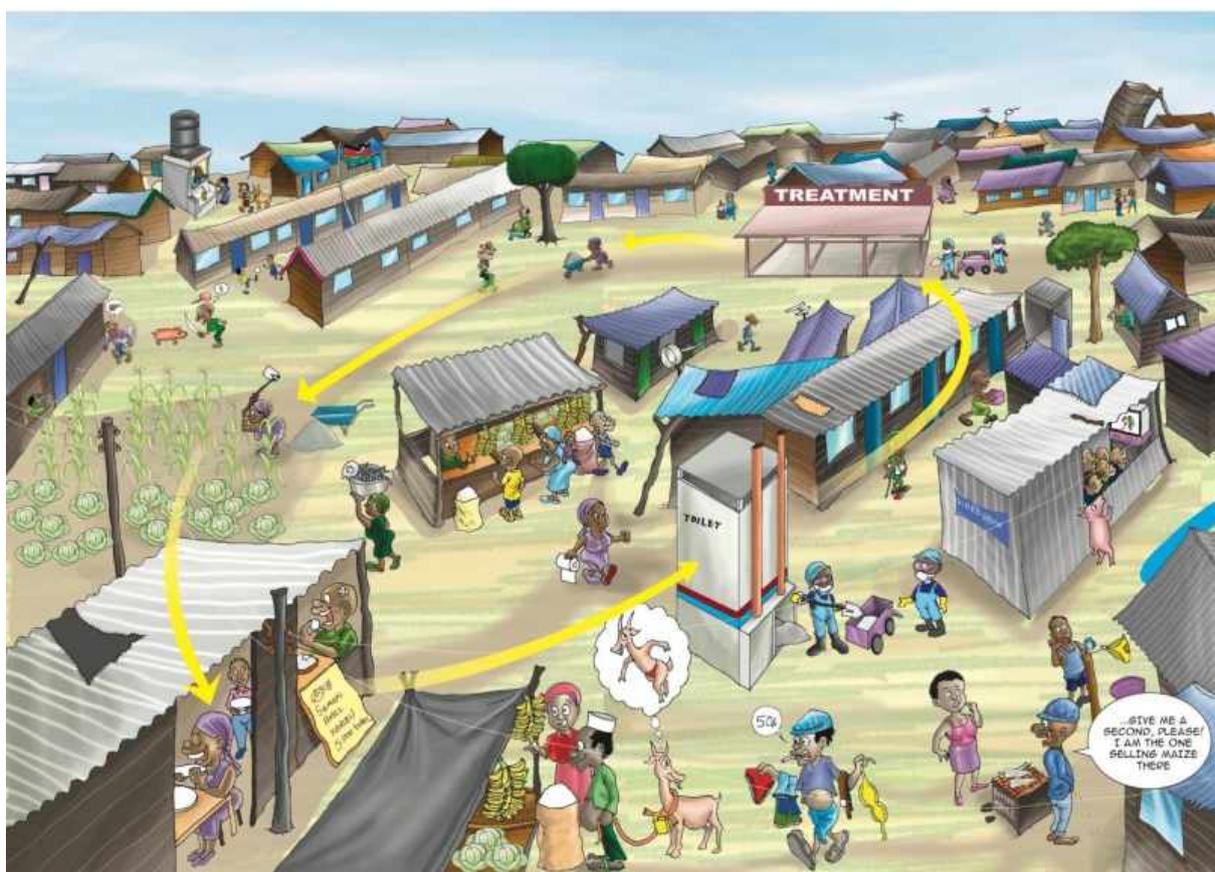




## WATER SECTOR TRUST FUND & GIZ

### Up-scaling Basic Sanitation for the Urban Poor (UBSUP)

# Phasing Concept and Procedures for SafiSan Projects



The Sanitation Value Chain (illustration by Vincent Nyalik)

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Version: 2.0

Last update: July 2017

# Phasing Concept and Procedures for SafiSan Projects<sup>1</sup>

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<sup>1</sup> UPC = Urban Projects Concept; WSTF = Water Sector Trust Fund; WSP = Water Service Provider

## ABSTRACT/Summary

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UBSUP stands for Up-scaling Basic Sanitation for the Urban Poor. It is a six-year programme (2011-2017) which is implemented by the Water Sector Trust Fund (WSTF). It aims at improving living conditions by offering access to sustainable sanitation to residents of urban low-income areas. The UBSUP programme is characterized by several SafiSan Projects, which are upscaled all over Kenya. SafiSan Projects can go through three phases. The phases allow WSPs to respond to the developing demand in the target areas.

For the Phases Concept to work smoothly and successfully it is crucial that WSTF has the necessary **funds for 3 phases** for all qualifying WSP at its disposal. This means that originally, each WSP that qualifies for Phase 1 will have a contract allowing them to move to Phase 2 and 3 (as long as they qualify). This is to ensure that WSTF can disburse the money in a timely manner to WSPs which are moving to a next phase, making sure that demand is not interrupted due to Post-construction Incentives (PCI) payment delays or a pause of the programme. A WSP qualifies for Phase 2 (or Phase 3) if:

- 1) After having done a demand assessment in Phase 1 (or Phase 2), the WSP can prove that there is demand for at least 300 more toilets, AND / OR
- 2) There is demand to build one (1) Decentralized Treatment Facilities (DTF) (not applicable if already two (2) DTFs have been built).

