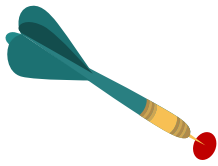




## **Part 2 – Sanitation Solutions**

### **2.2 Regulatory Systems for Urban Sanitation**

**Inclusive urban sanitation – Capacity development for consultants**

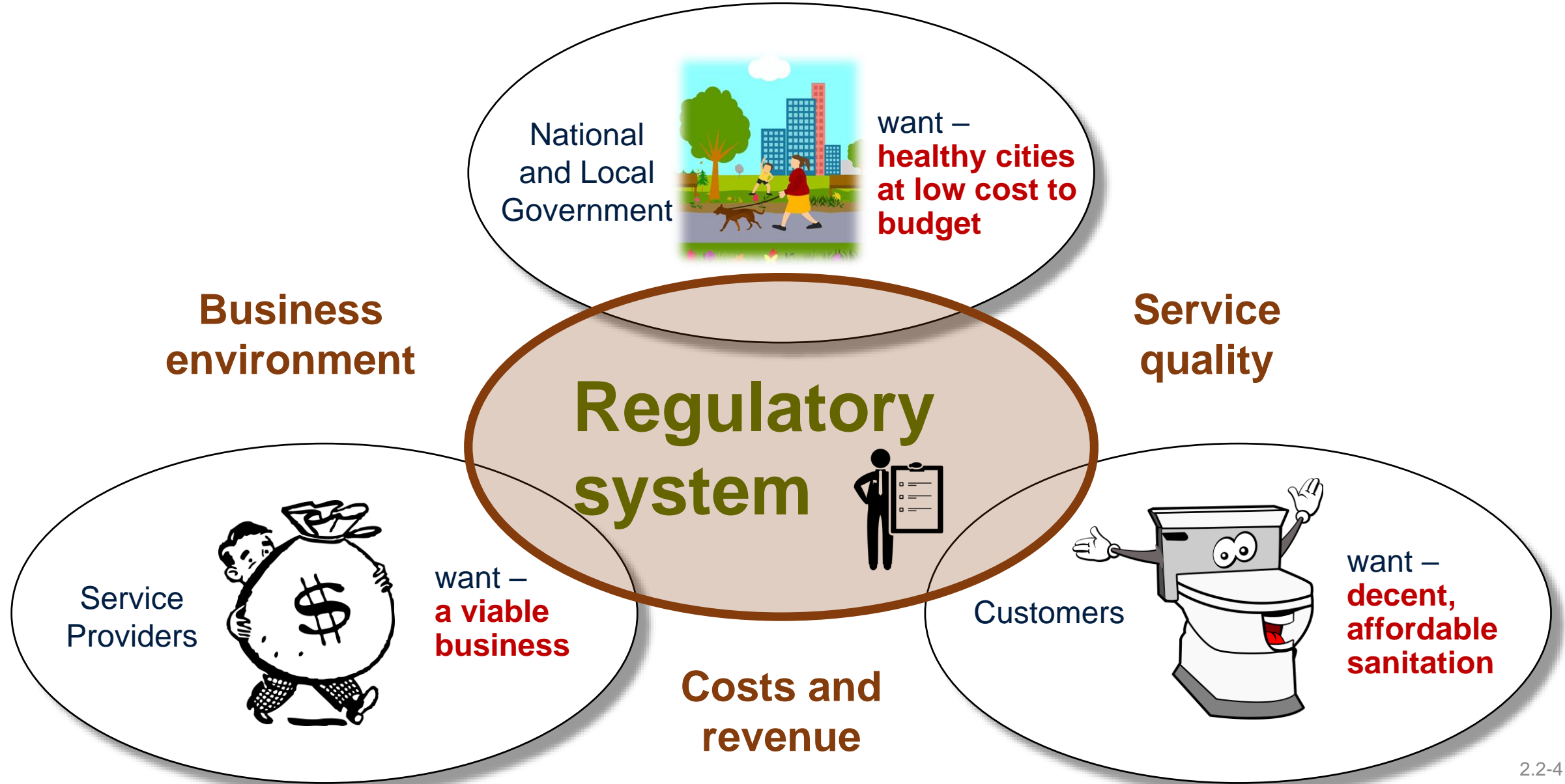


Distinguish the different mechanisms of regulation necessary to improve the regulatory environment

