Report

Workshop Report:

Organisation of UPMU

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Content

1 Introduction

1.1 Aim of the Report

This report aims at providing support for the organisational development of the new regulatory authority (in the following UPMU) for the Jordanian water sector. It is based on a workshop in the Ministry of Water and Irrigation in Amman which took place 16. Dec. 2019 with water sector experts/future UPMU employees as well as representatives of GIZ and the consultancy MOcons, with the objectives to: (a) develop a roadmap for the organisational setup; (b) define core deliverables and processes; (c) discuss structures and roles of UPMU, and (d) improve teamwork.

In detail, this report aims at reflecting and specifying the results of the workshop, especially to

1. Outline the core strategic orientation of UPMU which will particularly be based on the final mandate (chapter 2)
2. Describe the roadmap with the different activities and an allocation of responsibilities (based on the RACI-and the 7 s models) (chapter 3)
3. Define core organisational processes including first proposals for the benchmarking ~ and for the inspection process and a proposal to plan each subsequent year (chapter 4)
4. Reflect on the structure and the roles within UPMU (chapter 5)
   a. for the following year (2020) (chapter 5.1);
   b. as well as the future development (chapter 5.2.)
5. Specify needed capacity building including proposals how to perform team building workshops (chapter 6)

The workshop was based on suggestions of the MOcons team which built on previous interviews, review of existing data of the Jordanian Water Sector as well as international project experience in the area of water regulation. These recommendations were discussed and refined with the participants.

1.2 Definitions

For a joint terminology and understanding of the core elements of organisational development, the following terms are defined:

1. The **organisational structure** is usually displayed in organigrams (see also chapter 4).
2. The organigram is based on **posts**. Posts can be filled with individual employees or managers, but are to be defined independently of individual actors.
3. **Tasks** (also "job") are the activities assigned to posts (e.g. coordination tasks, planning tasks).
4. **Organisational roles** are defined as functions of a post, e.g. supervision, quality control, which are different from the concrete tasks.
5. **Processes** are series of repeating action steps in chronological order, which have clearly defined starting points and results (e.g. from a request by the Ministry to a documented answer).

6. The **Roadmap** developed for UPMU is based on its mandate and represents a list of necessary actions to reach the objectives of the organisation.

7. The **Operational Plan** refers to a detailed annual plan for the UPMU which includes action items, responsibilities, needed resources, and milestones.

8. The **Kick-off workshop** is a two day workshop of the newly established UPMU team in which core questions of the internal cooperation are clarified and the Operational Plan is worked out. All team members need to participate.

2 Strategic Orientation

2.1 UPMU's Mandate

All activities within UPMU, including tasks, roles, structures, processes etc. need to be **based on the mandate**, which includes the following elements:

1. **Set and evaluate Operational Performance Targets**

2. **Monitor compliance with standard of KPI's** (review of reports and direct verification of compliance of standards and KPIs).

3. **Conduct inspections and investigations**

4. **Settle customer complaints and disputes**

5. **Review and recommend tariff** (includes review of cost, tariffs, required subsidies options analysis for the Cabinet).

6. **Recommend subsidy**

7. **Incentive/penalties on service delivery**

8. **Recommends updates on laws, legislation and regulations**

9. **Review Companies Business Plans**

This means that for each function 1-9 of the mandate, there need **to be tasks, roles, and processes etc.** to fill the mandate with life. The **joint understanding** of the mandate (**by all parties involved**!) is thus a prerequisite for a **consistent operationalisation** of UPMU's roadmap. Thus, the mandate defines the basic requirements for the organisational development.

Mandate, tasks and processes should be consistent and form an intertwined organisational system!

2.2 Core outputs and impact of UPMU

The definition of core deliverables (i.e. outputs) of UPMU facilitates orientation for the daily and weekly management. If the outputs are clearly defined, operative and management activities as well as processes can be geared towards these (output) objectives.

Note: The outputs are an instrument for realizing the **impact goals** for the Jordanian Water Sector, such as fair water prices, efficiency and quality of water.

2.2.1 Outputs for year 2020

During the first year of operation 2020, the following outputs have been defined in the December workshop:

1. Publication of an initial (first) report (expected end of April 2020)
2. Formulate guidelines for data-Management, business planning (Q3 according to UPMU plan, planned to be published end of July 2020)
1. Publication of (slim) quarterly reports (which are to be discussed with the water companies)
2. Prepare annual report, which includes the performance benchmarks (Q3 according to UPMU plan; planned to be published end of July 2020)
3. Formulate benchmarking concept
4. Discuss the differences between Business plans needed for UPMU and Business plans needed by the corporations (during consultants 4th mission)
5. Agree on the general set-up of a UPMU business planning guideline (during consultants 4th mission)

The concrete deadlines are to be defined in the operational plan.

2.2.2 Outputs in the year 2021

In the year 2021, building on the achievements in 2020, the following outputs can be produced (first draft):

1. Recommendation concerning incentives and penalties
2. Tariff studies
3. Slim quarterly reports
4. Annual report

3   Organisational Roadmap

3.1 Methodology

The organisational roadmap for UPMU includes a table with activities (overview; see chapter 3.1.3) as well as a checklist based on the 7s-approach[1], which describes core requirement areas for organisational development.

During the workshop, the participants undertook a brainstorming concerning UPMU's activities during the first 1.5 years. Based on suggestions by MOcons, they finalized the roadmap by redrafting the Metaplan cards

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[1] Developed by McKinsey

(additional tasks, different wording), putting them in the right order over time, and added additional comments (resources, issues…). In addition, the participants marked individually on the cards, where they see their own engagement (based on their competencies).

3.2 The RACI-model

A RACI matrix[2] helps to plan and to coordinate the way in which (a) team members of UPMU as well as (b) partnering organisations (e.g. the water companies) are involved into the work. RACI stands for:

- **"Responsible"** employees or managers are the ones who work on the task.
- **"Approve"** (or accountable; signing-off): for each task, there is only one person who is accountable and who approves the result. This person is often the manager of the person who is responsible for the execution of the task.
- **"Consulted"**: in some cases, the person responsible for the job needs additional advice from other experts. In this case, there is not only one-way information, but the person consulted provides also an answer (expert advice). In formal processes, there can be rules that other organisational units (or individuals within the hierarchy) are consulted before work is e.g. published or passed on.
- **"Informed"** – these are colleagues who need to be informed (e.g. because they have a right to be informed or because they need this information for the execution of their jobs).

As described in the beginning, the roles as well as posts are to be seen independently of concrete individuals. Also, there can be roles which are relevant to various posts (e.g. quality assurance of reports).

A **RACI matrix** helps to systematically plan the contributions of each team member as well as external partners. It is strongly recommended that UPMU clarifies the different roles based on a RACI chart. **Thus, the RACI chart is relevant for both UPMU's roadmap as well as its processes.**

The following graph shows how a RACI matrix is designed. The different team members are positioned in the vertical cells; the different activity steps of a process in the (horizontal) lines.