If a WSP does not qualify for subsequent phases, the money that was originally planned for the WSP will remain with WSTF and will be reserved for the next Call for Proposals, which will give other WSPs the chance to implement the UBSUP Programme. Call for Proposals are planned to be carried out every two years.

## Introduction

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UBSUP stands for Up-scaling Basic Sanitation for the Urban Poor. It is a six-year programme (2011-2017) which aims at improving living conditions by offering access to sustainable sanitation to residents of urban low-income areas. The programme has initially been funded by the Bill and Melinda Gates Foundation (BMGF) and the German Development Bank (KfW). UBSUP was developed and is being implemented by the Water Sector Trust Fund (WSTF) with technical support from GIZ.

The UBSUP programme provides an opportunity to all County Governments to address urban sanitation challenges through their licensed Water Service Providers (WSPs). The WSPs can apply for funding for the UBSUP programme from the WSTF. The projects funded within the framework of UBSUP programme and implemented by the service providers are called **SafiSan projects** (“Safi” means clean in Swahili and “San” is short for Sanitation).

Due to its success in upscaling, WSTF aspires to continue the programme to reach even more households in Kenya with improved sanitation facilities and access to treatment facilities.

This document describes how the UBSUP Programme is structured and how the projects are funded through phases<sup>2</sup>:

- Section 1 introduces the Phases concept in general
- Section 2 gives an outline of how phase 1 is structured
- Section 3 gives an outline of how subsequent phases are structured
- Section 4 addresses issues of project closure and sustainability

## 1. Multiple Phases of SafiSan Projects

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### 1.1 Phases of SafiSan Projects

The UBSUP programme is characterized by several SafiSan Projects, which are upscaled all over Kenya. SafiSan Projects can go through three phases. The phases allow WSPs to respond to the developing demand in the target areas.

In terms of funding and the activities and materials funded, **Phase 1** is almost the same for all WSPs. In other words, all WSPs receive more or less the same implementation package (infrastructure & accompanying measures) and the same can be said about the scope of works. During **Phase 1**:

- 1) All water utilities receive funds for post-construction incentives – **KES 20,000** per toilet for a total of **200 toilets**, a sum of KES 4,000,000.00 (If there is demand for toilet rehabilitations – KES 15,000 each, the WSP has to refund the unused incentives to the WSTF, or must be able to show that the remaining funds were used to fund additional new toilets)
- 2) All water utilities may receive the financing required to build one (or two) decentralised treatment facility (DTF) estimated at KES 8.3 Million.
- 3) Where the Water Utility does not require a DTF, it will only receive the amount for toilet post-construction incentives.

- 4) All water utilities receive financing for non-technical works including but not limited to the following:
  - Establishment of the Project Task Team,
  - Social marketing programme,
  - Hand-washing campaign,
  - Training of local artisans,
  - Training of waste emptying agents (“Sanitation Teams”<sup>3</sup>), DTF operators and relevant WSP staff (preferably combined).
- 5) The project initially focuses on a single urban low income area within the water utility service area. Data on this area is collected and included in the project proposal document prepared by the WSP and submitted to the WSTF.
- 6) An important part of Phase 1 of a SafiSan Project is the market study or analysis which aims to assess the additional demand for SafiSan toilets and for the services provided by DTFs. This exercise can result in the preparation of the application for a Phase 2 of the SafiSan Project. The demand assessment is carried out with the tablet-based Android Application SafisApp.
- 7) The project implementation period is foreseen to be 9 months during phase 1.

If there is more demand for SafiSan toilets after the period of a phase, the option of subsequent phases allows a WSP to continuously meet this demand. During subsequent phases, all qualifying WSPs receive:

- 1) Toilet post-construction incentives (**KES 20,000** for a new toilet and **KES 15,000** for a rehabilitated existing toilet) for a total of **300 toilets**.
- 2) The financing required to build one **(1) Decentralized Treatment Facility** (DTF) (not applicable if already (2) two DTFs have been built).

A WSP qualifies for Phase 2 (or Phase 3) if:

- 3) After having done a **demand assessment** in Phase 1 (or Phase 2), the WSP can prove that there is demand for at least 300 more toilets, AND / OR
- 4) There is **demand** to build one (1) Decentralized Treatment Facilities (DTF) (not applicable if already two (2) DTFs have been built).

If a WSP continues to have demand for SafiSan toilets after Phase 3, it can reapply during the next call for proposals. If a WSP does not qualify for the next phase, because of the lack of demand, or not submitting a request for a new phase, it will have to return any remaining funds from the implemented phase to WSTF.

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<sup>3</sup> Instead of using terms such as “Manual Emptiers” or “Frogmen” the UBSUP programme introduces the “Sanitation Teams”. The main reason for introducing a new name is to improve the status of the people who carry out such important works as toilet emptying and sludge transport. This is also achieved through training and by equipping the “Sanitation Teams” with the SaniGo carts and other materials (e.g. branded overalls).

## 1.2 Funding Concept

For the Phases Concept to work smoothly and successfully it is crucial that WSTF has the necessary **funds for 3 phases** for all qualifying WSP at its disposal. This means that originally, each WSP that qualifies for Phase 1 will have a contract allowing them to move to Phase 2 and 3 (as long as they qualify). This is to ensure that WSTF can disburse the money in a timely manner to WSPs which are moving to a next phase, making sure that demand is not interrupted due to PCI payment delays or a pause of the programme.

If a WSP does not qualify for subsequent phases, the money that was originally planned for the WSP will remain with WSTF and will be reserved for the next Call for Proposals, which will give other WSPs the chance to implement the UBSUP Programme. Call for Proposals are planned to be carried out every two years.

