

## How Does SuSanA Generate Impact?

### Case Story 2: Up-Scaling Basic Sanitation for the Urban Poor in Kenya (UBSUP)

#### At a Glance



**Country:** Kenya

**Topic:** Up-Scaling Basic Sanitation for the Urban Poor

**Actors:** The Water Sector Trust Fund (WSTF), Bill & Melinda Gates Foundation (BMGF), KfW, GIZ, SuSanA

**Impact Argument:** Implementing the sanitation project “Up-Scaling Basic Sanitation for the Urban Poor – UBSUP”, WSTF has actively used the SuSanA Forum to get input on the construction of Decentralised Treatment Facilities (DTFs) and capacity building as well as concept development along the sanitation chain. Given its success, UBSUP, in turn, became a programme of reference during the review of Kenya’s National Environmental Sanitation and Hygiene Policy from 2007 that led to an improved version in 2016, including an implementation strategy by the Ministry of Health. Moreover, by extensively sharing information on the status of UBSUP as well as lessons learned from the project on the SuSanA platform, SuSanA facilitated the replication of similar initiatives globally and thus contributed to up-scaling sanitation in Kenya and beyond.

#### Introduction

Kenya’s population comprises 46 million people – some 11.5 million (25%) of whom reside in urban areas. With an urban growth rate of 4%, urbanisation will continue to increase in the coming years. At the same time, one third of the urban population (i.e. approximately 3.8 million) live below the poverty line. Most of those who do, are residents of approximately 2,000 urban low-income areas that exist in Kenya. These urban low-income areas are marked by limited access to sanitation services.

While on-site sanitation systems are predominant in Kenya, there is a lack of sustainable faecal sludge management. A lack of investment in sanitation infrastructure and rapid



Beneficiary of an UBSUP toilet in Chuka.  
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urbanisation further aggravates this trend. In response, the Kenyan Government with the help of the Water Sector Trust Fund (WSTF) initiated a sanitation up-scaling project called “Up-Scaling Basic Sanitation for the Urban Poor (UBSUP)” in 2011. The programme is anchored within the institutional and legal framework of the water sector in Kenya and has been implemented in 23 towns as of mid-2017. We talked to Simon Okoth who worked as Program Manager at the Water Sector Trust Fund (WSTF) about the UBSUP project and the role of SuSanA during the preparation and implementation phase.

#### Interview

**SuSanA: Simon, can you give us more details about “Up-Scaling Basic Sanitation for the Urban Poor”?**

Sure. Given the critical sanitation challenges facing urban low-income area dwellers, WSTF designed UBSUP to address the growing need for access to adequate sanitation services. UBSUP is a countrywide up-scaling programme aimed at providing access to basic household sanitation across all Kenyan urban low-income areas. The programme is implemented through licensed water utilities. The UBSUP concept covers the entire sanitation service chain: it incorporates a social marketing concept, technical concepts for infrastructure, emptying and transportation as well as business and financing models. Put differently, UBSUP is based on three pillars: (1) social marketing, (2) technology, and (3) business and financing models.

**SuSanA: Can you elaborate more on these three pillars?**

First of all, UBSUP is a completely demand-driven programme. To increase the demand for improved on-site household sanitation, innovative social marketing techniques are employed. With regard to technology, households are encouraged to build toilets with a permanent superstructure and which comply with building and technical standards. Also, if the area has no treatment facility, UBSUP supports the construction of a Decentralised Treatment Facility (DTF) that is operated and maintained by the registered water utility within the jurisdiction. Finally, once the construction of the toilet in the plot or household is complete, inspected by the water utility and its structure approved, the household receives a post-construction incentive from the UBSUP programme, which corresponds to approximately half of the construction costs. Thus, the project does not exclusively concentrate on construction of sanitation facilities but also on improving emptying, dumping services and treatment of sludge. In concept, sanitation, including sludge management, is treated as a business (opportunity) and the necessary procedures and incentives aimed at structuring and streamlining the value chain have been developed.