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[2] The following information is based on wikipedia.com, the graph is from the same source (downloaded 23/12/2019)

	Jeff	Michael	Reto	YOU	Alex	Anna	Bill	Cindy	Felix	Fred	Hans	John	Livio	Luc	Marco	Paul
Planning / Schedule	R	A	I	C					C							
Risk Management		I	I	Q						A						
Quality Management			R	C						R						
Procurement				R			Q			R						
1. Specifications Listing								A		R						
2. Site Requirements	C	A	R	Q							R					
3. Call for Tenders				Q	A	R	C				R					
4. Budget Approval					A	Q				R						
5. Contract Negotiations			A			Q	R	R								

* R – Responsible (works on), A – Accountable, C – Consulted, I – Informed, Q – Quality Reviewer
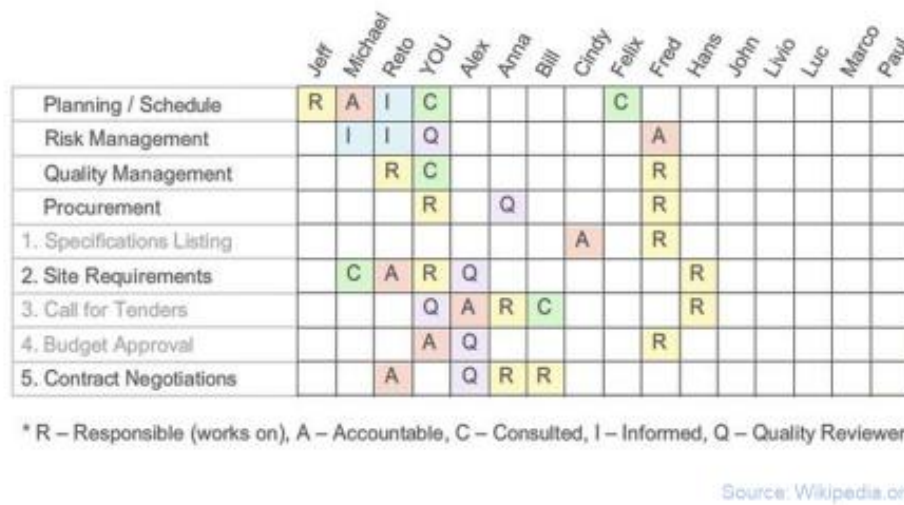
Source: Wikipedia.org

Figure 1: The RACI chart

3.3 Roadmap

The following table specifies the core activities and the responsibilities of UPMU. It can be finalised during UPMU's kick-off workshop, once the team is complete. During this workshop, a comprehensive **operation plan** should be worked out.[3]

Due to the size of the team, we expect that **UPMU's director is accountable for all working results**. This question needs also to be discussed during the kick-off workshop. Exemptions to this rule should be noted in the operational plan as well as in the process charts.

During the first year, due to the size of the team, many tasks need to be implemented with the support of all team members. Examples:

- All team members need to have a good understanding of the Water Companies. So the task to visit the Water Companies and hence to understand their operations is – in the first months – a must for all UPMU employees.
- The concept for inspections and investigations is based on financial information, the operations of the Water Companies, but also touches on the service management and customer relations as well as important questions of information and communication technologies. Thus, the whole UPMU team needs to be involved (all functional views) for drafting the concept. Therefore, team work is indispensable.

Some tasks might be facilitated with external support (e.g. kick-off workshop, team development). This should be noted in the following list and the operational plan.

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[3] During the December workshop, there was a first brainstorming which team member will take over which roles. This might be a valuable source for completing the following roadmap. UPMU's Director should work out a first draft of the suggested work allocation before the kick-off workshop.

No.	Activity	Comment	Actors (RACI)
Activities January – March 2020 (Q1)			
Q1/1	Identify physical office space	Includes IT platform and IT-based working spaces for all team members	Director (A), one team member can be assigned with identifying options (R); UPMU team (C, I)
Q1/2	Manage recruiting and onboarding of staff	This includes allocation of responsibilities and working spaces.	Director (R, A), UPMU team (C, I)
Q1/3	Visit to the Water Companies	Some employees are already on board. They should deal with topics which will be needed in the future. Particularly the ones mentioned under "Getting started/First months" are interesting for UPMU. Employees should get familiarised with these procedures and in interacting with companies both via visits and via other forms of communication they should get to know management and key personnel of water companies. Best practices in recommended activities should be formulated.	Director (A), UPMU team (A; C; I)
Q1/4	Redefine KPI concept and review performance targets	Prepare consolidated excel sheet after receiving comments from the water companies (currently ongoing); in addition an automatic transfer of delivered data into UPMU-Excel-Sheets and additional features are currently developed	Coordination by Director (A), Financial / economic analyses expert (R); UPMU team (C, I); GIZ Project including Consultant (C); Extension of contract due to additional programming needed
Q1/5	Prepare monitoring concept	This activity is linked to Q1/3 and Q1/4. It should start as soon as all employees are on board. Should be discussed during 4th mission of Consultants.	Director (A), Operations expert (R); GIZ Consultant – depending on Consultants' input extension of contract needed (recommendation: no additional help needed)

Q1/6	Prepare bench-marking concept	This activity is also linked to Q1/3 and Q1/4. It should start as soon as all employees are on board. Should be discussed during 4th mission of Consultants.	Director (A), Financial / economic analyses expert (R), Operations expert concerning operations (R), UPMU team (C); GIZ Consultant (C)
Q1/7	(Internal) kick-off workshop for UPMU	Here, the operational plan 2020 as well as joint rules and routines for internal cooperation should be developed. Elements discussed in this report should be taken up. There is the option of hiring a facilitator so that the team can focus on the content. A two-day workshop is recommended once all employees are on board.	Initiation by Director (A), one team member can be assigned with overall coordination (R), all team members need to be involved; external consultants (C) (Extension of contract needed if Felix Richter (MOcons) is asked to lead the workshop)
Q1/8	Clarify mandate	Currently an UPMU law/Bye-law is discussed. Since this document is essential for the upcoming work and responsibility of UPMU the consultants recommend their involvement. It should e.g. be ensured that UPMU is allowed to sanction, e.g. if no data is being delivered by the Water Companies.	Coordination by Director (A), , one team member can be assigned with overall coordination (R), all team members need to be involved (C), support from consultants (4th mission/extension) (C) (Depending on input extension of contract needed)
Q1/9	Clarify vision, mission and principles how to interact with corporations/other stakeholders	Based on UPMU's mandate formulated in UPMU law/Bye-law vision, mission and principles how to interact with corporations/other stakeholders should be derived. Some examples have been given in the workshop on regulation	Director (A) and initiation, one team member can be assigned with overall coordination (R), all team members need to be involved (C); during extension phase
Q1/10	Team development activities	Additional activities accompanying Q1/3 might be needed.	Director (A), one team member can be assigned with identifying options and overall coordination (R), whole UPMU team to participate