Any WSP that has dropped out during the Phasing Procedures is allowed to reapply during the next Call for Proposals.

Each Call will allocate money for 1 DTF per WSP. If this money is not required by a WSP (e.g. due to an existing conventional treatment plant), it can be utilized for another WSP, which has demand for a second DTF in the current or subsequent phase.

## 1.3 Advantages of adopting a multi-phased project approach

The fact that SafiSan Projects can consist of more than one phase has a number of advantages:

- Limiting **Phase 1** of the SafiSan Project to **200**, and subsequent phases to 300 toilets reduces the financial and implementation risks for the development partners, the WSTF and the WSP.
- Carrying out a **demand assessment** for the **next phase**, enables the WSP to use the experiences acquired by the multi-stakeholder Project Task Team during current phase, e.g. toilet sales (*total toilet sales and sales/month*).
- If demand remains at a high level, the WSP and WSTF are able to respond to it without project interruption.
- By making demand assessment part of the SafiSan Project, the WSTF acknowledges that assessing demand can be a rather complicated and time-consuming exercise.

## 2. SafiSan Projects: Phase 1

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The **Phase 1** project package consists of the following components (see Table 2.1).

Table 2.1: **Phase 1** components and estimated budget (*estimated costs*)

No.	Component	Units	Unit costs	Cost		Access	Remarks	
		No.	KES	KES	%	No. of persons		
1	Toilet post-construction incentives	200	20,000	4,000,000	25.5	<b>2,000</b>	Assuming no rehabilitations	
2	Toilet package <sup>(1)</sup>	200	1,100	220,000	1.4			
3	Project Administration Allowances	1	162,000	162,000	1			
4	DTF (capacity 22m <sup>3</sup> /day)	1	8,300,000	8,300,000	52.9		<b>10,000</b>	
5	SaniGo for emptying	1	400,000	400,000	2.5			
6	Social marketing progr. & package <sup>(2)</sup>	1	449,000	449,000	2.9			Incl. hand-washing campaign
7	Personnel (payment of 3 Social Animators)	9 months	54,000	486,000	3.1			
8	Travel (for 3 Social Animators)	9 months	21,000	189,000	1.2			For a total period of 9 months
9	Training of local artisans	1	70,000	70,000	0.4			Workshop and tablet-based
10	Training of DTF operators	1	80,000	80,000	0.5			Workshop and tablet-based
11	Training of Sanitation Teams <sup>(3)</sup>	1	70,000	70,000	0.4			Workshop and tablet-based
12	Project Task Team allowances	1	35,000	35,000	0.2			Lunch allowances only
13	Market study/analysis	1	10,000	10,000	0.1			Questionnaires, analysis,
14	WSP Sanitation Unit package <sup>(4)</sup>	1	251,500	261,500	1.7			
15	NEMA approvals (toilets & DTF)	1	8,000	8,000	0.1			
16	EIA for DTF (site & structure)	1	200,000	200,000	1.3			
17	<b>Total</b>		--	<b>14,940,500</b>				
18	<b>Contingencies<sup>(5)</sup></b>	0.05		747,025	5			
19	<b>TOTAL:</b>			<b>15,687,525</b>	100			<b>10,000</b>

1): See Table 2.5

2): See Table 2.3

3): Within the UBSUP programme, manual emptying agents also known as "Sanitation Teams"

4): See Table 2.4

5): No contingencies provided for the toilet post-construction incentive as they are fixed at KES 20,000 or KES 15,000 for each toilet constructed/rehabilitated respectively.

Table 2.1(a) does not include the costs of the field monitoring, i.e. the remuneration of the WSTF County Resident Monitors (CRMs) as well as the cost of the specialised inputs provided by the WSTF experts. Table 2.1(b) provides the budgeted costs of the support in terms of field monitoring, capacity-building, facilitation (etc.), provided by the WSTF.

Table 2.1 (b): Monitoring and Evaluation budget

Field monitoring budget (including travel costs, etc.)			
No.	Support provided by:	Duration (days & months)	KES
1	Services of WSTF County Resident Monitor	1 (for 9 months) at KES 200,000	1,800,000
2	Services of WSTF expert	1 (for 10 days) at KES 300,000	3,000,000
3		<b>Total:</b>	<b>4,800,000</b>

The budget foresees the same monitoring and evaluation support during each SafiSan project phase (see next sections). It is very likely, however, that WSPs that will construct a Decentralised Treatment Facility (DTF) will require more specialised technical support.

The figures and components (budget lines) presented in Table 2.1 are based on the following observations and assumptions (see Table 2.2). Tables 2.3 – 2.5 provide the detailed information, which is also summarised in Table 2.1.