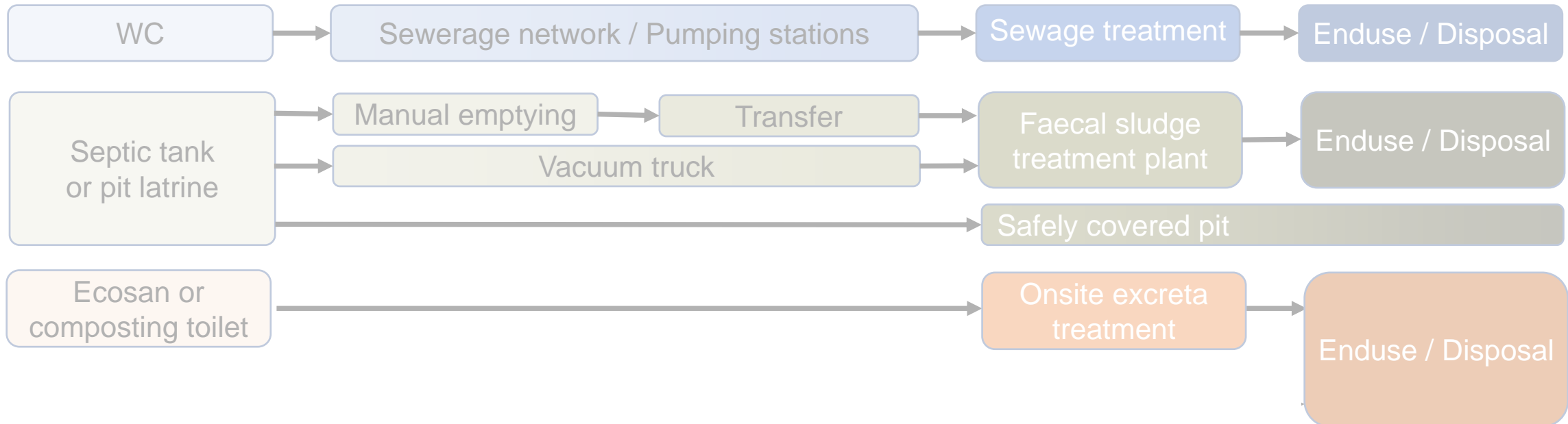
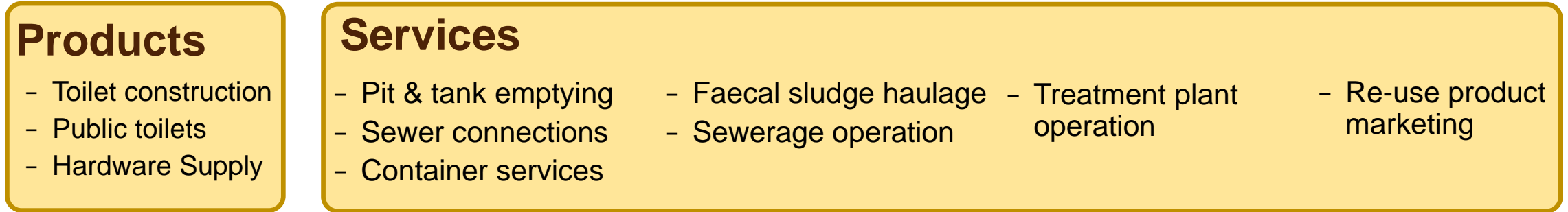
## Regulation

- What is regulation?
- Regulation for different services
- Examples
- Implications for consultants

# Regulatory system



# Regulate what?



# Services – public or private?



**Products**

- Toilet construction
- Public toilets
- Hardware Supply

**Services**

|                       |                         |                             |                            |
|-----------------------|-------------------------|-----------------------------|----------------------------|
| - Pit & tank emptying | - Faecal sludge haulage | - Treatment plant operation | - Re-use product marketing |
| - Sewer connections   | - Sewerage operation    |                             |                            |
| - Container services  | - Container services    |                             |                            |



5 mins



- Are these two services, in your city or country, private or public?
- Who – if anybody – regulates them?