Q1/11	Formal launching event for UPMU	Ask Minister to announce and formally introduce UPMU to the general public as well as the Water Companies; employees should all be employed	Coordination by Director (A), one team member can be assigned with overall coordination (R); UPMU team (I)
Q1/12	Define Terms of Reference for financing study	During mission # 3 a discussion round on financing issues took place. Mark delivered a summary of this meeting on 17th December 2019. Proposal: Feedback to Mark on this summary and discussion on the need of such a study during 4th mission	Director (A), Financial / Economic Analyses Expert (R), UPMU team (C)
Q1/13	Concept for regulatory business planning	Discuss the differences between Business plans needed for UPMU and Business plans needed by the corporations and agreement on the general set-up of a UPMU business planning	Coordination by Director (A), Financial / economic analyses expert (R); UPMU team (C, I); GIZ Project including Consultant (part of current contract and as part of 4th mission (C)

Activities April –June 2020 (Q2)

Q2/1	Perform study tour to water utility regulator	Most probably trip to ERSAR (Portugal) (input by ERSAR 3 half days); should be done as soon as all employees are on board	Director (A), external consultant (part of current contract) and GIZ consultants (R); UPMU team (C)
Q2/2	Revise processes of data collection and reporting	Includes fine tuning of processes. First proposals are made for performance benchmarking ~ and inspection process in this report	Director (A), Data officer and IT expert (R); UPMU team (C)

Q2/3	Compile concept for inspections and investigations	Includes fine tuning of processes. First proposals are made for performance benchmarking ~ and inspection process in this report	Director (A), Customer Services and Relations expert overall integration (R), UPMU team needs overall overview; each provides input from his/her functional expertise (C)
Q2/4	Develop IT planning and concept	Internal data management; needs to be done after Q2/2 and Q2/3.	Director (A), Data officer and IT expert (A), UPMU team (C), Water Companies (C)
Q2/5	Plan format and content of quarterly and annual performance reports	Define report structure and format, working packages and responsibilities	Director (A), Financial / economic analyses expert overall integration (R); UPMU team needs overall overview; each provides input from his/her functional expertise (C); Consultant (C) – depending on extent of input extension of contract needed
Q2/6	Define communication concept	Stakeholders need to be analysed and structured – thereafter concept how to reach whom in which frequency; determining the process of communication	Director (A), Customer Services and Relations expert (R); UPMU team (C)
Q2/7	Identify required competencies and plan capacity development of UPMU team.	As soon as all employees are on board and as soon employees have got some general ideas about their future responsibilities	Director (R, A), UPMU team (C), external GIZ consultant (Part of current contract; if this task is not possible to perform in 4th mission, because it is too early, extension of contract for a 5th mission needed) (C)
Q2/8	Formulate customer service guidelines (including processes)	Some countries deliver a customer service guideline, some deliver minimal service standards, some customer contracts – according to consultants this is a complex task; however proposal: draft to be developed by UPMU; comments by external consultant	Director (A), Customer Services and Relations expert (R), Data officer concerning processes/digitisation (R), UPMU team (C). If comments by external consultant needed extension of contract

Q2/9	Conduct finance study	Depending on Q1/12 finance study is conducted by an internal consultant	Director (A), Financial / economic analyses expert (A); UPMU team (C)
Q2/10	Deliver first quarterly report to Ministry	The work on the first quarterly report should right from the beginning also take into account structure of first annual report (Q2/5). Certain figures in quarterly reports e.g. should also be used in annual performance report	Director (A), Customer Services and Relations expert overall integration (R), UPMU team needs overall overview; each provides input from his/her functional expertise (C); if support of external consultant needed extension of contract (strongly advised)

Activities July – September 2020 (Q3)

Q3/1	Prepare finance concept for Water Companies	On the basis of Q2/9 a document needs to be formulated how companies should be financed in mid- to long-term. This would need to be discussed with Ministry.	Director (A), Financial / economic analyses expert (R); UPMU team (C)
Q3/2	Develop incentive and penalty scheme concept	Depending on Q1/8 UPMU might become responsible to decide on tariff increases or to make suggestions on proposals on tariff increases. This would imply that incentives and penalties would need to be incorporated in the proposal of new tariffs. Since incentives and penalties will only function if there is no alternative way of financing Q3/1 is a precondition for Q3/2.	Director (A), Financial / economic analyses expert (R); Operations expert (C); UPMU team (I), GIZ consultant (C) → if this leads into a tariff setting guideline and external consultant should give support extension of contract would be needed
Q3/3	Formulate business planning guideline for Water Companies	For a future setting of tariffs or a proposal on tariffs business plans of water companies are a valuable input; Q1/13 basis for formulating a regulatory business planning guideline	Director (A), Financial / economic analyses expert (R); Operations expert (C); UPMU team (I), GIZ consultant (C) – for an additional support contract extension would be needed

Q3/4	Formulate cost accounting guideline	Assumption: No consultants' help needed	Director (A), Financial / economic analyses expert (R); UPMU team (C)
Q3/5	Publish first benchmarking/performance report	In previous missions we came to the conclusion that the first annual performance report needs to be very convincing. Proposal thus that external consultant assists in drafting this report Question is, if part of this annual report should also be a commenting of current situation of sector	Director (A), Operations expert, also overall integration (R); Financial / economic analyses expert (C) UPMU team (I), Water Companies (C); if input from external consultant is needed extension of contract important
Q3/6	Publish first annual report	It wasn't clear if the annual report and the annual performance report are actually two documents or whether commenting on the situation of the sector should be a part of the annual performance report (see also Q3.5)	Director (A), Customer Services and Relations expert overall integration (R), UPMU team input from the respective functional expertise (C)
Activities October – December 2020 (Q4)			
Q4/1	Displaying results of first annual performance report	Ideas: articles in newspapers, information on TV, performing a conference with best practice elements of companies	Director (A), Customer Services and Relations expert (R), UPMU team (C). Assumption: No assistance by external consultant needed
Q4/1	Analysis and maybe revision of data delivery and KPI targets for Water Companies	A change in KPI targets should only be done if absolutely needed. Otherwise comparisons between different points in time are harder. Revision of data is different.	Director (A), Operations expert, also overall integration (R); Financial / economic analyses expert (C) UPMU team (I), Water Companies (C)
Q4/2	Analysis and maybe revision of		Director (A), Customer Services and Relations expert overall integration (R), UPMU team (C)

	concept for Customer Management		

Activities starting in year 2021

2021/1	Propose tariff setting and subsidy granting guideline	This activity builds upon Q3/2 and Q3/3. In addition this task is highly linked to the mandate and the UPMU law/Bye-law (Q1.8).	Director (A), Financial / economic analyses expert (R); Operations expert (C); UPMU team (I); if input from external consultant is needed extension of contract important
2021/2	Automate data assessment	First automation is performed in Q1/4. It makes sense to take a look at the data delivery again after some time and to analyse if additional automation is worth doing.	Director (A), Data Officer and IT expert (R); UPMU team (C)

3.4 Checklist based on the 7s approach

The 7s model **outlines core organisational activity areas** in a generic way. Used by UPMU, it ensures that all necessary areas of organisational development will be taken into consideration. The model can also be the basis for aligning all activities and processes within UPMU (all elements depicted in the following graph):

Figure 2: The 7s Model

There are the following "hard" elements:

1. The first "s" refers to the **strategy** of the organisation. In the case of UPMU, its strategy (objectives as well as the means to reach these objectives) must be based on the mandate.
2. The **structure** refers to the posts and the organigram (see also definitions in chapter 1.2)
3. **Systems** refer to procedures for coordinating the work and to measure the results of the work.