Table 2.2: Assumptions with regard to figures presented in Table 4.1

No.	Observations and assumptions	Remarks
1	All post-construction incentives are for new toilets	The post-construction incentive for a toilet rehabilitation is KES 15,000
2	All toilets use the DTF (i.e. no sewer connected toilets)	Some residents prefer pour flush toilets linked to an existing sewer
3	All (incentives) toilets are used by a <b>maximum of 10 persons</b>	Some toilets are used by less than 10 persons <sup>4</sup>
4	The DTF is also used by existing toilets	Existing <u>improved</u> and <u>unimproved</u> toilets
5	Training of DTF operators and artisans benefits <b>Phase 2</b>	Resulting in a cost reduction in subsequent phases
6	Social marketing spills over in <b>Phase 2</b> areas	Resulting in a cost reduction in subsequent phases
7	Social marketing programme includes a “visibility package” <sup>5</sup>	Resulting in a cost reduction in subsequent phases
8	The social marketing package can be used during <b>Phase 2</b>	Resulting in a cost reduction in subsequent phases
9	The package for the WSP <u>sanitation unit</u> benefits <b>Phase 2</b>	Resulting in a cost reduction in subsequent phases
10	Services of WSTF Monitor & Specialists are gradually reduced	Resulting in a cost reduction in subsequent phases
11	The DTF is not linked to the (existing) sewer	It is expected that a few WSPs will link the DTF to a sewer

It is important to emphasise that especially during **Phase 1**, SafiSan Projects invest in capacity building. Table 2.3 contains detailed information on the required social marketing programme & package (see Table 2.1: row 6).

Table 2.3: The social marketing package/programme (estimated costs)

No.	Social marketing package	Units	Unit costs (KES)	Costs (KES)	For Phase 1 & 2 & 3	Remarks
1	SafiSan branded polo-shirts	10	1,200	12,000	Yes	Procured by WSTF
2	SafiSan branded baseball caps	10	1,000	10,000	Yes	Procured by WSTF
3	SafiSan long banner	1	12,000	12,000	Yes	Procured by WSTF
4	SafiSan drop banner	1	14,000	14,000	Yes	Procured by WSTF
5	SafiSan scale-model	1	7,000	7,000	Yes	Procured by WSTF
6	SafiSan toilet posters (laminated)	50	500	25,000	Yes	Procured by WSTF
7	Bags for Social Animators	4	2,000	8,000	Yes	Durable
8	Tablet computers	3	38,000	114,000	Yes	Android operation system
9	Megaphone	1	8,000	8,000	Yes	Using standard batteries
10	Party tent for <u>SafiSan Mini Fairs</u>	1	18,000	18,000	Yes	
11	Raincoats	4	2,500	10,000	Yes	Durable
12	Protective shoes (Bata)	4	2,500	10,000	Yes	Durable
13	Display table	1	10,000	10,000	Yes	For <i>barazas</i> , mini-fairs, etc.
14	Announcement on local radio	2	25,000	50,000		If considered useful
15	Flyers & brochures	400	60	24,000		For social marketing
16	Chairs for <i>barazas</i> (hiring) <sup>(1)</sup>	100	8,000/baraza	24,000		For 3 <i>barazas</i>
17	Airtime for the team	1 month	1,000	18,000		KES 1,000/SA/month
18	<i>Barazas</i> (drinks, etc.)	3	5,000	15,000		Max. 3 <i>barazas</i> are required
19	Conference hall/room (hiring)	2	10,000	20,000		For training, <i>barazas</i> , etc.
20	“KonoSafi” posters (laminated) <sup>6</sup>	50	500	25,000		School
21	Miscellaneous	--	--	15,000		Assuming not available for Phase 2, etc.
22	<b>TOTAL:</b>			<b>449,000</b>	<b>100%</b>	
23	<b>TOTAL (for all phases)<sup>(*)</sup></b>			<b>258,000</b>	<b>57%</b>	
24	<b>TOTAL (consumables Phase 1):</b>			<b>191,000</b>	<b>43%</b>	Cost in Phase 2 & 3

<sup>4</sup> Excess capacity cannot be used to provide adequate access to other persons living outside the yard.

<sup>5</sup> E.g. branded polo-shirts, baseball caps, etc.

<sup>6</sup> “The KonoSafi Superstar Hand-washing Comic Book” was developed by the WSTF, together with school children from Isiolo, for school sanitation activities.

1): Baraza (Kiswahili) = public meeting

\*) : Only provided if the WSP does not already have these materials at its disposal!

Table 2.4 shows the proposed package for the Sanitation Unit of the WSP (see Table 2.1, row: 14). WSPs are expected to use the provided materials for the intended purpose; the successful implementation and operation of SafiSan Projects.

All items are used during **Phase 1** and all subsequent phases of the SafiSan Project. Once a WSP has been provided with a SafiSan package, it is expected that the same materials can be also used during subsequent SafiSan Projects (i.e. subsequent Calls for Proposals).

Table 2.4: Package for the Sanitation Unit of the WSP (estimated costs)

No.	Package for WSP Sanitation Unit (*)	Units	Unit costs (KES)	Costs (KES)	For all phases	Remarks
1	Laptop or desktop computer	1	55,000	55,000	Yes	Preferably a desktop PC
2	Printer (size A4/laser/colour)	1	30,000	30,000	Yes	Reporting & soc. marketing
3	Tablet computer (3G & GPS)	1	38,000	38,000	Yes	Running Android OS
4	Projector	1	50,000	50,000	Yes	
5	Shelves	1	8,000	8,000	Yes	For file management (etc.)
6	Laminator	1	8,000	8,000	Yes	Making posters weather proof
7	Box files	10	500	5,000	Yes	For file management
8	Chairs	5	1,500	7,500	Yes	
9	Toner for the printer	5	6,000	30,000	No	Office consumables
10	Paper & lamination sheets (both size A4)	--	--	20,000	No	Office consumables
11	Other stationary/consumables			10,000	No	
12	SafiSan Toolkit (incl. Social Animators Handbook, Construction Handbook, etc.)	--	--	--	Yes	Online/public Access
13	<b>TOTAL:</b>			<b>261,500</b>	<b>100%</b>	
14	<b>TOTAL (Phase 1 &amp; 2, etc. (*)):</b>			<b>201,500</b>	<b>77%</b>	
15	<b>TOTAL (consumables Phase 1):</b>			<b>60,000</b>	<b>23%</b>	

\*) : Only provided if the WSP does not already have these materials at its disposal!

