

June 2017

Trust in water

Information for applicants

**Compliance and Enforcement,
Senior Associate
Ref: OFW BC-118**

www.ofwat.gov.uk

ofwat



Introduction from Cathryn Ross, Chief Executive



Water is not a dry issue.

The water sector in England and Wales has come a long way in the past 25 years. At privatisation, polluted beaches and rivers and neglected infrastructure meant we were seen as the ‘dirty man of Europe’.

The regulation of this sector was entrusted to the Water Services Regulation Authority (Ofwat) which has maintained a steady hand in driving and incentivising the sector to deliver and to improve. Over the period since privatisation, the water companies have invested more than £116 billion in maintaining and improving services for consumers and the environment. Today, for example, the amount of water lost through leaks is down by about a third since the mid-1990s. In addition, salmon have returned to the River Mersey, once considered one of the most polluted in Europe. All of this has been delivered efficiently too – a litre of tap water, supplied and taken away, costs less than half a penny.

But the world is changing. The water sector faces new problems and very different challenges. In the future, climate change may mean we get more droughts and more floods, making it harder to maintain resilient supplies. Our population is growing, putting more pressure on the water we use. Lifestyle changes have increased our appetite for water in our homes, our work places and our places of leisure. The changing social and economic landscape also means we need to reconsider how business operates and how customers are able to afford their water and sewerage bills.

Ofwat needs to be at forefront of determining and implementing a regulatory system that will protect customers’ interests, drive efficiencies and innovation, enable efficient companies to finance their functions and to ensure that the ‘promises of privatisation’ are delivered. We all need sustainable solutions to these problems.

To do this, Ofwat needs to be at the very top of its game. Our new Market Outcomes and Enforcement (MOE) programme will monitor and regulate all of the markets in the water sector, in particular the new business retail market opening in April 2017. The business retail market’s actual and perceived success will be viewed as a key test of the role that markets can play in the water sector, and Ofwat’s effectiveness as a regulator. How the business retail market performs is also likely to influence the work we are doing through our Water2020 programme on bio-resources and water

resources, and the Government's decision on whether to extend competition to the residential sector in England.

By working within the MOE programme you will be directly supporting our regulatory model – our move to pro-market regulation and ex-post interventions – and our vision for the sector.

Thank you for your interest in joining Ofwat at what is a very exciting time for us. We look forward to receiving your application.

Cathryn Ross
Ofwat Chief Executive

About Ofwat

Ofwat (the Water Services Regulation Authority) is the economic regulator of the water and wastewater sector in England and Wales. Our role is to help it build trust and confidence with customers, the environment and wider society. Our strategic priorities include:

- delivering the reforms provided for in the Water Act 2014 and helping to ensure that they deliver real benefits for water customers and society. This includes putting in place the arrangements for the opening of the business retail market to competition in April this year. It also includes supporting the development of water trading and abstraction reform. Doing these things will require further changes to the way we set prices in our 2019 price review;
- maintaining the confidence of investors in the water sector and our regulation of it, though this period of change; and
- developing the means by which we monitor the sector's performance against our vision of trust and confidence, and receive assurance from the sector.

Our focus as a regulator is on regulating in a pro-market way which means establishing an effective framework that improves information (e.g. quality and visibility); improves buyers' and sellers' ability to transact (e.g. reducing 'transaction costs'); and/or by improving incentives on buyers and sellers to transact efficiently. In addition, we will look to make targeted interventions only, rather than taking a prescriptive, one-size-fits-all approach.

Market Outcomes and Enforcement (MOE) programme

The successful applicant for this role will primarily work within our Market Outcomes and Enforcement (MOE) Programme. They could however also have opportunities to work on other Programmes within Ofwat as their work programme developers.

Our vision for the water sector in England and Wales is one where customers and wider society have trust and confidence in vital public water and wastewater services. Our statutory duties include protecting the interests of consumers, wherever appropriate by promoting effective competition. For the MOE Programme our focus is on that duty and our ambition to regulate in a pro-market way.

The MOE Programme is one of the main ways in which Ofwat can intervene to protect customers – using the full breadth of our regulatory toolkit, from informal engagement and communications tools through to formal enforcement action. The Programme uses Ofwat’s statutory powers (in particular under the Water Industry Act 1991) to ensure that water and sewerage companies meet their statutory obligations, and to investigate and resolve disputes or failures where they arise. The Programme also leads Ofwat’s use of its concurrent competition powers under the Competition Act 1998 or the Enterprise Act 2002, to ensure that customers can fully realise the benefits of that competition can bring.

