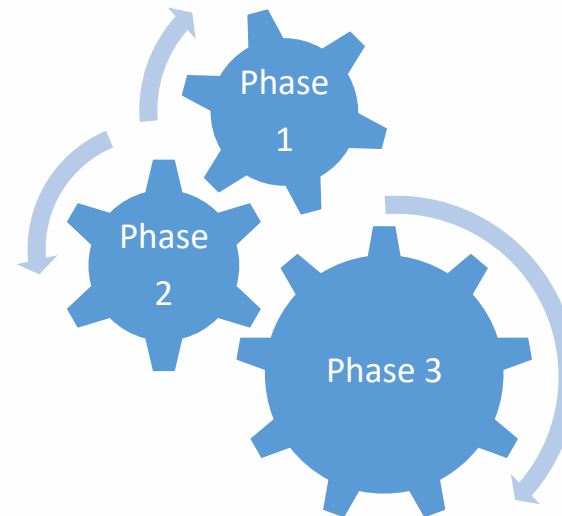
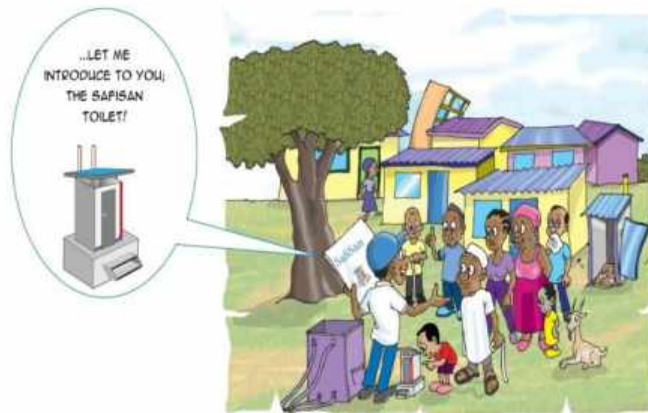


WATER SECTOR TRUST FUND (WSTF) Up-Scaling Basic Sanitation for the Urban Poor (UBSUP)

The Phases Approach of the UBSUP Programme



Prepared by the UBSUP Team
Version: 2.0
Last update July 2017



Financial Support for improved Access to Water and Sanitation
P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke



SafiSan Projects



- Unlike UPC projects, **SafiSan projects** consist of several phases
- This is done to enable the WSPs:
 1. to respond to demand and
 2. to spend time to identify additional project areas (sanitation hotspots)
- **SafiSan Phase 1** is given to WSPs on the basis of a good project proposal
- Subsequent SafiSan phases (**Phase 2 and Phase 3**) are determined by the demand for SafiSan toilets, and/or treatment facilities
- The overall duration (**Phase 1 and all subsequent phases**) of a SafiSan project is flexible
- As long as there is demand (at WSP level) and available funding (at WSTF level), the WSP will be able to request for funding for phase 2 and phase 3



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

Advantages of a multi-phased project approach



Splitting **SafiSan projects** into a number of phases has a number of advantages:

- By limiting **Phase 1** of the SafiSan project to **200 toilets** it reduces the financial and implementation risks for donors, WSTF and WSPs
- The UBSUP programme acknowledges that assessing demand for improved toilets and emptying and treatment services is a time-consuming exercise and, therefore, part of the project (Phase 1).
- This allows the WSP to benefit from the expertise of the multi-stakeholder Project Task Team and from the experiences acquired during **Phase 1**



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 1



SafiSan Phase 1:

- is given to WSPs on the basis of a good project proposal (which you as a WSP have achieved)
- focuses on one urban low income area within the WSP Service Area
- provides subsidies for **200 SafiSan toilets** (only)
- provides funding for **(1) decentralised treatment facilities (DTFs)** and other hardware (depending on whether the WSP has existing and functioning treatment capacity)
- includes (and finances) several accompanying measures (e.g. payment of Social Animators, training of DTF Operators, etc.)
- Includes the (modest) funding required for the identification of additional (**Phase 2, etc.**) project areas (i.e. to carry out a SafiSan market study)
- has a **maximum duration of nine (9) months**)