Table 2.5 shows the “toilet package” each toilet is equipped with (see also Table 2.1: Row 2).

Table 2.5: The SafiSan toilet package

No.	Toilet package	Units	Unit costs (KES)	Costs (KES)	Remarks
1	Toilet manual & poster (hand-washing)	<b>200</b>	300	60,000	Prepared & produced by WSTF
2	Toilet manual frame & tools	<b>200</b>	800	160,000	Developed & produced by WSTF
3	<b>TOTAL:</b>			<b>220,000</b>	

The hand-washing facility, which costs approximately KES 2,000, is part of the post-construction-incentive package.

## 3. SafiSan Projects: Phase 2 (and 3)

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### 3.1 The Package

SafiSan Projects are demand-driven. If a WSP manages to sell the initial (**Phase 1**) 200 toilets and if a market assessment, carried out in one or more (preferably neighbouring) low income areas, shows that there is a market for more SafiSan toilets, the Company can apply for the next SafiSan Project phase (**Phase 2**).

Only a successfully implemented Phase 1 can result in the funding of a Phase 2. The WSTF has developed a special application form for all subsequent SafiSan Project phases.

A successful **Phase 2** can be followed by a **Phase 3**, as long as there is a demand for toilets and treatment services. This demand has to be assessed by the WSP. The WSTF has developed the tools needed for such an assessment (all tools are found in the online SafiSan toolkit: <http://www.waterfund.go.ke/safisan/>).

**All phases** are covered by the same (WSP/ County-WSTF) contract. This contract has a clause which allows the WSP to move to the next phase or to terminate the contract if the set targets of a phase have not been reached.

**Phase 2** and **Phase 3** provide toilet post-construction incentives (PCI) for **300 SafiSan toilets** (new toilets and/or rehabilitations) and a DTF.

On the basis of the SafiSan toilets market analysis the WSP can submit the **SafiSan Project Phase [ ] Application Form** to the WSTF for approval. This application form (*a template is provided by the WSTF*) contains, among others, the following information:

- Information on the **SafiSan Previous Phase Completion Report**.
- The list of the areas identified for the next Phase.<sup>7</sup>
- The area selection criteria used.
- Basic information on the area (population, population density, current sanitation situation, etc).
- The method(s) used to identify and appraise these areas after data collection (using **SafisApp**, the Android application, the **SafiSan Area Data Collection Tool** or other methods & techniques that are included in the SafiSan toolkit (see Module 3).
- An assessment of the demand for improved (SafiSan) toilets in the proposed Phase 2 area(s).
- Requirements in terms of additional social marketing (at area and plot level).
- An assessment of the demand for DTFs (generated by existing toilets and the estimated SafiSan toilets). There may not be a need for additional DTFs.
- Requirements in terms of Project Task Team operation, logistics, materials, etc.

The WSTF approval procedure for Phase 2 and subsequent phases takes 30 working days after having received the **SafiSan Next Phase Application Form** (see Appendix 3). SafiSan fast-tracking of the “next phases” is necessary in order not to undo the impact of the social marketing programme (i.e. the immediate demand for SafiSan toilets).

The duration of **Phase 2 and 3** is determined by demand but should not exceed **6 months**.

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<sup>7</sup> In smaller towns all the LIAs can constitute targets for **Phase 2 or Phase 3**.

### 3.2 SafiSan Project Phase 2 and 3: Project components and budget

A **Phase 2 (and 3)** project package could consist of the following components (see Table 3.1). This scenario does not include the construction of a DTF and assumes that all 300 SafiSan toilets will be serviced by the DTF already constructed during a previous phase of the project or to an existing sewer line.

Table 3.1: **Phase 2** components and estimated budget (estimated costs) (scenario where no DTF is required)

No.	Component	Units	Unit costs	Cost		Access	Remarks
		No.	KES	KES	%	No. of persons	
1	<b>Toilet</b> post-construction incentive	<b>300</b>	<b>20,000</b>	6,000,000	82.4	<b>3,000</b>	New toilets
2	Project administration allowance	1	120,000	120,000	1.6		Reduced time & workload
3	Toilet package	300	1,100	330,000	4.5		
4	Social marketing programme	1	191,000	191,000	2.6		Consumables only
5	Payment of 3 Social Animators	6 months	75,000	450,000	6.2		6 months (incl. travel)
6	Project Task Team allowances	1	20,000	20,000	0.3		Reduced time & workload
7	WSP Sanitation Unit package	1	60,000	60,000	0.8		Consumables only
8	<b>TOTAL:</b>			<b>7,171,000</b>			
9	Contingencies:			107,565	1.5		
10	<b>TOTAL:</b>			<b>7,278,565</b>	<b>100</b>	<b>3,000</b>	
11	<b>Cost per user (KES):</b>					<b>2,426</b>	<b>Phase 2 (or 3) scenario</b>

- Depending on the market analysis, the budget components and items may vary from WSP to WSP.

After the successful implementation of the project from phase 1 to 3, a total of 800 toilets will have been constructed, and will make use of the constructed DTF(s). We assume that another 200 toilets will be existing in the area and will eventually be serviced by the DTF. This means that after Phase 3 of the project, the full capacity of one DTF has been attained.

