

Water Sector Trust Fund (WSTF)

# UBSUP & SafiSan

## Key Characteristics and Procedures

*Prepared by the UBSUP Team*

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*UBSUP, SafiSan, plot & household level sanitation, demand-driven approach, multi-phased projects, the sanitation value chain, social marketing, Call for Proposals, WSTF procedures, incentives for WSPs*



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# What is UBSUP?

- UBSUP stands for “Up-scaling Basic Sanitation for the Urban Poor”
- UBSUP is a programme developed and implemented by the Water Sector Trust Fund (WSTF) and the German Technical Cooperation (GIZ)
- UBSUP is funded by the German Development Bank (KfW) and the Bill and Melinda Gates Foundation (BMGF)
- UBSUP is also the scaling-up concept used to implement SafiSan projects
- UBSUP and SafiSan are part of the UPC (Urban Projects Concept) of the WSTF
- Like UPC, UBSUP has a pro-poor focus and targets urban low-income areas
- Through the UBSUP programme the WSTF is enabling the Water Services Providers (WSPs) to bring their sanitation services to the urban poor
- The UBSUP Programme focusses on **household and plot level sanitation**
- UBSUP has developed and tested a number of innovations for sanitation up-scaling



# What is SafiSan?



- **UBSUP** is the name of the WSTF household & plot level sanitation programme
- **SafiSan** is the name given to all projects implemented within the framework of the UBSUP programme
- **SafiSan project proposals** can be submitted after the WSTF has launched an UBSUP Call for Proposals
- **SafiSan projects** are won, implemented and operated by licensed Water Service Providers (WSPs)
- **SafiSan** is also the name given to the toilets and decentralised treatment facilities (DTFs) that were developed by the UBSUP programme
- **SafiSan projects** cover the entire sanitation value chain!



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# What makes UBSUP and SafiSan unique?

## *Driven by demand!*

- SafiSan projects are **demand-driven**
- Social marketing is an important component of **SafiSan projects**
- **SafiSan toilets** are user-friendly and have been designed to be used by a maximum of **10 persons**
- Construction of **SafiSan toilets** is financially supported, but post-construction incentives (PCI) are only paid to the toilet owner **after** a completed toilet has been inspected and approved by the WSP
- **SafiSan toilet owners** receive **KSh 20,000** for a new toilet and **KSh 15,000** for the rehabilitation of an existing toilet



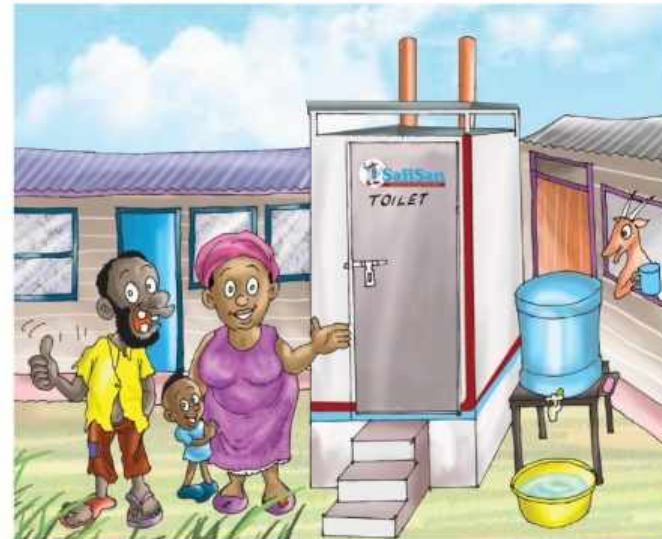
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# What makes UBSUP and SafiSan unique?

*Driven by demand!*

- Demand for **SafiSan** toilets (and post-construction incentives -PCIs) and treatment facilities trigger the disbursement made by the WSTF to the WSPs
- The same demand also triggers the disbursements made by the financiers of UBSUP to the WSTF



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# What makes UBSUP and SafiSan unique?