There are "soft" elements (which have a human and social dimension):

4. A first list of **shared values** has been elaborated during the December workshop; it includes openness, transparency, and reliability etc.

   These values can be discussed during the teambuilding workshop (or time reserved for teambuilding). This should be done **not only in an abstract way** ("I think communication goes well") but with concrete examples ("I appreciate that you …" or "I wish that you … more in the future"…with concrete examples).

   The elaboration of shared values is relevant for the design of the hard elements. An example: the question which control systems are applied needs to be linked to the shared values concerning trust and cooperation.

5. The **skills** refer to the staff competencies and capabilities (e.g. good writing skills, communication skills).

6. **Staff** refers to the staff structure of UPMU and the way HR is organized.

7. **Style** refers to the culture, to daily routines of UPMU which could be described by "How do we work together". This includes leadership.

Note: **All elements are interdependent**: there is e.g. a general "strategy" for UPMU, but there is also a strategy for human resources ("staff"), for information technology ("systems") etc. or the other elements of the model.

The following table contains a first 7s-checklist for UPMU. The questions in the table should be discussed during the kick-off-workshop. The UPMU team will need to discuss the questions and agree on their modes of working (for this reason, a finale recommendations cannot be given within this report). Where applicable, the resulting tasks and responsibilities should be integrated in the operational plan.

No.	Activity	Comments
Shared Values		
1	What are the joint values of UPMU (regarding e.g. trust and control, openness, flexibility)?	It is necessary to discuss concrete examples of the values (see above).
2	Are the shared values aligned with the mandate, the strategy and the systems of UPMU?	Example: is e.g. "flexibility" as a value realistic in the light of the rules and the implemented systems?
3	Is there a joint idea of cooperation culture in the team?	This can be reflected e.g. in early summer 2020 (after some months of joint work experiences).
4	(…)	
Structure		
1	Are all posts and roles defined and understood (internally by all team members and externally by cooperation partners)?	
2	What are the reporting and communication mechanisms?	
3	Is the work coordinated and documented in a comprehensive way?	
4	Who decides what (the Director? the team? assigned staff?)? This should also include external actors such as the Ministry.	
5	(…)	

Strategy

1	What is the strategy of UPMU? Is there a joint vision for e.g. 2025 (if applicable)?	This should include output and outcome objectives. It should be clear, with which means (activities, decisions) the objectives are to be reached.
2	What are the cooperation strategies with the Ministry, the Water Companies, and with the general public?	Based on stakeholder map
3	What general trends in Jordan and in the Water Sector need to be taken into consideration (e.g. environmental factors)? Who keeps track of these changes?	
4	(…)	

Systems

1	What are the "back office" systems of UPMU?	This includes (a) resource planning, (b) financial management, (c) information and data management, (d) human resources management, etc.
2	What control mechanisms are agreed upon and institutionalised (e.g. quality management; "four eyes principle"; also with external partners)?	
3	Which systems are used for documenting, archiving and tracking communication (requests, feedback) from the Ministry, the Water Companies, and the general public?	This should include tracking of follow-up measures.
4	Which IT-platform and IT applications are implemented? Which formats and templates are used (word, excel, powerpoint)?	
5	(…)	

Skills

1	If you look at the mandate and the roadmap of UPMU, are there any skill gaps?	
2	How does UPMU institutionalise organisational learning?	E.g. (a) systematic onboarding of new staff; (b) frequent occasions for exchange and learning within the team; (c) formal trainings etc.
3	Are personnel talks institutionalised and do they include a dialogue on learning and skills?	

4	(...)	
Staff		
1	What positions are vacant or need to be filled?	
2	Is there a skills management in the organisation (keeping systematic track of needed skills, e.g. programming, communication etc.?)?	
3	(...)	
Style		
1	What is the leadership and cooperation style of UPMU (joint rules, joint routines, communication style)?	Can be reflected only after some months of cooperation. Reflection should take place at least once a year.
2	Are all team members involved in an effective way (where group participation is required)?	
3	What is the style concerning documentation (text length, degree of formal style, degree of documentation)?	
4	(...)	

3.5 Getting started

3.5.1 First months

During the first months of UPMU not all staff will be available, as recruitment processes may need some time. Where this is feasible, already hired staff should be involved in the ongoing and /or preparatory work. This includes the involvement in e.g. meetings and skype conferences among the Ministry, GIZ and MOcons.

Recommendations:
Existing staff should get involved in the following activities:
a) Getting involved in the discussions and analyses concerning benchmarking
b) Getting to know how and how different corporations for e.g. calculate NRW or assess their technical losses. Discuss and understand the potentially different approaches, try to identify best practices and recommend to other utilities.
c) Analysing how to track electricity usage
d) Identifying, analysing and recommending electricity efficiency measures, consult also with GIZ programme on climate neutral utilities
e) Other data gathering activities (to be analysed during visits of the companies; this can be identified during a skype conference with MOcons).

Recommendations:

f)	Familiarization with Jordanian sector strategies, derived indicators and discussed which of them are relevant for UPMU (covered in Performance Monitoring Tool, but UPMU could still recommend amendments). The table shared by Nayef could be a good basis for discussion. This could be an internal work session.
g)	Read performance reports issued by regulators e.g. in Kenya (https://wasreb.go.ke/impact-report-issue-no-11/) and Palestinian Territories (https://www.wsrc.ps/cached_uploads/download/2018/12/19/summary-2017press-1545206797.pdf). We suggest that each team member should read one performance report from a different country and present on powerpoint to the team their perception of the report and what UPMU could learn from it.
h)	Understand, how utilities are organizing their reporting to UPMU internally. Pay particular attention to the differences amongst utilities on how they collect data and submit their reports. Document those differences.
i)	Find hidden treasures (best practices): Ask utilities about their most successful measures/changes they implemented without external support during the last two years to improve their efficiency or customer services. Is there anything, other utilities could learn from?
j)	Organize an internal session to discuss and agree on the 3 to 5 biggest challenges the Jordanian water utilities are facing and the 3 to 5 biggest risks for the Jordanian water sector over the next 10 years. If you think 10 years ahead, what specifically would you wish to be different compared to today? Begin to think, what UPMU can contribute to mitigate those challenges and risks and to work towards that vision.

3.5.2 Kick-off workshop of UPMU

As mentioned before, we recommend to organise a kick-off workshop. This report can serve as a basis for structuring the workshop. Specific suggestions are:

1. The kick-off workshop should take **about two days**.
2. The **director as well as all employees** should participate and provide input from their respective working fields.
3. The most important output should be the **operational plan for 2020** (with further specification of core deliverables, clarifying who does what, when, etc.), based on the roadmap (see chapter 3.3) applying the RACI-methodology (see chapter 3.2).
4. Activities for **organisational development** should be defined on the basis of the 7-s checklist (see chapter 3.4). This includes e.g. procurements of office materials, planning a team building event, etc.
5. There should be a **comprehensive list of the core deliverables** (for recommendations, see chapter 2.2.1 and 2.2.2), based on the first brainstorming during the December workshop.
6. As not all details can be planned during the kick-off workshop, there should be defined **appointments for planning workshops** for each core deliverable. During these planning workshops, the team will ensure a **comprehensive and in-depth planning** with input from all employees and define the
   - Structures
   - Content
   - work packages as well as
   - deadlines for the elaboration and the
   - dissemination of the outputs.