WSTF will launch another call for proposals for new WSPs and WSPs that have implemented all three phases of the SafiSan project and are ready to move to a new area.

## 4. Project Closure and Sustainability

The UBSUP programme is intended to run for at least three (3) phases per call. This will enable a WSP to maximize on the demand for the SafiSan toilets that could have been generated by the Social Marketing activities as well as the already constructed SafiSan toilets.

However, given that not all companies will perform at the same rate and give the same output, the UBSUP programme needs to consider what will be done in case we encounter different levels of output. In the case of a WSP that is not able to achieve the set numbers of toilets, different scenarios on the project closure have to be outlined. An outline is also necessary for WSPs to be able to sustain themselves.

## 4.1 Project Closure

Different scenarios are to be considered:

	SCENARIO	ACTION
1.	If a WSP is not able to complete all the toilets required in the specified phases (200 toilets in Phase 1, 300 toilets in Phase 2 and 3)	<ul style="list-style-type: none"> <li>• Closure of the project.</li> <li>• Return to the WSTF any funds that have not been utilized.</li> <li>• Wait for the next call in order to apply. (A criteria is set by WSTF to probe if they are viable for the next call)</li> <li>• Make sure that the toilets that are under construction are completed and the post-construction incentive is given out as required.</li> <li>• Completion of the construction of the DTF if it had been allocated.</li> <li>• Funds can be used for other SafiSan projects by WSTF (rollover).</li> </ul>
4.	WSP has been able to achieve all the toilets in all the phases	<ul style="list-style-type: none"> <li>• Accounting for all the money that had been allocated.</li> <li>• Wait for the next call in order to apply, OR</li> <li>• Closing of the project account (This is if the WSP is not interested in applying for another call).</li> <li>• Apply when the next call is advertised (incorporate new low income urban areas).</li> <li>• Once the proposal is funded, proceed on to create demand and sell the SafiSan toilets.</li> </ul>
5.	WSP has been able to achieve toilets, but not completed the DTF	<ul style="list-style-type: none"> <li>• Request for a no cost extension from the WSTF to be able to complete the DTF.</li> <li>• The WSP can only apply in the next call once the DTF has been completed otherwise the application will be rejected.</li> </ul>

## 4.2 Project Sustainability

For the UBSUP programme to be sustainable, it is imperative that those involved in the implementation (i.e. the WSPs) are committed to the project and also feel incentivized to be able to carry the project.

Since the UBSUP programme is funded by development partners, the WSP could carry out the following actions to be able to ensure that there is continuity.

	SCENARIO	ACTION
1.	WSP has been able to finalize the 200 toilets of phase 1 within the stipulated time.	<ul style="list-style-type: none"> <li>• Apply for phase 2.</li> <li>• Carry out a market analysis to identify potential toilet applicants for phase 2 (this can incorporate new urban low income areas that need the intervention).</li> <li>• Establish a site which can be used for the construction of the DTF (if applicable).</li> </ul>
2.	WSP has been able to finalize phase 2 within the stipulated time.	<ul style="list-style-type: none"> <li>• Apply for phase 3.</li> <li>• Carry out a market analysis to identify potential toilet applicants for phase 3.</li> <li>• Establish a site which can be used for the construction of the DTF (if applicable).</li> </ul>
3.	WSP has finished all the 3 phases	<ul style="list-style-type: none"> <li>• Wait for the next call.</li> <li>• Apply when the next call is advertised (incorporate new low-income areas).</li> <li>• Once the proposal is funded, proceed on to create demand and sell the SafiSan toilets.</li> </ul>

### 4.3 What if there is no more funding from development partners?

In some cases, the partner funding may no longer be available to offer the post construction incentive to the various clients who will be interested in the UBSUP programme. The WSP therefore, in conjunction with the WSTF could be able to brainstorm on ways in which the project may continue in the identified low income urban areas. The WSP can consider the following:

1. The UBSUP programme, has invested in Social Marketing to ensure that there is a lot of sensitization on behaviour change towards sanitation. Most of the impact that is currently being felt by the programme is that the living status of most of the clients in the low-income areas has greatly improved. The plots are now cleaner and the landlords or house owners have also improved the houses on their plots. The behaviour change and perception generated by the programme is now more positive and more people are embracing cleaner and better sanitation. For sustainability, therefore, the UBSUP programme's aim is to trigger behavioural change, so that people engage in improving their sanitation even without the post construction incentive. The programme has already developed the platform for the type of toilets that could be constructed, means of transportation, treatment as well as legal disposal sites (consideration of the whole sanitation value chain).
2. The Constitution of Kenya states that it is the right of every Kenyan to have access to clean water and good sanitation. With the support of the Public Health Act, it is imperative that every Kenyan has a good sanitation facility that is not a nuisance. The clients in the urban low-income areas that will not have embraced the UBSUP programme will therefore be forced to improve their sanitation as it is acknowledged

in the law. The WSP should cooperate with the local Public Health Office to enforce the law and assist households and plot owners with the technology offered by UBSUP.