# Regulatory mechanisms

| Mechanism              | Legal power | How applied       | Examples  |
|------------------------|-------------|-------------------|---|
| <b>Guidelines</b>      | -           | Advisory          | – Toilet design   |
| <b>Standards</b>       | ✓           | Ex-post           | <ul style="list-style-type: none"> <li>– Re-use products; effluents; sanitary ware</li> <li>– Working procedures for sanitation workers</li> <li>– Sanitary performance of facilities and services</li> </ul> |
| <b>Permit</b>          | ✓           | Prior approval    | <ul style="list-style-type: none"> <li>– Building permits – sanitation facility standards</li> <li>– Discharge permits</li> </ul>   |
| <b>Legal agreement</b> | ✓           | Licence, Contract | <ul style="list-style-type: none"> <li>– Pit and septic tank emptying</li> <li>– Sewage and faecal sludge treatment</li> <li>– Public toilet performance</li> <li>– Utility performance</li> </ul>            |



# Regulatory mechanisms - enforcement

| Mechanism              | Legal power | How applied       | Examples  |
|------------------------|-------------|-------------------|---|
| <b>Guidelines</b>      | -           | Advisory          | – Toilet design   |
| <b>Standards</b>       | ✓           | Ex-post           | <ul style="list-style-type: none"> <li>– Re-use products; effluents; sanitary ware</li> <li>– Working procedures for sanitation workers</li> <li>– Sanitary performance of facilities and services</li> </ul> |
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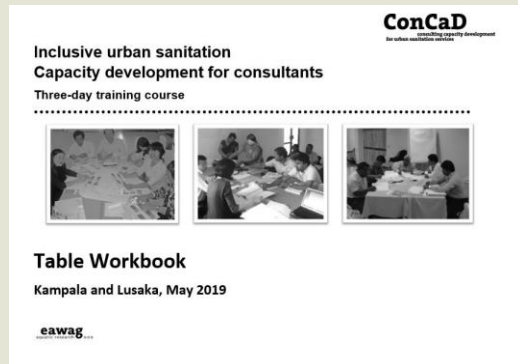
Clear allocation of roles & responsibilities

Up-to-date (digital) data platforms for sanitation systems and technologies



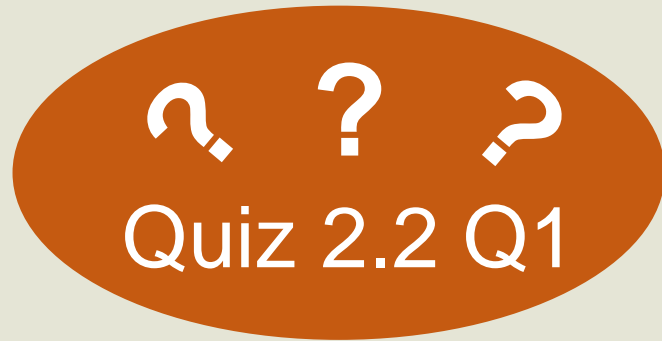
## Table group activity 2.2-1: Local laws and regulations

Follow the Table Workbook instructions (page 9)



5 mins





Individual consideration  
(not table-group  
discussion)

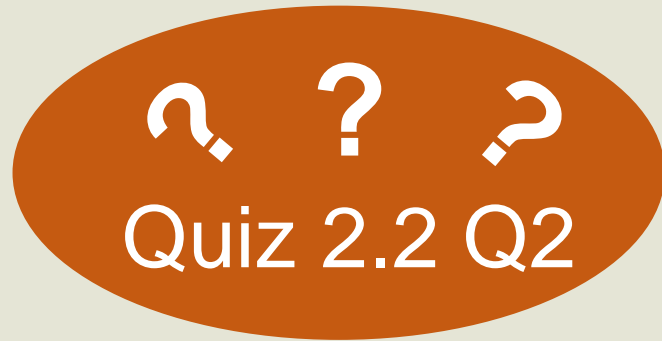
2 mins



## What is the main purpose of the regulatory system?

- a) To ensure customers receive high quality services
- b) To enable the service providers to generate strong revenues
- c) To balance the needs of customers, service providers and government

*More than one answer may be correct*



Plenary discussion

**Guidelines, standards, permits, licences and legal agreements are regulatory instruments. Which would you recommend using for:**

- Effluent discharge quality
- Pit emptying
- Operation of public toilets by the private sector

2 mins



# Regulation: Implications for consultants

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- Look at whole regulatory system
- Work with stakeholders, the CSDA may be a useful starting point.
- Capacity-building is as important as technical and legal documentation
- Work closely with national and local officials, the regulator, and service providers
- Ensure that enforcement remains feasible
- Get right expertise in your team as required



## Regulation

- Is a critical part of the enabling environment
- Align to country's policy, legal, institutional and financial frameworks
- Be pragmatic and easy to enforce
- Should balance the needs of customers, businesses and government