Recommendation:
Conduct a kick-off workshop based on the criteria 1-6 mentioned above.

Comments concerning the organisation of cross-cutting work:

1. The UPMU is a stand-alone organisation, so there are cross-cutting activities which need to be organized in addition to the core tasks. **Cross-cutting tasks** include financial management of the UPMU, personnel management, and UPMU branding and communication policies etc. For any staff which has been working in a larger organisation before (e.g. a Ministry), this **might require adapted ways of thinking**.
2. It needs to be taken into consideration that UPMU consists of a **team of 4 employees and one director. This means that all management instruments should be kept on a minimal level.**
3. However, a **decisive planning** and clear **assignment of responsibilities** will be necessary. A lot of coordination work can be done within team meetings (with short documentation). In contrast to large organisations, comprehensive and detailed process description will not be necessary.

Recommendation:
Ensure that there is neither over- nor under-steering.

3.5.3 Effective meeting organisation

The success of UPMU depends largely on successful communication. Hence, frequent meetings will facilitate the internal dialogue. If meetings are properly organised, they are an efficient and effective tool for the synchronisation of work; double work and delays will hence be reduced to a minimum. The following checklist can be an important building block for becoming a high performance team.

Although the list first may seem to be "trivial" to some, it is even more astonishing how many teams do not follow basic meeting routines for a high team performance. The list should nevertheless be discussed and, if necessary, be complemented by the team. Step by step it should become a habit to organise meetings accordingly.

MOcons
Prof. Dr. Mark Oelmann consulting

Checklist for effective team meetings			
1.	Before the meeting		
	• Meeting agenda • Background materials	Make sure to mail the agenda at least one day before the meeting takes place to all participants. Make sure that all participants can access the relevant background material for preparing the meeting. This includes core questions which are to be discussed.	☐ ☐
2.	Beginning of the meeting		
	• Meeting objective • Update agenda • Clarify roles	Agree upon goals of the meeting. Ask yourselves: "What is the meeting supposed to achieve?" Review the agenda and modify it together with participants if necessary. Decide whether breaks are necessary (e.g. during longer meetings) Check (a) who documents the results of the meeting, (b) who facilitates the dialogue and (c) who keeps track of the time.	☐ ☐ ☐
3.	During the meeting		
	• Ensure sufficient participation of all • Active participation	Based on your agreed cooperation style, make sure that all team members participate on the basis of their roles and competencies. Ensure jointly that all colleagues are (mentally and physically) present during the meeting (e.g. no mobile phones, interruptions). If necessary, take a break.	☐ ☐
4.	After the meeting		
	• Documentation • Follow up	Make sure that the protocol is sent to all participants within the agreed time span. Consider if further meetings have to take place. Decide who will follow up on the decisions.	☐ ☐

4 Organisational Processes

4.1 Process definition

In chapter 1 of the report, the term "process" for UPMU was already shortly presented. The following chapter will depict two core processes of UPMU, which have been elaborated during the December workshop.

UPMU processes will have the following characteristics:

1. Clearly **defined and repeating action steps over time**

2. Clear **starting point** (trigger) and **results of each process (output)**

3. **Additional process information** can include:

   a. who does what for achieving the output,

   b. when (timeline of process),

   c. how is the process conducted

   d. what are the necessary resources.

It is important to see that many UPMU activities will not be based on formal and standardized processes.

4.1.1 GIZ understanding of organisational processes

It is possible to differentiate different types of processes (see following graph by GIZ):

1. **Steering processes** to ensure a comprehensive management: e.g. annual planning, coordination of tasks;

2. **Output processes** necessary for producing the core results of UPMU (e.g. the annual report)

3. **Cooperation processes** are inter-organisational processes, e.g. with Ministry or water companies. Keeping track of cooperation processes will help to keep up productivity even in turbulent environments.

4. **Processes of organisational learning:** This is stressed by GIZ because "learning" creates innovation. These are e.g. team building measures or institutionalised reflections of the team.

5. **Auxiliary processes** are e.g. service processes: producing printed material, event management, etc. Some of these processes can be outsourced to service providers. This will help to keep a slim organisation.

Finally, there are **process hierarchies** (see following graph). There are different levels of process descriptions:

- from very general descriptions ("Monitoring"),

- to more detailed process descriptions ("Monitoring consists of data gathering, data consolidation, and feedback to the water companies"),

- to very detailed process descriptions ("data gathering is based on asking the companies to send data, receiving data, data consolidation etc.).

Process hierarchies can be applied for structuring the work of UPMU.
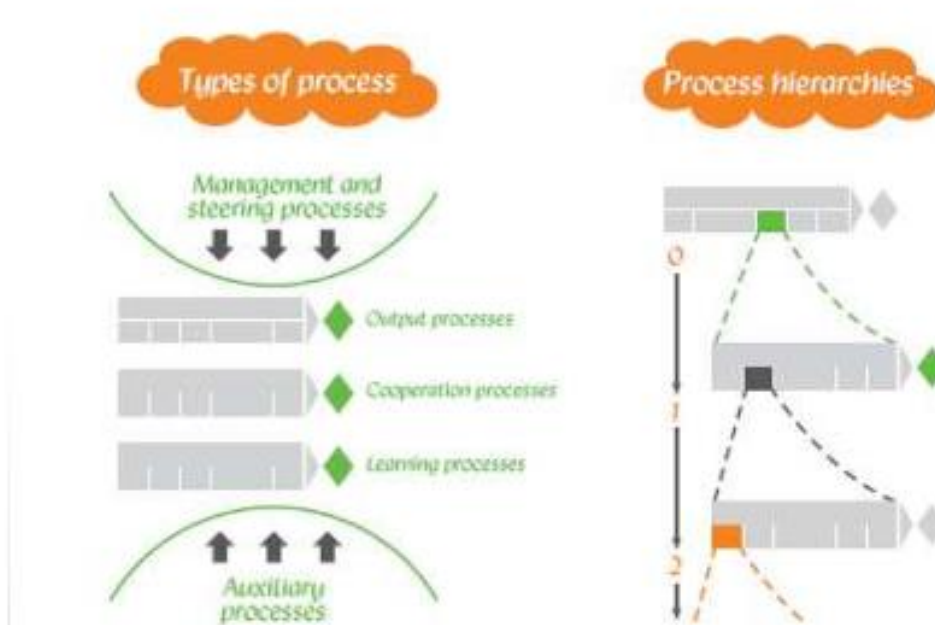

Figure 3: GIZ definition of processes

4.2 Performance Benchmarking Process

No.	Activity	Comment	Responsible
1	Plan benchmarking process for annual performance report (first version of annual report will be more slim compared to the following years.)	Work plan to be drafted during planning workshop by the end of October of previous year.	Director (A), Customer Service and Relations Expert (R), UPMU team (C)
2	Inform directors of Water		Director (R; A), UPMU team (I)