The opening of the business retail market in April 2017 takes Ofwat into new territory and Ofwat has a range of new responsibilities in monitoring the market and its market codes. The growing role of markets in the sector will require a different type of regulation from what we are used to. The nature and pace of what we are regulating will be different and more unpredictable; likewise the regulatory and reputational risks we face will not be the same. Responding to challenging expectations of us is also likely to play a greater role in a market environment, not least due to experiences in other sectors such as energy. Our flexibility to choose the right tool from our broad regulatory toolkit will be critical to the speed and efficacy with which we can respond to some issues.

The MOE Programme operates within a diverse stakeholder environment including regulated companies, new entrants to the sector, Government, other regulators, investors, environmental groups and of course customers and their representative bodies and groups. Effective stakeholder engagement is therefore central to the success of the Programme.

The day-to-day work of the MOE Programme includes:

- Providing a high quality service for customers coming to Ofwat with **enquiries and complaints** about the water sector and/or a specific water company.
- Enabling effective markets in the water sector by **assessing and granting licence applications** that allow new entrants to compete with existing market participants.
- Monitoring the sector to **ensure water companies are meeting their obligations** under their licences, the various market codes and competition law, and that the **sectors’ markets are working effectively** for customers.
- Taking action, **using the full breadth of our regulatory toolkit**, to support and correct companies and/or markets that are delivering as they should for customers.

- Robustly and efficiently **investigating disputes or potential failures** by companies to deliver clear and effective decisions that are in the best interests of customers.
- Using **targeted communications and engagement** to ensure water companies and customers understand our expectations of water companies, and to build and maintain trust and confidence in the water sector, its markets and Ofwat.
- Fulfilling **Ofwat's responsibilities under the sector's market codes**.
- Coordinating across Ofwat's Programmes to **ensure policy and case decisions are strategically aligned** with wider Ofwat policies, duties and developments in both the internal and external environment.
- Using intelligence, data and learning from the business retail market to inform further work Ofwat may carry out (or be asked to carry out by Government) on **residential retail competition**.

About the Role

Casework Pool

This post will sit within our Casework Pool of staff. People in this pool have experience of working in an enforcement environment and of working directly with customers. Key strengths of people in our Casework Pool include their ability to provide a high quality service to our customers; to assess a wide range of information to deliver evidence-based decisions; and to successfully prioritise and manage a varied workload of cases and other work.

The Casework Pool plays a key role in ensuring that water companies understand are meeting their obligations and delivering benefits for customers and society. Where companies fail to do so, the Casework Pool plays a lead role in intervening to protect customers and to ensure water companies redress the problem.

The Casework Pool is often the first point of contact for customers contacting Ofwat with enquiries or complaints about the sector or a water company. The Pool provides a professional, efficient service to our customers, ensuring they can have trust and confidence in the water sector and Ofwat.

Where Ofwat has powers to consider particular complaints, people in our Casework Pool are responsible for leading the delivery of robust investigations. This entails gathering and analysing a range of information and working with colleagues in other resource pools to make fair and clear decisions for the parties concerned. These

investigations range from small scale disputes affecting individual customers, through to large scale investigations and enforcement action, where a water company may have failed the generality of customers and society by not delivering its obligations under its licence or under competition law.

The Casework Pool plays a lead role in assessing applications from companies wishing to be granted a licence to serve customers. This work includes working closely with our stakeholders to ensure that applications and our assessments are robust. People in the Casework Pool also play a key part in managing Ofwat's responsibilities in relation to various code documents that specify how water companies deliver their services. These include the market codes for the business retail market.

All people within the Casework Pool are expected to be able to communicate and develop good relationships with a wide range of interested parties. People in the Casework Pool work cross-functionally with other resource pools, flexibly identifying and drawing on the right expertise to contribute to the effective delivery of our regulatory tools. Our people also have the versatility to support the work of a range of projects, to both utilise the skills and experience already within the Pool, and to further develop the Pool members' knowledge and skills.

Role expectations

This Senior Associate post will play a key role in supporting a number of projects in the MOE Programme. You will work directly with customers and stakeholders to successfully deliver a portfolio of work. This work will include responding to customer enquiries and complaints; leading the delivery of investigations; and assessing licence applications and code modification requests. You may also have opportunities to work on policy-related projects both in the MOE Programme and other Programmes in Ofwat.

The contributions you make to the MOE Programme and its projects will ensure that we deliver the Programme's objectives. You will prioritise and manage your work effectively to ensure we achieve our level of service commitments and deliver the Programme's commitments in Ofwat's Forward Programme. You will also contribute to the effective identification and management of risks, issues and opportunities.

