

September 2018

Trust in water

Information for applicants

**Compliance and Enforcement -
Principal
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Introduction from Rachel Fletcher, Chief Executive



Water is not a dry issue.

The water sector in England and Wales has come a long way in the past 27 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 £140 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 to have trust and confidence in the water and wastewater services we receive.

To do this, Ofwat needs to be at the very top of its game. Thank you for your interest in joining Ofwat at what is a very exciting time for us. We look forward to receiving your application.

Rachel Fletcher
Ofwat Chief Executive

About Ofwat and the role

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 the sector build trust and confidence with customers, the environment and wider society. It is our vision for Ofwat to be working at the leading edge, trusted and respected, challenging ourselves and others to build trust and confidence in water.

Our strategic priorities for 2018-19 are:

- **Delivering more for less for customers** including through innovation, by regulating monopolies and developing markets;
- **Holding companies to account** for good customer outcomes – by taking action when things go wrong, improving transparency and requiring companies to put customer interests at the heart of all they do;
- **Taking a long-term view of the sector**, the impact of continuing environmental change, the development of the economy and customers' changing expectations, to see how regulation, and Ofwat as the regulator, can evolve; and
- **Ensuring Ofwat is fit for the future**, with the right culture, skills, governance, systems, and processes.

Our focus is on regulating in a customer-focused and pro-market way, establishing a clear and effective framework and transparent information that informs, enables and incentivises water companies to engage with and deliver good quality services for their customers and wider stakeholders. Where companies fail, we will take targeted, proportionate steps to protect customers where we have the powers to do so.

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 workplan develops.

Our statutory duties include a duty to protect the interests of consumers, wherever appropriate by promoting effective competition. The MOE Programme is particularly focused on that duty and our ambition to regulate in a customer-focused and 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’s work directly demonstrates how we are working on behalf of customers and holding water companies to account, whether they be monopoly providers or participants in one of the sector’s growing number of markets.

The MOE Programme is the “front door” to many of the customers and stakeholders that contact Ofwat with enquiries or complaints about the sector or their water company. Where we have the legal powers to do so (typically under the Water Industry Act 1991, or using our concurrent competition powers under the Competition Act 1998), the Programme protects customers by investigating and resolving disputes or company failures where they arise; ensuring that water companies meet their legal obligations (under the legislation, licences and market codes we enforce); and monitoring and intervening to enable and correct markets where they are not delivering benefits for customers.

How we respond to our customers and stakeholders is very important to delivering our vision of trust and confidence in the water sector and of us as a regulator. The MOE Programme operates within a diverse stakeholder environment including regulated companies, new entrants to the sector, Government, other regulators, investors, environmental groups and customers and their representative bodies and groups. Effective stakeholder engagement is therefore central to the Programme’s success.

As we respond to complaints, concerns and opportunities as they arise, in addition to our planned projects, our work can be diverse, fast-changing and sometimes unpredictable. Our regulation of new and developing markets in the water sector also brings with it novel issues, new stakeholders and opportunities to apply our regulatory toolkit, including some new regulatory powers, in a different context. The varied and changing nature of this work requires the Programme’s staff to be flexible and able to effectively plan and prioritise their workloads.

Casework pool

This post will sit within our Casework Pool of staff. The Casework Pool plays an important role in ensuring that water companies understand and 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 the interventions we make to protect customers and ensure water companies redress the problem.

Where Ofwat has legal powers to consider particular complaints or concerns, people in our Casework Pool are responsible for leading our investigations. 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 its customers and society by not delivering its obligations under its licence or under competition law.

Staff from the Casework Pool also play a lead role in assessing applications from companies wishing to be granted a licence to serve customers in the water sector. This involves working closely with our stakeholders and other regulators to ensure that applications and our assessments of them are robust. People in the Casework Pool also play a part in managing Ofwat's own obligations under various code documents that specify how water companies deliver their services, including the codes underpinning the business retail market.

People in this Pool typically have skills and experience from working in a regulatory or enforcement environment and in the interests of customers. Key strengths of the people in our Casework Pool include their ability to identify, gather and assess a wide range of information relevant to our investigations; to understand and reflect the legal, strategy and policy frameworks within which we exercise our enforcement powers; and to lead the successful and timely delivery of robust, evidence-based decisions.

People in the Casework Pool must collaborate well in multi-disciplinary teams, identifying and drawing on relevant expertise from our other pools of staff (such as our lawyers, economists or engineers) and, where appropriate, other regulators to contribute to the effective delivery of their work, and ensuring their work recognises and makes appropriate links to related work in Ofwat's other programmes.