3. The SafiSan toilets are on the plot and household level. After the construction, it is the responsibility of the toilet owner to make sure that the toilet is used and maintained well even after the project ends. The WSP may no longer have access to the plots in future and therefore a system could be established to ensure that the toilet details are not lost and can be accessed. Since the SafiApp is in use, an app version could be developed which can be downloaded by the SafiSan toilet client, to their phones and information filled on a constant basis.
4. Infrastructure will be laid out given the DTF and the septic tanks that most of the clients are constructing are up to standard. It is in the WSP's best interest to make sure that the residents in their jurisdiction have improved and good sanitation to be able to have control of sanitation in their areas. If the toilets are good, the infrastructure is laid out and the use and maintenance is ideal, the WSP will be able to manage its infrastructure well.
5. In areas without any other treatment facility in the vicinity, WSP should consider to invest in DTFs. In the long run, the DTF business model will provide sufficient funds to recover the investment cost. This will ensure that existing toilets in the area are linked to the sanitation value chain.
6. With the new Water Act, 2016, WSTF will receive the proceeds of a levy paid by consumers of piped water (Art. 117, (1)e & 117, (2), Kenya Water Act, 2016). Hence, when the Water Act becomes operational WSTF will have access to a more sustainable source of funding. It should be considered to use part of this funding for the continuation of UBSUP.
7. Furthermore, WSTF could have active resource mobilization strategies and concepts that will be able to bring in more development partners on board. With continuous funding, the UBSUP programme could reach more people and have a major impact on the improvement of sanitation country wide.

## Abbreviations

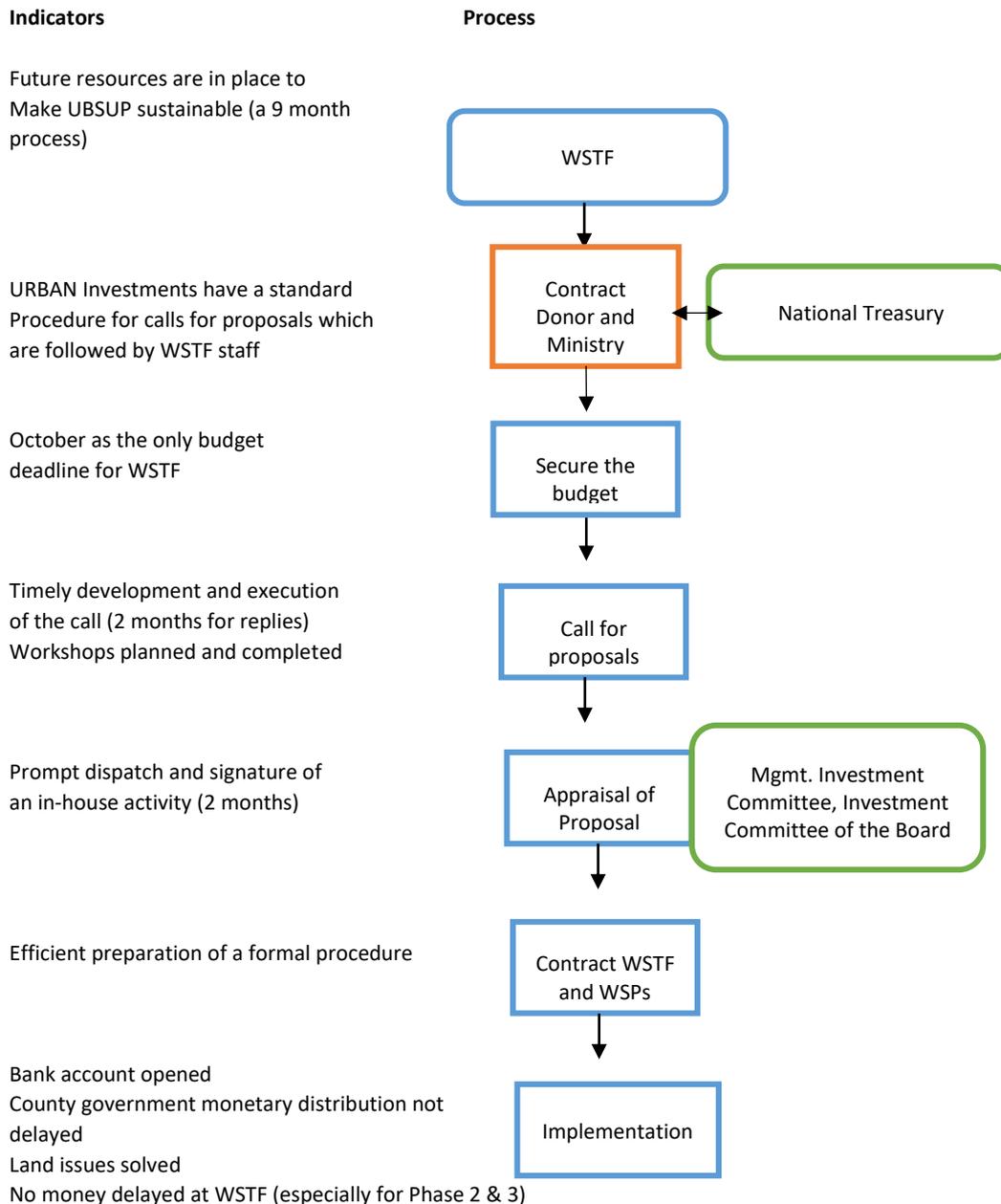
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BMGF:	Bill and Melinda Gates Foundation
BoQ:	Bill of Quantities
CfP:	Call for Proposals
DTF:	Decentralised Treatment Facility
EIA:	Environmental Impact Assessment
FM:	Field Monitor
GIZ:	Gesellschaft für Internationale Zusammenarbeit
KfW:	German Development Bank
KNBS:	Kenya National Bureau of Statistics
KSh:	Kenyan Shilling
MoU:	Memorandum of Understanding
NEMA:	National Environmental Management Authority
PHO:	Public Health Officer
PTT:	Project Task Team
SA:	Social Animator
S-DTF:	Semi-Decentralised Treatment Facility
UBSUP:	Upscaling Basic Sanitation for the Urban Poor
UDDT:	Urine Diversion Dry(ing) Toilet
UPC:	Urban Projects Concept
UPC-IS:	UPC-Information System
VST:	Virtual Sanitation Tool
WASREB:	Water Services Regulatory Board
WSP:	Water Service Provider
WSS:	Water supply and sanitation
WSTF:	Water Services Trust Fund