As a Senior Associate you will have autonomy, responsibility and leadership opportunities. We will expect you to be a self-starter and require only minimal supervision and oversight from senior colleagues. You will be given opportunities to hone your judgement and be expected to exercise it responsibly in line with our strategy and ways of working. You will also be developing and using your ability to persuasively communicate and engage with stakeholders, both internally and externally.

In addition you will have opportunities to further develop your knowledge and experience. Senior Associates are expected to support colleagues across the office, proactively sharing their skills and knowledge. Equally, Senior Associates are supported by coaching and mentoring and provided with opportunities to work across Ofwat on other programmes and projects where your skills and experience would benefit those work streams.

Key deliverables

1. To provide a **high quality service to customers** and stakeholders contacting Ofwat with enquiries or complaints.
2. To support the successful delivery of investigations, licence applications, code modification requests and potential code reviews. This will require:
 - a. **Analytical and problem-solving skills** that enable you to gather and assess a range of data and information and to identify and draw on the skills and expertise of colleagues in other resource pools as required;
 - b. **Strong written and verbal communication skills** that will allow you to clearly and concisely present evidence-based conclusions to complex problems;
 - c. **Case management experience** that will enable you to process investigations (which may be complex and span months or years) in line with our processes and governance framework;
 - d. **Strong project management skills** to deliver against deadlines and our level of service commitments and to manage inputs from both internal and external stakeholders;
 - e. The ability to **independently prioritise and manage your own workload** (which may include a number of cases and other tasks) and to make day-to-day decisions on your work in line with our governance framework.
3. To **engage with and influence external stakeholders** such as water companies, other regulators, consumer bodies, MOSL (the market operator for the business retail market), consultants and customers.
4. To help **support continuous improvement in our ways of working and knowledge management**.

5. To act as a **Resource Manager** when required to staff in the Casework resource pool, carrying out people management activities and responsibilities (e.g. supporting development and well-being and managing performance and attendance).

About You - Professional requirements

The professional requirements for this role are set out in the table below.

	Essential:	Desirable:
Qualifications	Degree level or equivalent in analytical discipline	Degree level or equivalent in legal or economic discipline
Experience	<p>Proven track record of delivering successful outcomes on projects</p> <p>Analysing information to present evidence-based conclusions to complex problems</p> <p>Communicating complex information clearly in writing and verbally</p> <p>Ability to effectively plan, prioritise and manage a varied workload to meet deadlines</p> <p>Working collaboratively with multi-disciplinary teams to deliver successful outcomes</p> <p>Engaging with external stakeholders to understand and influence their views and work</p> <p>Ability to identify and manage interdependencies with other areas of work / interests within the organisation</p> <p>Supporting the development and continuous improvement of an organisation and its people</p>	<p>Experience in the UK water sector or another regulated sector</p> <p>Legal/Economic experience in a policy or enforcement environment</p> <p>Some experience in project management</p>

	Essential:	Desirable:
Knowledge	Knowledge of utility regulation and current economic issues Working knowledge of EU and UK competition law and policy	Knowledge of the UK water sector

How to apply

Applications should include a:

- curriculum vitae (**CV**);
- **covering letter** or supporting statement that outlines the contribution you can make to Ofwat, including how you feel you meet our professional requirements and demonstrate behaviours outlined in our competency framework;
- completed **CV supplement form**; and
- completed **diversity monitoring form**. This form is not mandatory.

Please email your CV and supporting documents to recruitment@ofwat.gsi.gov.uk by the closing date.

If you are unable to make an electronic application, you may submit your application on paper. Please contact us to find out how.

Selection timetable

Closing date	5.00pm, Friday 16th June 2017
Sifting	w/c 19th June 2017
Interview date	28th June 2017

If you have any queries about any aspect of this role or selection process, please email recruitment@ofwat.gsi.gov.uk by the closing date.

Further information

Salary

The salary range for this role is £32,063 - £48,406 depending on relevant skills and experience required for the post. Salary is paid monthly by credit transfer.

Pension

On appointment, you are eligible to join the Civil Service Pension. The Civil Service offers a choice of defined benefit and stakeholder pensions, giving you the flexibility to choose the pension that suits you best. We offer you a choice of two types of pension.

Alpha: alpha is an occupational pension scheme and provides a defined benefit worked out on a Career Average basis.