Members of our Casework Pool must have strong project and time management skills. These are key to them being able to effectively and independently prioritise and manage a varied workload of cases and other work to meet varied deadlines (including our levels of service to customers) and to respond effectively to the sometimes unpredictable nature of our demand-led work.

Staff from the Pool provide a professional, high-quality and efficient service to our customers and stakeholders, seeking to provide the information and service they need within our level of service timescales and ensuring they can have trust and confidence in the water sector and Ofwat. All people within the Casework Pool are expected to be able to communicate clearly and effectively both verbally and in writing. They must also be able to develop good working relationships with a wide range of internal and external stakeholders.

Role expectations

The purpose of this Principal role within the Casework Pool is to provide expert management, support and leadership in the enforcement functions within the MOE Programme. This will be provided by project managing our most important projects and strategic cases, both of which draw on skills and expertise from across Ofwat. You will also be expected to sponsor and provide leadership on our smaller cases and policy work.

As leaders within the Casework resource pool, Principals are also expected to support, encourage and be role models for the junior members of the Pool. Principals must be able to apply their judgement to casework issues that arise and have a robust understanding of the strategic context in which they fit. Principals also play an important role in our engagement with external stakeholders, liaising with them to understand and influence their priorities and to build understanding and confidence about our work.

Principals play a key role in the running the MOE Programme and the Casework Pool through resource planning and management, including the possibility of acting as a Resource Manager. There will also be opportunities for Principals in the Casework Pool to work across Ofwat on other programmes and projects where their skills and experience would benefit those work streams.

Key deliverables

1. To **successfully deliver enforcement projects** within the MOE Programme including individual strategic cases and/or groups of our smaller cases. This will require:
 - a. Outstanding analytical and problem-solving skills together with an excellent level of drafting and presenting expertise that will allow you to clearly and concisely present evidence-based conclusions and recommendations to complex problems;
 - b. Case management experience such that you are able to successfully run large and complex investigations and/or a portfolio of smaller cases, that involve inputs from both internal and external experts;
 - c. The ability to develop and deliver against case and project plans (both directly and by managing multi-disciplinary teams) so that we successfully

deliver robust outcomes within our service level commitments for cases;
and

- d. The ability to self-start and independently manage your own workload as well as make day-to-day decisions on cases within the MOE Programme's decision-making framework.
2. To provide visible **leadership and guidance** to members of the Casework Pool to develop the skills and experience of the Pool's junior members. You will role model the skills and behaviours we expect in the Pool, and advise and support to junior staff where required on issues such as of case management best practice and stakeholder management. You will support continuous improvement in our ways of working.
3. To act as a **Resource Manager** within the Casework Pool and/or Project Manager within the MOE Programme, taking on budget management responsibilities and, where appropriate, people management responsibilities in line with Ofwat's Governance Framework.
4. To **engage with and influence key external stakeholders** such as water companies, representative bodies, Government departments, third parties and customers. You must be able to establish and maintain these relationships and operate independently of senior management where necessary.
5. To support the successful delivery of non-enforcement projects within the MOE Programme such as compliance and market monitoring and related policy work. You will also provide your skills and experience to **other projects and programmes** across Ofwat where they would actively benefit from your involvement.
6. To **engage effectively with internal stakeholders** to share intelligence and expertise on enforcement-related issues and to ensure our approach to enforcement activities reflects our strategic priorities and and vision for the sector and Ofwat.
7. Strongly contribute to Ofwat's **wider leadership**, by engaging, contributing and supporting our work on the key issues and challenges facing Ofwat leading up to the opening of the business retail market in April, the next Price Review in 2019 and beyond, and role-modelling Ofwat's values (SAILOR) and ways of working.

About You - Professional requirements

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

	Essential:	Desirable:
Qualifications	Degree level or equivalent in analytical/legal/economic discipline	Postgraduate qualification in analytical/legal/economic discipline
Experience	<p>Proven track record of delivering successful outcomes on large and/or complex investigations</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 large projects and a varied workload</p> <p>Leading multi-disciplinary teams to deliver successful outcomes on cases and policy work</p> <p>Influencing and managing relationships with key internal and external stakeholders</p> <p>Experience as a Resource and/or Project Manager with budget management and people management responsibilities</p> <p>Supporting the development and continuous improvement of an organisation and its people.</p>	<p>Experience in the UK water sector or another economic or competition law regulator</p> <p>Legal/economic experience in a policy or enforcement environment</p> <p>Experience in leading projects and programmes of work</p>
Knowledge	<p>Extensive knowledge of regulation and current economic issues</p> <p>Extensive knowledge of EU and UK competition law and policy</p>	Knowledge of the water or other utility sector

Terms and conditions of employment

Contract

This is a permanent appointment.