No.	Activity	Comment	Responsible
	Companies about plan		
3	Create unified forms for data collection in at the beginning dialogue with Water Companies	Concerns requirements and (data) interfaces	Director (A), Data officer and IT expert (R), UPMU team (C)
5	When first starting define structure and content of quarterly and annual reports		Director (A), Customer Services and Relations Expert (R), UPMU team (C)
6	Gather financial, technical and customer data of Water Companies	Use Oracle interface for data access in future, until then continue with previous ways of data collection, starting in May of each year.	Director (A), Customer Services and Relations Expert overall coordination (R), UPMU team (C), Water Companies (C)
7	Verify the data gathered	Check, comment and discuss data; if necessary conduct visits to the Water Companies. Work towards a more automated verification process.	Director (A), Customer Services and Relations Expert overall coordination (R), UPMU team based on functions (R, C), Water Companies (C, I)
8	Integrate the data gathered	Provide quarterly and annual reports including the KPIs for Water Companies and discuss further action.	Director (A), Customer Services and Relations Expert overall integration (R), UPMU team based on functions (C)
9	Draft annual report		Director (A), Financial / economic analyses expert (R); UPMU team (C)

No.	Activity	Comment	Responsible
10	Assure quality of report		Director (A), Customer Services and Relations Expert overall integration (R)
11	Disseminate report	Internet, press conference; includes financial, customer data as well as core challenges. Address different target groups: general public, donors, Water Companies, etc.	Director (A), Customer Services and Relations Expert overall integration (R), UPMU team (I)

4.3 Inspection Process

No.	Activity	Comment	Actors
1	Conducting planning workshop for inspections with the whole team		Director (A), Customer Services and Relations Expert overall coordination (R), UPMU team based on functions (C)
2	Define inspection types and scope based on mandate		Director (A), Customer Services and Relations Expert overall coordination (R), UPMU team based on functions (C)
3	Prepare template, sub-templates and checklist(s) for each inspection type		Director (A), Data officer and IT expert (R); UPMU team (I)
4	Ensure professional IT-based data management	It should not be possible to change inspection data after final saving of results.	Director (A), Data officer and IT expert (R); UPMU team (C, I)

No.	Activity	Comment	Actors
5	Announce inspections	Clarify whether announcement is wanted or not	Director (A), Customer Services and Relations Expert overall coordination (R), UPMU team (I)
6	Conduct inspection on site		Director (A), Customer Services and Relations Expert overall planning and accompaniment (R), UPMU team visiting Water Companies according to function (R)
7	Document inspection findings		Director (A), Customer Services and Relations Expert overall coordination and quality checks (R), UPMU team after the visits documentation (R); rest of the UPMU team (I)
8	Provide feedback to Water Companies		Director (A), Customer Services and Relations Expert overall coordination and quality checks (R), UPMU team (I)

4.4. Annual management process

The following process depicts the overall management process of UPMU based on the management cycle:

1. It describes the relevant activities in the area of **operational planning**, which has been outlined already in this report.
2. A full management cycle includes the **coordination** of the operations on the basis of a cyclical **monitoring**; and
3. **evaluation** is necessary.

The use of the management cycle is a standard approach in many public as well as private organisations. A core element is that by monitoring and evaluation, it is ensured that all tasks are reached in time and in quality. Furthermore, it is ensured that the planning process of the following year builds on the lessons learned of the previous year.

It is important that **all staff is involved in the process** to ensure that all competencies are utilised.

Finally, the management process is a process according to the definition above, because it is repeated every year in a standardised way.

The following table can thus serve UPMU as a blueprint for implementing a comprehensive management process including planning, coordination and evaluation:

No.	Core activity	Process steps
1	**Planning**	
1a	Planning for the year	· Formulate the annual goals of UPMU on basis of mandate, vision, mission principles and performance targets. At this point, the results of the evaluation of the previous year should be taken into consideration. ("What do we want to achieve, differentiated into output, outcome and impact goals?") · Examine target groups of UPMU action, e.g. Ministry, Water Companies, general public, NGO etc. ("Who do we want to address with our activities in the following year?") · Identify possible conflict situations, using the actors' map. ("What might interfere with our goals?")
1b	Assessment of external situation and internal resources	· Conduct a situation analysis, e.g. what are rules, regulations, stakeholders we have to consider this year and where do we look at specifically ("In which context do we operate this year?") · Carry out personnel- and budget deployment, including assessment of existing capacities/competencies. ("What resources do we need to achieve our goals?") · Address the identified (external) risks and chances ("How do we deal with the potential conflicts and how can we leverage existing chances?") The results of these assessments might influence (again) step 1a, so a re-formulation of objectives might become necessary.
1c	Operationalisation	· Assigning tasks to UPMU team members ("Who will be in charge for what?")

		· Clarify the individual roles within the team ("What do I expect and what is expected from me?")
1d	Setting-up Monitoring and Evaluation scheme	Preparing forms (first year) and defining the following instruments for internal monitoring and evaluation: · Deviation analysis ("Where do we differ from our goals?") · Define in how far data from stakeholders are integrated (e.g. customer satisfaction; responses from the Ministry) ("How is the quality of our work from the perspective of different stakeholders?") · Identification of the cause of deviation ("Why do we differ?") · Define how to track in which way corrective action is taken ("What do we need to do to get back on track?") · On the basis of which data will we carry out the annual evaluation of our work
2	**Ongoing coordination and monitoring**	
2a	Monitoring	· Conduct a deviation analysis (e.g. each 3rd month at the end of each quarter year) ("Where do we differ from our goals?") · Identify the cause of deviation ("Why do we differ?") · Derive and carry out corrective action · ("What do we need to do to get back on track?")
2b	Ongoing coordination	· Assessment of monitoring results with the team (after presentation of the Director) · Decision on measures and adapting the operational plan. If necessary, the work allocation or the resources need to be organized differently. · Results are noted in meeting minutes
3	**(Annual) evaluation**	

3a	Plan evaluation	· Define the purpose of the evaluation (which depth of evaluation is necessary; this may vary from year to year). · Decide on external support for evaluation · Define the scope of the evaluation (e.g. quality of work, impact in the sector, efficiency of work) · Organise stakeholder participation for participative evaluation (if desired) · Formulate communication strategy
3b	Prepare evaluation	· Identify existing qualitative and quantitative data (e.g. existing operational plan, baseline data, desk studies) · Deciding on methodology (key questions, data needed, stakeholder involvement, resources) · Work out data collection tools (questionnaires, case study, SWOT-analysis, focus group) including key questions and indicators (based on the existing working plans) · Set up evaluation team
3c	Conduct evaluation	· Collect and assess data on the basis of the collection tools · Prepare evaluation report and conduct quality check
4	Discussion of evaluation results and dissemination	· Discuss results of the evaluation in the team · Decide on core communication measures to the Ministry, to the general public, to the Water Companies, NGO etc. · Discuss consequences for the following year (next operational plan)