From 1 April 2017, employee contributions will be:

Actual pensionable salary (annual)	All members
Up to and including £21,422	4.60%
£21,423 to £51,005	5.45%
£51,006 to £150,000	7.35%
£150,001 and above	8.05%

From 1 April 2017, employer contributions will be:

Revised Salary Band (£)	ASLC rate from 1 April 2017
23,000 and under	20.0%
23,001 to 45,500	20.9%
45,501 to 76,000	22.1%
76,001 and over	24.5%

- **Partnership:** this is a stakeholder pension with a contribution from Ofwat. How much we pay is based on your age. We pay this regardless of whether you

choose to contribute anything. You do not have to contribute but, if you do, we will also match your contributions up to 3% of your pensionable earnings. The contributions are in addition to the age-related contribution mentioned above.

To learn more about the Civil Service Pension schemes, please follow the link <http://www.civilservicepensionscheme.org.uk/>

Ofwat benefits

We also offer a range of additional benefits. These include:

- access to our package of benefits via our 'Rewards on Tap' scheme. This is a voluntary benefits scheme where staff have access to exclusive discounts on a range of goods and services such as retail outlets, theatre tickets, holidays, insurance and gym membership;
- childcare voucher scheme;
- cycle-to-work scheme;
- season ticket loan for travel between home and office;
- flexible working arrangements;
- fees paid for membership of relevant professional bodies;
- regular professional development;
- health and wellbeing initiatives such as mini-medicals, flu vaccinations, employee assistance programme and occupational health; and
- free eye tests and contribution towards lenses/spectacles for VDU users, if appropriate.

Security clearance

Any offer of appointment will be subject to satisfactory completion of security and pre-employment checks. Further information about the security checking procedure is available on request.

Nationality and immigration control

This post is open to nationals of states within the British Commonwealth and the European Economic Area (EEA) and certain members of their families. There must be no employment restriction or time limit on your permitted stay in the UK.

If you would like further information on Nationality and Immigration Control, please email us at people@ofwat.gsi.gov.uk.

Stocks or shares

Because of the nature of the information you will come into contact with and the need to be wholly independent of the water sector in England and Wales, you and your family (including your spouse or civil partner and any children or step-children under the age of 18 who still live at home, or any other member of your household) will be precluded from owning, purchasing or dealing in the shares of the water companies and their holding companies.

Expenses

We will refund travelling costs at the rate of standard rail fare for the journey or motor mileage rates (cars: 25p per mile).

Please note that proof of purchase will be required for all public transport expenses.

We cannot refund expenses for travel into the UK. If you have to stay overnight, please contact recruitment@ofwat.gsi.gov.uk for further details.

Data protection

We will use your application only to inform the selection process, after which we will destroy it. If you are successful, it will form the basis of your personal record with us and we will store it in manual and electronic files.

We will hold any data about you in completely secure conditions, with restricted access. Information in statistical form on present and former employees is given to appropriate outside bodies.

We will include data that you provide on the diversity monitoring form in a general database for statistical monitoring purposes only, enabling us to monitor the effectiveness of our policy on equal opportunities in employment. Individuals will not be identified by name.

We shall consider that, by applying for this role, you are giving your consent to the processing of your data in the ways described above.

Diversity

Ofwat aims to be an equal opportunities employer. We intend to make sure that there is equality of opportunity and fair treatment for all irrespective of:

- age;
- disability;
- gender reassignment;
- marriage and civil partnership status;
- pregnancy and maternity;
- race, religion or belief; or
- sex or sexual orientation.

We would like to assure you that we will treat the information you provide on the diversity monitoring form in the strictest confidence and only use it to help us monitor appropriate equal opportunities policies. This information plays no part in our selection process.

Investors in People (IIP)

Ofwat has IIP accreditation which reflects good management practices throughout our organisation, including in business planning, individual objective setting, learning and development opportunities, as well as continuous constructive feedback through our delivery and development conversations approach to performance management.

Complaints procedure

The process of recruitment and assessment embraces the principles of fair and open competition and best practice. The first is to maintain the principle of selection for appointment to the Civil Service on merit on the basis of fair and open competition as outlined in the [Civil Service Recruitment Principles](#). The second is to promote an understanding of the [Civil Service Code](#) which sets out the constitutional framework in which all civil servants work and the values they are expected to uphold, and to hear and determine appeals made under it.

If feel your application has not been treated in accordance with the recruitment principles and you wish to make a complaint, you should contact Natasha Harris, Director, Operations (People), Ofwat, Centre City Tower, 7 Hill Street, Birmingham, B5 4UA in the first instance. If you are not satisfied with the response you receive from us you can contact the Civil Service Commission