**SuSanA: UBSUP is commissioned by the Water Sector Trust Fund (WSTF) but there are various other partners involved. Which collaborations support the project?**



Simon Okoth,  
Stockholm  
Environment Institute,  
former Program  
Manager at WSTF

UBSUP is a typical collaborative intervention that utilises a number of different partnerships at the programming and execution levels, including financing, implementation and technical support. The programme is jointly financed by the Bill & Melinda Gates Foundation (BMGF), the German Development Bank (KfW) and the Government of Kenya. This partnership has ensured the availability of financial resources to fund the programme activities. GIZ sanitation advisors have provided expertise on the design of the programme, supporting concept development, programme piloting and scaling up. The implementation of the programme, finally, is based on two levels of partnerships: (1) the collaboration between WSTF and the Water Service Providers (WSP) who are the primary implementers and the collaboration between WSTF and the county governments who are responsible for oversight during the implementation; and (2) the collaboration between the WSP and the community members/households which results in implementing the project successfully on the ground.

**“The SuSanA Forum has allowed us to share lessons learned from UBSUP with a wide audience which have benefited others in their up-scaling efforts, accelerating national and international impact.”**

**- Simon Okoth, former Program Manager at WSTF**

**SuSanA: You have also used the SuSanA Forum to report on the project and share lessons learned. How has your input reverberated?**

The progress and lessons learned from the programme have been documented in various forms and shared on the SuSanA platform to support the up-scaling of similar projects in different parts of the world. In October 2014, for example, a Water Supply and Sanitation Engineer with SMEC working in Kiribati, learned about UBSUP on the SuSanA platform and searched for tools and technical designs to initiate a similar project in Kiribati. The engineer was informed about how UBSUP is designed and the Safisan toolkit, including all the tools from the UBSUP project, was shared with him. This shows how a programme implemented through a functional collaborative approach can easily influence up-scaling and accelerate national and international impact.

**SuSanA: What are your objectives for the programme and how many people are you attempting to reach?**

UBSUP is a 7-year programme initiated in July 2011 and funded with 10 million USD from the German Development Bank (KfW) and 10 million USD from the Bill & Melinda Gates Foundation (BMGF). The objectives of UBSUP are four-fold:

UBSUP is a 7-year programme initiated in July 2011 and funded with 10 million USD from the German Development Bank (KfW) and 10 million USD from the Bill & Melinda Gates Foundation (BMGF). The objectives of UBSUP are four-fold:

- To provide sustainable sanitation for over 400,000 people and safe water for 200,000 in the urban low-income areas in Kenya;
- To develop a monitoring system for tracking access to safe water and basic sanitation facilities of urban low-income area dwellers;
- To build and to provide sector institutions, civil society organizations and small-scale private entrepreneurs the capacity to actively participate in the provision of basic sanitation to urban low-income households;
- To ensure sustainability of the concept by up-scaling it in line with the Kenyan water sector reforms.

The program implementation is designed to cover the whole sanitation service chain with specific operational sustainability and business sub-objectives as outlined in the table below:

STEP	DESCRIPTION
<b>Capture</b>	To develop affordable and sustainable toilet infrastructures which are subsidized by the programme. The promoted technologies are pour flush toilets connected to the septic tank or main sewer network and Urine Diversion Dehydrating Toilets (UDDTs).
<b>Storage</b>	To offer a range of sanitation technical solutions including double vault dry systems, pour flash and cisterns in areas with existing sewers and connected to the septic tanks.
<b>Transport</b>	To provide tools, training, registration, certification and appropriate business models to emptiers (Sanitation Teams) to ensure proper emptying of the UBSUP toilets.
<b>Treatment</b>	To provide funding for the construction of Decentralized Treatment Facilities (DTFs) which also include drying beds to tackle the treatment component for both wet and dry sludge.
<b>Reuse</b>	To provide tools, business models and guidelines on how to produce soil conditioners from the human waste located in the DTFs.