5 Structure & Roles

5.1 The current organisational structure

As demonstrated in the following graph, UPMU consists of five posts: the director and four employees. During the December workshop it became clear that **all staff needs to be involved** in the elaboration of the core outputs (first draft in chapter 2.2.).
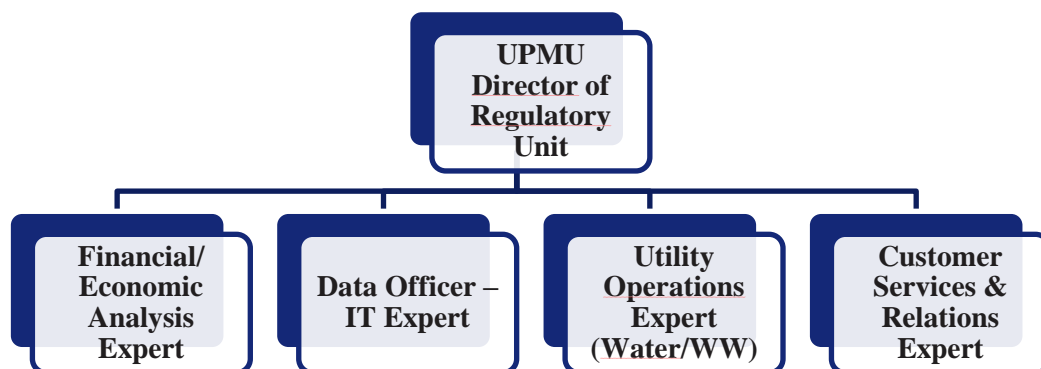

Figure 4: UPMU organigram (as of 1/1/20)

The **director** needs to participate actively in the production of the outputs, as in a small team there is only limited managerial work (compared to larger teams/organisations). The director's work force represents 20% of the whole team, so this is a necessity.

It is furthermore recommended that the **RACI chart** is applied for the allocation of work packages. Although deliverables are produced on the basis of team work, it needs to be specified which colleagues work out which (sub-)results.

The **kick-off workshop** of UPMU is the context in which to **elaborate the job descriptions** for all colleagues. This includes the definition of the **RACI roles**, which also should be documented in the operational plan ("who does what…").

As mentioned, the additional **planning workshops** for the core processes will be a time to specify also details of work allocation.

Summary of recommendations:
1. All colleagues need to participate in the elaboration of the core deliverables. Thus **frequent meetings** are necessary to ensure that all perspectives are taken into consideration (i.e. financial, information technology, utility operations, and customer service)! All colleagues need to know about the overall team activities.

Summary of recommendations:
2. The **director** needs to take an active role in the elaboration of the results as the management role is only 20-30% of his work.
3. Apply the **RACI chart** for all major tasks. There can be various colleagues who are responsible for the work, but only one person who is accountable.
4. During the **kick-off workshop** of UPMU the job descriptions can be discussed. However, the final work allocation will take place during the **planning workshops** for all core processes.

5.2 The future organisational structure

At this point, it cannot be predicted how UPMU and its organisational structure will develop in the future. The likelihood of organisational changes depends also on societal trends (acceptance of regulation in the greater public), political factors (acceptance by Parliament, business interests, opposition of the water companies), and tactical factors (negotiation processes and power constellations). This is the same in other countries were regulatory authorities have been introduced.

We strongly recommend that the development of the organisation follows the strengths and weaknesses as well as the threats and challenges in the Jordanian Water Sector. This means if e.g. "data collection" works very well in 2020, but introduction of new tariffs creates conflicts, new posts should be introduced in this area of demand. In other words, to follow a mechanistic planning approach based mainly on the experience of other authorities, will not lead to success.

However, during the first phase of UPMU (first year of operations) it is useful to discuss growth scenarios for UPMU. This can provide early and important impulses for developing competencies in time, for the elaboration of strategy documents as well as providing a general orientation for the leadership as well as the staff of UPMU.

The following graph depicts a possible organisational structure which can be achieved during the next 2-3 years of operation. We suggest an incremental growth path with three stages of development:

- Phase I has started in January 2020;
- Phase II starts in July 2021;
- Phase III will start in January 2023.

This means that each phase lasts about 18 months, leaving enough time for developing new positions, competencies and processes step by step. In some cases, there is an option whether to introduce a new position in phase 2 or in phase 3 (posts are assigned with "2" and "3" in this case).

Future Water Sector Regulatory Unit Organisational Structure
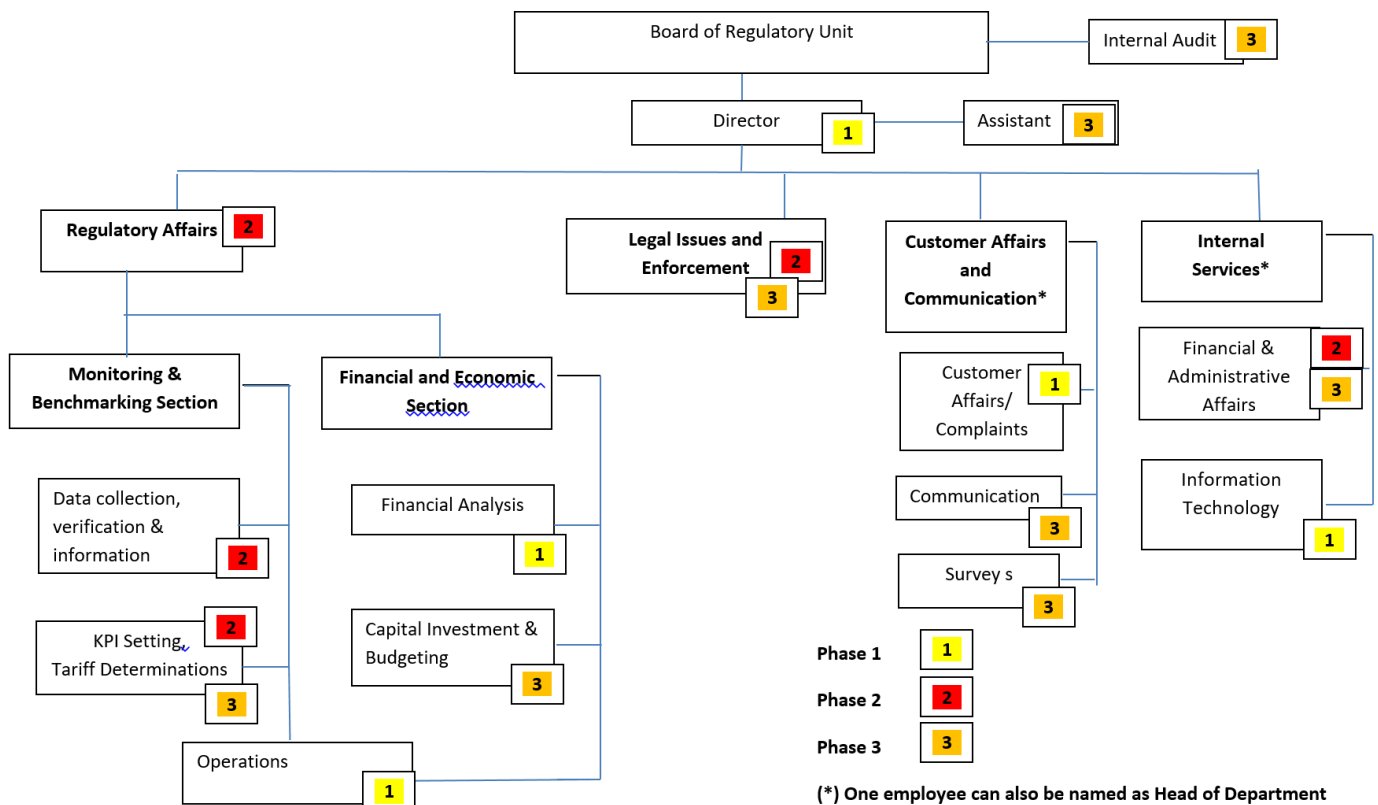
The graph shows that some of the posts foreseen for the future will also be introduced in the first phase 2020. These posts can be differentiated into two or more posts in the following years. This means that e.g. jobs of the current post "Customer Service & Relations" can be shifted to an extra post merely focusing on "Communication". As mentioned before, if experience shows – due to existing competencies or systemic causes – that the current setting works better, it might be a better alternative to assign the post of a clerk (or alike) to the current post for Customer Service.