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 1



NOTE: An important part of **Phase 1** of a SafiSan project is the element of a market study or analysis (the identification of additional demand for **SafiSan toilets** and **DTFs**)

- This market study is carried out by the WSP with the assistance of the other members of the Project Task Team (including the WSTF County Resident Monitor)
- The study aims to identify additional low income areas where, based on the assessment of demand (for improved toilets and DTFs), **Phase 2** of the project can be implemented
- The outcome of the market analysis can be positive – then the project advances to **Phase 2** – or negative – then the project is closed after selling 200 toilets or in the worst case after a set time frame without selling the toilets



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 1



- **NOTE:** The focus during **SafiSan Phase 1** is on a single low income area. However, the WSP may decide to satisfy demand that emerges in other, preferably neighbouring, low income areas (LIAs) as long as the entire sanitation value chain is considered!
- **IMPORTANT:** **Unused funds**, in case demand is below expectations, have to be reimbursed to the WSTF!



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 1



Components of SafiSan Phase 1:

No.	Component
1	Toilet subsidies
2	Toilet package
3	DTF (capacity 10,000 persons)
5	Social marketing programme
6	Payment of 3 Social Animators (*)
7	Training of local artisans
8	Training of DTF operators
10	Project Task Team allowances
11	Market study
12	WSP Sanitation Unit package
13	NEMA approvals (toilets & DTF)
14	EIA for DTF (site & structure)
15	Services of WSTF County Resident Monitor
16	Services of WSTF specialist (expert)
17	Contingencies

*) Social Animators play a key role throughout the social marketing programme. They also play a role during the toilet construction phase (communicating challenges - e.g. poor quality of works - to the WSP). They also provide after-sales care during the early stages of toilet use (explaining use & maintenance)



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 2



If:

1. the WSP sells the initial (**Phase 1**) 200 toilets and
2. a market study, carried out in one or more (preferably neighbouring) low income areas, shows that there is a market for more SafiSan toilets,

then the water company can apply for a next project phase (**Phase 2**)

- A successful **Phase 2** can be followed by **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 to carry out such an assessment
- In smaller towns all the LIAs can constitute targets for SafiSan **Phase 2**



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 2



On the basis of the market analysis the WSP submits a short **Phase 2 Proposal Report** to the WSTF

This report (*a template is provided by the WSTF*) consists of the following elements:

- The **Phase 1 completion report** (only a successful Phase 1 can lead to a **Phase 2**)
- The list of the areas identified for **Phase 2**
- The method(s) & techniques used to identify and appraise these areas
- The area selection criteria used
- Basic information on the area (population, pop. density, sanitation situation, etc.)
- A demand assessment for **SafiSan toilets** in proposed **Phase 2** area(s)
- A demand assessment for **DTFs** (generated by existing toilets & estimated SafiSan toilets)
- Additional social marketing requirements (at area & plot level)
- Requirements in terms of Project Task Team operation, logistics, materials, etc.
- Appendices (*see next slide*)



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 2



The **Phase 2 Proposal Report** to the WSTF has the following appendices:

- (Appendix 1): Detailed information on the additional project area(s)
- (Appendix 2): A detailed **Phase 2** (etc.) project budget
- (Appendix 3): All necessary drawings and BoQs (e.g. of **DTFs**)



Financial Support for improved Access to Water and Sanitation

P.O. Box 49699-00100 Tel: (020) 272 9071, 16, 19 EMail: info@waterfund.go.ke Site www.waterfund.go.ke

SafiSan Projects: Phase 2



Phase 2 and Phase 3:

- are covered by the same (WSP-County-WSTF) contract
- provide toilet subsidies for **300 SafiSan toilets/phase** (new toilets and/or rehabilitations) and **one (1) DTFs per phase (max two in a Call)**
- have the same budget components, but these budgets take into account that some items (*services & materials*) procured for **Phase 1** can be used during **Phase 2** (e.g. the computer for the Sanitation Unit)

-
- **Phase 2** and all subsequent phases are optional
 - The duration of **Phase 2** and each next phase is determined by demand but should not exceed **6 months**



Thank you!!