**SuSanA: Precisely how does SuSanA support you in achieving these objectives?**

Colleagues not only from the WSTF but also GIZ have actively used the SuSanA Forum to get input on DTFs, emptying, transportation, and reuse component and shared a lot of resources from the GIZ Kenya project. For example, Alexandra Dubois (GIZ Water Sector Reform Programme Technical Advisor) has used the forum to enquire about alternative solutions to round shaped gravel stones for the filter media of Vertical Flow Constructed Wetland. She also initiated a debate on Vertical Flow Constructed Wetland (VFCW) on the one hand and Horizontal Flow Constructed Wetland (HFCW). Furthermore, questions pertaining to potential public financing through funds raised from the local capital markets are currently under discussion in the forum. Moreover, SuSanA (particularly the SuSanA library) was also helpful in terms of capacity building, especially for the development of the DTF O&M manual. Alexandra Dubois found material which gave her a good basis for the final product that she in turn shared with the SuSanA community. In addition, SuSanA is useful for experience sharing. In this forum thread <http://forum.susana.org/forum/categories/167-market-development-in-action/4204-up-scaling-basic-sanitation-for-the-urban-poor-in-kenya-ubsup-water-services-trust-fund-and-giz-kenya>, the UBSUP situation is regularly updated by the team, e.g Charlotte Nyatichi, and SuSanA members are invited to learn from our experiences and ask questions.

Finally, Doreen Mbalo (former GIZ Water Sector Reform Programme Advisor) also utilized the forum from 2011 during the development of the UBSUP concept while

developing an inventory of sanitation practices, sanitation marketing, emptying, transportation treatment technologies and reuse/disposal options. The information is anchored in key UBSUP concepts that were utilized during the testing, piloting and scaling up phase

**SuSanA: Let's talk about the policy impact of UBSUP. As you mentioned, the Government of Kenya, through WSTF, commissioned UBSUP and so the political will exists to up-scale basic sanitation. With UBSUP currently in its seventh year, how has the programme influenced national policies on sanitation since its inception in 2011?**

The conceptualization and development of the UBSUP programme came at a time when the sanitation sub-sector in Kenya did not have a proper national regulatory framework. Even though there was a national sanitation and hygiene policy in place, the provisions were not pragmatic enough to allow for smooth implementation of a rigorous programme covering the whole sanitation service chain. Furthermore, it was necessary to ensure that the implementing institutions under the Ministry of Water and the Ministry of Health understand their roles and responsibilities when it comes to nationwide implementation of a scaling up programme.

From the testing and piloting of UBSUP, vital lessons with regard to who should be responsible for a particular stage in the service chain and how that responsibility can be addressed emerged. Given these lessons, it was time to review the existing policies and regulations to ensure harmonization, prioritization and the inclusion of important components, such as a wide range of sanitation technologies, financing and sanitation mechanisms, unique elements of urban sanitation approaches and sludge management (including reuse of treated sludge).

Put differently, the tried and tested UBSUP concept and the empirical evidence and lessons learned from the programme influenced national policies. Indeed, UBSUP models and implementation procedures became the programme of reference for stakeholders during the review of Kenya's National Environmental Sanitation and Hygiene Policy from 2007 that led to an improved version in 2016.

**SuSanA: What was SuSanA's contribution to the policy developments triggered by UBSUP?**

Over the period of UBSUP's implementation and the subsequent sharing of project details on the SuSanA platform, many country and city delegations from different countries have visited WSTF to learn more and develop ideas for starting similar programmes in their respective countries. These delegations came from Zambia, Burkina Faso, South Sudan, Germany, USA, The Netherlands and Uganda, among others, and included SuSanA members and GIZ affiliated organizations. Some programmes have already been designed in some of these countries based on the learning drawn from UBSUP that have enabled them to

not only design the programmes but also strengthen the national and city frameworks for implementation.

**Thank you very much for taking the time to talk to us. We are excited to learn about any developments in the programme on the SuSanA Forum.**

## Further Information

Dubois, A. (2017). Up-scaling Basic Sanitation for the Urban Poor (UBSUP) in Kenya. SuSanA  
<http://www.susana.org/en/resources/library/details/2861>

Water Sector Trust Fund  
<http://www.waterfund.go.ke/>

Safisan Toolkit (including all key documents from the UBSUP project)  
[www.waterfund.go.ke/safisan/](http://www.waterfund.go.ke/safisan/)

MajiData website (information on WSTF funded investments and general data on low income area of Kenya)  
[www.majidata.go.ke](http://www.majidata.go.ke)

## SuSanA Impact Case Story

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