# Appendices

## Appendix 1: Flow Chart of UBSUP Procedures

### UBSUP Process Flow Chart Indicators of successful flow



In order to ensure smooth transition from Phase 1 to 2 (or 3), it is crucial for WSTF to have the necessary funds at its disposal.

## Appendix 2: UBSUP Summary



# Up-scaling Basic Sanitation for the Urban Poor (UBSUP)

## UBSUP at a glance

### What is UBSUP?

UBSUP stands for Up-scaling Basic Sanitation for the Urban Poor. It is a six year programme (2011-2017) which aims at improving living conditions by offering access to sustainable sanitation to residents of urban low income areas. The programme is funded by the Bill and Melinda Gates Foundation (BMGF) and the German Development Bank (KfW). UBSUP was developed and is being implemented by the Water Services Trust Fund (WSTF) with technical support from GIZ.

### Objectives of the UBSUP Programme

The main objectives of the UBSUP programme are:

- Reach **400,000** people with adequate sanitation and up to **200,000** people with safe water
- Enable, through **capacity building** and reach out activities, sector institutions, civil society organizations and small- scale private entrepreneurs to actively participate in the **provision** of basic sanitation and sanitation services to the urban low income areas
- Develop a sanitation **up-scaling concept** which aims at providing improved and sustainable sanitation by considering all components of the sanitation value chain
- Develop and implement **innovative sanitation solutions**, based on (in-house) study activities, the participation of users (Customer-Aided Design) and exchanges with other sanitation programmes and experts

### Implementation Process

The UBSUP programme provides an opportunity to all County Governments to address urban sanitation challenges through their licensed Water Service Providers (WSPs). The WSPs can apply for funding for the UBSUP programme from the WSTF. The projects funded within the framework of UBSUP programme and implemented by the service providers are called

**SafiSan projects** (“Safi” means clean in Swahili and “San” is short for Sanitation). The WSPs receive:

- **Grants** to be able to build decentralised treatment facilities (DTFs)
- **Funds** to carry out activities in Social Marketing in order to build demand for the toilet facilities
- **Funds** to carry out trainings that help in capacity building individuals and groups involved in the project implementation
- **Expertise** from the GIZ technical team in order to complete the sanitation value chain
- **Support** from the WSTF County Resident Monitor who is on hand in the field to help with the project implementation
- **Hardware and software** that will enable the company to monitor the project effectively (e.g. tablets, desktop computers and SafisApp software)

#### **How do people benefit from UBSUP?**

UBSUP programme aims at reaching people living in urban low income area (individual households and plots) through the various Social Marketing activities and trainings. These activities are organized to generate demand for improved sanitation in the urban low income areas in the country.

The programme enables residents of low income urban areas to;

- **Receive** post construction incentive for all toilet facilities that have been completed, inspected and approved by the WSP
- **Apply** sound hygiene practices through improved access to adequate sanitation, awareness creation and sensitization. Special emphasis is given to sensitizing residents and school children on the importance of hand-washing.
- **Promote** the sustainable use and maintenance of SafiSan toilets
- **Address** the entire sanitation value chain. This means that in addition to addressing sanitation challenges at household and plot level, other sanitation components- toilet emptying, sludge transport, treatment, disposal and re-use are considered in terms of funding, technical designs and project activities
- **Benefit** from the finance and business model which emphasises the importance of providing realistic incentives for all stakeholders

#### **Achievements so far**

The achievements so far are:

- Preparatory **study** which was able to capture sanitation and water information about the low income urban areas in Kenya
- **Concepts** have been developed for the pillars of the programme (i.e. Social Marketing, Technical aspects, Emptying and Transportation and the Finance and Business Model)
- UBSUP currently being implemented in **23 towns** within the 1<sup>st</sup> phase of implementation.
- Over **6000** SafiSan toilets have been constructed by the WSPs during the pilot and first phase of the programme
- **Eleven** (11) DTFs are under construction in 11 towns
- **Trainings** have been carried out for the various stakeholders in the programme (e.g. Sanitation Marketers, artisans, Sanitation Teams and WSPs technical units)
- **Capacity building** of the WSPs that initially did not have any sanitation units

#### **For further Information**

Visit the SafiSan toolkit (<http://www.waterfund.go.ke/safisan/>)

The toolkit enables all stakeholders to access, download and use the SafiSan tools (e.g. proposal application forms, marketing material, technical drawings, procedures etc.) That can be used to prepare a SafiSan project proposal for the WSTF.

The SafiSan toolkit contains the contributions made by a large number of stakeholders: WSPs, Public Health Officers, the National Environmental Management Authority (NEMA), the private sector and residents of the UBSUP target areas. These stakeholders are invited during the implementation of SafiSan projects to make valuable contributions by joining the project task teams.

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**UBSUP Flickr site:** <http://www.flickr.com/photos/ubsup/>