

## REGULATION TRAINING: COMPLIANCE MONITORING, REPORTING AND ENFORCEMENT

18<sup>th</sup> – 21<sup>st</sup> June 2024: Dar es Salaam. TANZANIA

### PROGRAMME

**Day 1: Tuesday 18<sup>th</sup> June: 08:30 hrs**

Time	Agenda	Responsible
08:30	Participant and Trainer Introductions	Secretariat
Time	Course	Trainer
09:00 – 10:30	<p><b>Course: Basics of Water Supply and Sanitation Services</b> <i>an overview</i></p> <p><i>Description: Basic notions about WSS service provision, the types of service models and their main characteristics</i></p> <p><b>Outline:</b></p> <ul style="list-style-type: none"> <li>➤ Understanding Water Supply and Sanitation Service Provision</li> <li>➤ Characteristics and infrastructures of network water supply, sewerage sanitation, off-grid water solutions, non-sewered sanitation solutions</li> </ul>	Eng. Mutaekulwa Mutegeki
10:30 – 11:00	Tea Break	
11:00 – 13:00	<p><b>Course: Basics of Regulation - an overview</b></p> <p><i>Description: Fundamental knowledge on what regulation is for, and in particular as it relates to water supply and sanitation network infrastructure services and off-grid provision.</i></p> <p><b>Outline:</b></p> <ul style="list-style-type: none"> <li>➤ Definition and objective of regulation</li> <li>➤ Regulation types – Economic, technical, contract, environmental and social regulation</li> <li>➤ Models of WSS regulation in Africa <ul style="list-style-type: none"> <li>○ Regulation by agency</li> <li>○ Ministerial regulation</li> <li>○ Regulation by contract</li> <li>○ Hybrid regulation</li> <li>○ Self-regulation</li> </ul> </li> <li>➤ The role of regulator as a legal entity and relationship with other types of regulators</li> <li>➤ Competencies, powers and functions of regulators</li> </ul>	Elisabeth Nahimana
13:00 – 14:00	Lunch	
14:00 – 16:00	<p><b>Course: Compliance Monitoring, Reporting and Enforcement</b></p> <p><i>Description: Regulatory mechanisms for monitoring and reporting WSS provision</i></p> <p><b>Outline:</b></p> <ul style="list-style-type: none"> <li>➤ Understanding Compliance monitoring, reporting and enforcement</li> <li>➤ Scheduled and specific inspections</li> <li>➤ Inspection planning</li> <li>➤ Execution of inspection</li> </ul>	Eng. Peter Mutale
16:00	End of Day//	

**Day 2: Wednesday 19<sup>th</sup> June: 08:30 hrs**

Time	Course	Trainer
08:30 – 10:30	<p><b>Module 1: Technical Inspection</b>  <i>Description: Infrastructure facilities and Quality of Service Standards</i></p> <p><b>Outline:</b></p> <ul style="list-style-type: none"> <li>➤ Regulation of WSS infrastructure services</li> <li>➤ Checklist of aspects inspected with compliance considerations, monitoring frequency and sources                             <ul style="list-style-type: none"> <li>○ Infrastructure facilities (treatment plants, meters, network etc)</li> <li>○ Asset management</li> <li>○ Risk monitoring (Water and sanitation safety)</li> <li>○ NRW</li> </ul> </li> </ul>	<b>Eng. Mutaekulwa Mutegeki</b>
10:30 – 11:00	<b>Tea break</b>	
11:00 – 13:00	<p><b>Module 2: Commercial Inspection</b>  <i>Description: Customer contacts and engagements</i></p> <p><b>Outline:</b></p> <ul style="list-style-type: none"> <li>➤ Understanding customer base</li> <li>➤ Checklist of aspects inspected with compliance considerations, monitoring frequency and sources                             <ul style="list-style-type: none"> <li>○ Customer records</li> <li>○ Billing</li> <li>○ Collection</li> <li>○ Complaints management</li> </ul> </li> </ul>	<b>Eng. Peter Mutale</b>
13:00 – 14:00	<i>Lunch</i>	
14:00 – 16:00	<p><b>Field-work</b>  <i>Description: Practical application of Technical and Commercial checklists in the field</i></p> <ul style="list-style-type: none"> <li>• <i>Treatment plant</i></li> <li>• <i>Customer facilities</i></li> <li>• <i>Pay-point</i></li> </ul>	<b>EWURA, Tanzania</b>
16:30	<b>End of Day//</b>	

**Day 3: Thursday 20<sup>th</sup> June: 08:30 hrs**

Time	Course	Trainer
08:30 – 10:30	<p><b>Module 3: Financial and Human Resource Inspections</b>  <i>Description: Procedures and mechanisms to ensure that the utility is financially sustainable and has qualified staff to execute mandate</i></p> <p><b>Outline:</b></p> <ul style="list-style-type: none"> <li>➤ General principles of a tariff system: Tariff level and structure</li> <li>➤ Financing Models</li> <li>➤ Checklist of aspects inspected with compliance considerations, monitoring frequency and sources                             <ul style="list-style-type: none"> <li>○ Strategic Plan</li> <li>○ Business Plan</li> <li>○ Procurement procedures</li> <li>○ Financial management</li> <li>○ Human resource management</li> </ul> </li> </ul>	Eng. Peter Mutale
10:30 – 11:00	Tea break	
11:00 - 13:00	<p><b>Course: Contract Regulation</b>  <i>Description: Structuring and legal modeling of WSS service provision contracts</i></p> <ul style="list-style-type: none"> <li>➤ Different types of contracts</li> <li>➤ Participation of the private sector</li> <li>➤ Contract Management</li> </ul>	Elisabeth Nahimana
13:00 – 14:00	Lunch	
14:00 – 16:00	<p><b>Field-work</b>  <i>Description: Practical application of financial checklists in the field</i></p> <ul style="list-style-type: none"> <li>• Costs</li> <li>• Revenues</li> <li>• Stores</li> <li>• Execution of business/strategic plan</li> <li>• Processes and procedures</li> </ul>	EWURA, Tanzania
16:30	End of Day//	

**Day 4: Friday 21<sup>st</sup> June: 09:00 hrs**

Time	Course	Trainer
09:00 – 12:30	<p><b>Course: Compliance Monitoring, Reporting and Enforcement</b>  <i>Description: Regulatory mechanisms for monitoring and reporting WSS provision</i></p> <p><b>Outline:</b></p> <ul style="list-style-type: none"> <li>➤ Enforcement Process</li> <li>➤ Inspection report</li> <li>➤ Term of notification, notice of infraction and technical advice</li> <li>➤ Disclosure and publicity of reports</li> <li>➤ Supervision of notifications, penalties, sanctions and other processes of the inspected units</li> <li>➤ Intrusive regulation for persistent non-compliance (<i>Special Regulatory Supervision</i>)</li> <li>➤ License suspension/revocation</li> </ul>	Eng. Peter Mutale
Tea break: 10:30 – 11:00		
12:30 - 13:00	Feedback on Training	Secretariat
13:00	Lunch and End of Training//	