Salary

The salary range for this role is Band 4 - £48,891 - £74,782. Salary offered will reflect relevant skills and experience required for the post. Salary is paid monthly by credit transfer.

Internal and Civil Service candidates already at this job level would normally maintain their existing salary arrangements as this would be classed as a level transfer. If applying for the role as a promotion, these candidates can typically expect to be appointed on a salary at the bottom of the band or a 10% increase to existing salary, whichever is greater.

Location

The role will be based in either Birmingham or London. However, it is likely that travel between offices and throughout the UK will be needed to be effective.

Contracted place of work and taxable expenses

Any person who regularly works more than two days a month in both the Birmingham and London offices, irrespective of their contracted place of work, is considered by HMRC to have [two permanent workplaces](#).

The payment of your rail fare, accommodation or subsistence in this situation attracts tax and National Insurance because you are receiving a benefit.

Ofwat meets the cost of the tax and National Insurance by grossing up your expenses and recovering the net amount through your monthly pay package. But the expenses are classed as taxable earnings, which could impact on any attachment of earnings – for example, student loan repayments, high income child benefit and state benefits.

This means that you will not be required to meet the costs of travel to the office location where you are not based.

For further information on taxable expenses, please email payroll@ofwat.gsi.gov.uk.

Hours of work

The successful post holder will be required to work a minimum of 37 hours, excluding lunch breaks. You will be required to work such additional hours as is reasonable and necessary for the efficient performance of your duties.

Probation

There is a probationary period of six months for all new entrants. Subject to satisfactory performance, the post holder will be transferred to permanent establishment at the end of their probation.

Annual leave

On appointment the post holder will be entitled to 25 days annual leave plus 10½ days' public and privilege holidays a year. Annual leave entitlement will be increased by one day for each year of continuous employment with Ofwat, up to a maximum leave allowance of 30 days.

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 2018, member contributions will be based on actual salaries.

From 1 April 2018, employee contributions will be:

Actual pensionable salary (annual)	All members
Up to and including £21,636	4.60%
£21,637 to £51,515	5.45%
£51,516 to £150,000	7.35%
£150,001 and above	8.05%

From 1 April 2018, employer contributions will be:

Revised Salary Band (£)	ASLC rate from 1 April 2018
23,000 and under	20.0%
23,001 to 45,500	20.9%
45,501 to 77,000	22.1%
77,001 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.

Employer age-related contributions will be:

Age at the last 6 April	ASLC rate from 1 April 2018
Under 31	8%
31 to 35	9%
36 to 40	11%
41 to 45	13.5%
46 or over	14.75%

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; and
- free eye tests and contribution towards lenses/spectacles for VDU users, if appropriate.

Further information

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.

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	Friday, 28 September @ 5:00PM
Sifting	2 / 3 October
Interview date	17 and 19 October

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

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. If you are successful it will form the basis of your personal employee record with us and we will store it electronically within our SharePoint Electronic Document Management System (EDRMS) and our HR system iTrent. Unsuccessful applications are not retained and will be destroyed using Ofwat's secure disposal methods. If you have consented to Ofwat retaining your information for future similar employment opportunities we will retain this information and review the information annually. If at any point you decide you do not wish Ofwat to retain your information please contact us and we will ensure your information is removed from our systems, unless we are legally obliged to hold it for a further period.

We will hold any data about you in completely secure conditions and with restricted access. Information in statistical form on present and former employees in some instances is provided to appropriate outside bodies. Wherever possible Ofwat ensures that statistical information is anonymised.

We will include data that you provide on the diversity monitoring form in a general database for statistical monitoring purposes only. This enables us to monitor the effectiveness of our policy on equal opportunities in employment. If personal identifiable information (PII) has been provided by you, it will be removed before any disclosure is made.

Ofwat considers that the information you have provided during your application has been given with your explicit consent and that you agree to the processing of your personal data as explained in this document. If you have any concerns regarding the processing of some or all of your data please inform the People Hub in writing to people@ofwat.gsi.gov.uk and/or the Data Protection Officer by emailing FOI@ofwat.gsi.gov.uk. We will process your personal data in accordance with Ofwat's retention and disposal schedule which can be viewed at this link <https://www.ofwat.gov.uk/publication/retention-disposals-policy/>.

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 at info@csc.gsi.gov.uk.