Thus, in a second phase, the posts with the following focus areas can be amended:

1. Regulatory affairs (phase 2)
2. Data collection, verification and information (phase 2)
3. KPI setting and tariff determination (phase 2 or phase 3, depending on needs)
4. Legal issues and enforcement (phase 2 or phase 3, depending on needs)
5. Financial and administrative affairs (internal tasks, e.g. also dialogue with Ministry)
6. Communication (phase 2)
7. Surveys (phase 2)

8. Assistant to the director (phase 3)

Additionally, the Ministry should establish a post for the Internal Audit of the UPMU in phase 3. However, the strategic independence of UPMU shall not be interfered with based on this position.

Summary of recommendations:
1. The future vision of an organisational structure should be kept in mind. We recommend, however, an **incremental growth** of the organisational structure. Therefore, organisational growth scenarios offer a chance to **observe from an early stage on** which activity areas need more momentum, and thus enhanced capacities.
2. Decisions on the future organisational structure should follow concrete **needs of the Water Sector** in Jordan based on the mandate and the working principles of UPMU. It is not recommendable to follow a standardised "best practice" approach.
3. Organisational growth is realised by (a) **adding** new posts, (b) **merging** existing posts or (c) **differentiating** existing posts into two or more posts. In all three cases, the **jobs are assigned to the posts**. Each post should fulfil relevant functions for implementing the mandate of UPMU.

6 Capacity building

6.1 Cooperation and organisational values

Methodology

During the workshop, the participants were asked to note core criteria for „good" cooperation within the team ("What is important for you?"). The answers to the question were presented and discussed.

Result

The participants came up with the following criteria for good cooperation (direct quotes, no changes):

- Team work
- Trust (mentioned 2x)
- Daily meeting with staff
- Direct communication
- Commitment
- Knowledge exchange
- Visionary long-term planning
- Communicate
- Good understanding
- "Do your job on time"

- Respect
- "Share the right information at the right time"
- Share food
- Know each persons' capabilities and act accordingly
- Good faith for the work to achieve good results
- Get the results needed by giving each person the task he/she is good at

These criteria can be the basis for further discussion during team building exercises. It will be necessary to specify what e.g. "commitment" and "respect" mean not only in an abstract way, but also in concrete situations:

- "Commitment" can e.g. mean that when a colleague has finished the work assigned to him or her, support is offered to colleagues who have a work overload
- "Respect" can e.g. mean that there are no discriminatory comments or jokes (e.g. based on gender) or that different working styles are appreciated.

Thus, shared values can be a basis for practical orientation and learning opportunities as a team.

Summary of recommendations:
1. Discuss UPMU shared values on the basis of concrete situations to facilitate growth of the UPMU working team.

6.2 Recommendations for capacity building

6.2.1 Structure and content of team building workshops

In order to improve the teamwork of UPMU, we recommend holding a 2-day workshop that focuses on both the potentials and challenges of working as a high-performance team. With appropriate team-building measures, the team has the potential to ensure a high level of productivity as well as quality of the working results.

We recommend team building on an organisational, interpersonal and cultural level (for enhancing the team culture). This will enable a good balance between stability on the one side and flexibility on the other side, based on an adequate internal team cohesion.

On this basis we suggest a team-building workshop with the following content (exemplary):

WORKSHOP AGENDA - Day 1		
Time	**Thematic focus**	**Contents**
Morning (4 h)	**Fundamentals**	- Joint working rules: identifying, assessing and adjusting present communication rules (meta plan/ flip chart/ interviews) - Definition and differentiation of the concepts "team/group" - Critical reflection of development stages of the team - Image of 'self' and 'other' (group exercise, presentation, evaluation, reflection) - Team communication (e.g. "active communication", feedback culture, formulating objectives)
Afternoon (2,5 h)	**Leadership**	- Role of team leader - Delegating tasks in the right way - Team leading as a unique communication interface

WORKSHOP AGENDA - Day 2		
Time	**Thematic focus**	**Contents**
Morning (4 h)	**Localisation**	- Phases of a typical team process - Analysing team behaviour (e.g. "team roles" according to Belbin) - Role of the individual in the team (self-awareness and awareness of the other) - Mapping the systemic team environment
Afternoon (2,5 h)	**Strengthening**	- Team identity (Group awareness, organisational identity, mission) - Identifying and managing conflict in the team - Case examples of beneficial team environment (examples of "good practice")

All members of UPMU are to participate in the workshop. The workshop ideally will take place within the first 6 months of the formation of UPMU, under the premise of some months of joint working experience.

6.2.2 Performance Appraisal Discussion

To enhance organisational capacities of UPMU steadily, we recommend to formally organise annual performance discussions between the director and the team members. Director and staff are required to meet bilaterally the end of the assessment term (in December) to discuss the performance over the whole appraisal period.

The director should provide the employee with an honest account of his or her performance with regards to the extent to which the staff member has achieved his or her performance goals and outcomes. By using checklists, coverage of all relevant topics can be ensured.

The appraisal discussion must:

1. Reflect the input of both superior and employee, i.e.:
    o The employee's job description,
    o Agree upon goals and standards defined at the beginning of the appraisal period,
    o Outcomes and standards of the previous performance appraisal (if available, not during first year),
    o Structured performance appraisal form,
    o Self-appraisal of the employee.
2. Take into account any unforeseen developments that may have affected performance during the assessment period.
3. Call attention to the employee's strengths and accomplishments during the assessment period.
4. Provide a basis for helping the employee improve where needed ("productive feedback")

On this basis, an overall appraisal of the employee is elaborated and next steps for the following assessment period (normally a full calendar year) are agreed upon.

The appropriate forms must be filled out and signed by both parties to underline that both agree to the assessment's results. Disagreements between the line manager and the employee over any element of the appraisal should be referred to the responsible managers in the ministry in order to resolve the issue.

The appraised employee and the director should also agree on a development plan for the following period with the intention of aligning the employee's personal aspirations with organisational demands. It should include the following items:

1. Competency requirements,
2. Training,
3. Objectives and standards of the previous performance appraisal (if available),
4. Desired outcomes of the measures,
5. Cost estimates,
6. Time frames.