## *Driven by demand!*

- **SafiSan projects** target all urban low income areas and “sanitation hotspots” in particular (areas where people have very poor access to adequate sanitation)
- **SafiSan projects** to not target areas with extremely high population densities where the space for improved toilets at plot or household level is lacking
- For these areas WSPs can apply for public sanitation facilities developed under the UPC
- **SafiSan projects** focus on the entire sanitation value chain; toilets, proper use, maintenance, storage, emptying, transport and treatment
- **SafiSan projects** aim to create and increase demand for improved toilets through social marketing
- **SafiSan projects** also consider the business requirements of the local private sector; e.g. local artisans (who build or assemble SafiSan toilets), exhausters and the sustainable operation of the treatment facilities



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# 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 (additional) demand for SafiSan toilets, emptying services and/or treatment facilities
- The overall duration (**Phase 1 and two 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 additional phases and funding



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# Advantages of a multi-phased project approach



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

- Limiting **Phase 1** of the SafiSan project to **200 toilets** 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**



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# SafiSan Projects: Phase 1



## SafiSan Phase 1:

- is given to WSPs on the basis of a good project proposal
- focuses on one urban low income area within the WSP Service Area
- provides subsidies for **200 SafiSan toilets** (only)
- provides funding for **(1 or 2) 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**)



# 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 Field 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



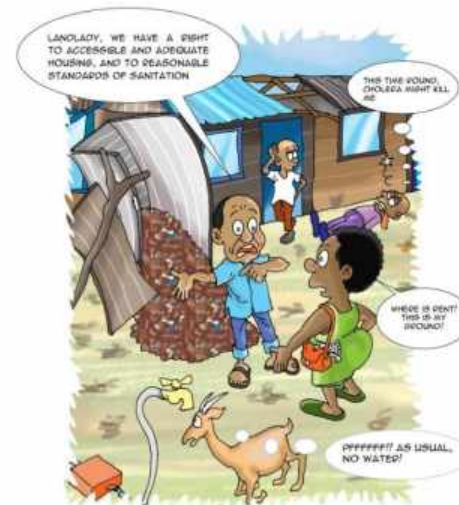
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# SafiSan Projects: Phase 1



- **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!



# SafiSan Projects: Phase 1



## Components of SafiSan Phase 1:

No.	Component
1	Toilet subsidies
2	Toilet package
3	DTF (capacity +/- 10,000 persons)
4	SaniGo carts for emptying
5	Social marketing programme
6	Payment of 3 Social Animators (*)
7	Training of local artisans
8	Training of DTF operators
9	Training of Sanitation Teams
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 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)



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## 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**)

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- A successful **Phase 2** can be followed by subsequent phases 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**



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On the basis of the market analysis the WSP submits a short

**SafiSan Project Phase [ ] Application Form** to the WSTF for approval:

This form (*template provided by the WSTF*) contains the following information:

- Information on the **SafiSan Previous Phase Completion Report** (*template provided by WSTF*)
- The list of the areas identified for Phase 2
- 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 (using the **Android application**, the **SafiSan Area Data Collection Tool**, the Virtual Sanitation Tool or other methods & techniques that are included in the SafiSan toolkit (see Module 3)





# SafiSan Projects: Phase 2



## SafiSan Project Phase [ ] Application Form (continued):

- 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.

In smaller towns all the LIAs can constitute targets for **Phase 2**.



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# SafiSan Projects: Phase 2



- WSTF approval procedure for Phase 2 and subsequent phases takes less than 10 working days after having received the **SafiSan Next Phase Application Form**
- SafiSan “next phases” fast-tracking is necessary in order not to undo the impact of the social marketing programme
- The duration of **Phase 2** and each subsequent phase is determined by demand but should not exceed 6 months



## SafiSan Projects: Phase 2



### **Phase 2** and all subsequent phases:

- 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) or 2 DTFs per phase**
- 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)

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- **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**



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# SafiSan Projects: Incentives for WSPs



- The WSTF has held discussions with the sector regulator (WASREB) (\*)
- The key objective of these discussions was to develop incentives for WSPs which are providing pro-poor onsite sanitation services
- WASREB will accept that the costs related to the operation of a dedicated Sanitation Unit and of the DTFs are included in the tariff proposal submitted to WASREB

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## Other UBSUP-related incentives for the WSP are:

- Training (e.g. on DTF O&M) provided to the WSPs by the WSTF & KEWI (during project implementation & operation)(\*)
- Improvement of marketing and public relations skills
- The Sanitation Unit package provided by the WSTF
- Contributing to achieving the public health objectives of County & Country

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\*) : *KEWI = Kenya Water Institute; WASREB = Water Services Regulatory Board*



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Thank You! ...and if you have any questions, please ask!

