The Water Impact Guidebook
Capacity Development to Enhance Commercial and Technical Management in Water and Wastewater Utilities

Nancy Barnes, Ernst Döring, Thomas Petermann et al.
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Eschborn and Cairo, December 2012
Welcome

This booklet will help you to decide whether the «Water Impact Guidebook» can be helpful for you and your work.

Do you think that capacity development can help you and your organization do a better job? Then you will certainly find ideas that will be useful. You will also find ways to learn more.

If you are curious about how your water sector operates, you may want to read the chapters in the Enabling Environment module. There you will find chapters on governance, water integrity, water sector framework, sector management and regulation.

Maybe your organization struggles every day and there is a lack of cooperation and management efficiency. Maybe things are always difficult and people are just not getting the work done that you need them to do. If this is the case, you may find good ideas in the Organization Development module.

Perhaps you work with good, decent people but they do not know how to behave and work effectively. They try hard, but they do not succeed. The Human Behavior module offers ideas for good behavior – from Doing a Good Job to Team Building to Meeting Participation and Leadership.

Perhaps you are curious about how things are done elsewhere or about commonly accepted good practices. You may wonder what it takes to have a good Human Resources Department or how to control Non-Revenue Water. The Good Practices module offers chapters covering a number of management and technical topics.

The next page will present you the full overview in the Table of Content.
The Water Impact Guidebook

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Introduction
Introduction to IMPACT

"A journey of a thousand miles begins with a single step"[1]

I. HUMAN POTENTIAL

This Guidebook is written by people in the Africa and Middle East North Africa (MENA) regions – for people in these regions and elsewhere in the water sector.

Our intent is to unlock the potential of people and organizations – our definition of Capacity Development.

II. WELCOME TO THE JOURNEY

Every day – all over the world – people ask themselves what it takes for organizations to consistently and effectively provide goods and services to their customers. This is especially true when it comes to organizations that provide water services.

Three things are for sure:

1. Every person on this planet needs water every day and each of us gets it in some way – although it is easier for some than it is for others.
2. Quality water is essential for public health and the health of the environment. In some places, water quality is better than in other places. Poor quality water that makes people sick, or harms the environment prevents people – and countries – from prospering.
3. The challenge of providing reliable water services grows every day as more and more people join us on this planet.

How shall we meet these challenges and face these realities? There are so many answers – financial, technical, managerial, political and social. It is probably fair to say that we have often depended too heavily on technical solutions and infrastructure. We are starting to understand that this is not enough. No one solution will make everything work well.

The ways in which we manage water sectors or water utilities are a part of the solution – and the skills and motivation of people can make the difference between success and failure.

This IMPACT Guidebook is a contribution to the body of knowledge of how to establish, improve and maintain effective organizations – especially those in the water sector.

In a lot of places, people have what they need to do a good job but nothing changes. Why? Perhaps they do not know how to proceed. But this is a barrier than can be overcome with a little initiative and the belief that you can do it. And then, all you have to do is to “start the journey”.

Additional Exercises & Resources

A lot of chapters in the Guidebook refer to exercises and resources. These files are available for free from the website http://www.water-impact-guidebook.net. This place offers as well the e-Book versions of the Guidebook. In the section «Continuous Improvement», you’ll find corrections and amendments made after the publication of the printed edition plus other additions, up-to-date case studies and comments from other readers.

You are welcome to join us!
III. THE STORY OF THE IMPACT GUIDEBOOK

The story began in 1997 when GTZ[1] and Jerusalem Water Undertaking (JWU) in the Palestinian Territories started the organization development process. The time, effort and enthusiasm that JWU employees applied are unforgettable. Sometimes, we spent days working on one topic, discussing until we all agreed. Sometimes there was controversy but it usually led to a better result.

With GTZ support, we compiled our ideas and examples into *Jerusalem Water Undertaking: A Challenging Experience in Organization Development – A Guidebook* which GTZ and JWU published in 2003. Since then, the Guidebook has been intensively used in Palestine, neighboring countries, Sub-Saharan Africa and Latin America (Spanish version available) to assist policy makers in the process of water sector reform and to guide senior staff in the process of commercialization of water utilities.

In 2009, some chapters of the Guidebook were transformed into the new e-learning format. The two GIZ human capacity development programs “MENA WANT”[2] and “WAVE” offered “basic” and “advanced” e-courses on organizational development in water and wastewater utilities to senior and mid-management staff of water utilities, regulators and other water sector actors.

Since the original guidebook was published in 2003, thinking has evolved about how to build and sustain strong organizations. Capacity Development is now the term used to describe what it takes to do this. More and more, people are coming to believe that Capacity Development is an important part of improving organizations and water sector performance.

GIZ decided in 2010, to update and amend the original guidebook accordingly. The new guidebook was renamed to become “The Water Impact Guidebook” to illustrate that we want to achieve an IMPACT through capacity development in the water sector.

Amongst other updates, the chapters on legal, political, institutional and policy framework in which water and wastewater utilities provide their services to people were substantially amended, and the chapters on good practices in technical and commercial management of utilities were considerably enlarged. At the same time, the authorship became more international with water specialists and trainers across the Near East, Maghreb and eastern and southern Africa, and international water experts who assisted in the peer review. This process creates ownership, fosters commitment and is an act of enablement - or capacity development - on its own with immediate benefits to all trainers, resource persons and eventually the participants of ongoing GIZ training activities in the water sector.

IV. WHAT IS CAPACITY DEVELOPMENT?

To us, it is all about UNLOCKING HUMAN AND ORGANIZATIONAL POTENTIAL by:

- Creating an enabling environment
- Giving people compelling reasons to act and
- Supporting them with the knowledge, skills, tools and resources they need to succeed

Looked at from this viewpoint, Capacity Development includes:

A. Enabling Environment at the sector level
B. Organization Development
C. Effective Human Behavior
D. Good Practices

This viewpoint underlies this IMPACT Guidebook, building on the organization development and continuous improvement ideas in the original guidebook.

V. DOES THIS GUIDEBOOK APPLY TO YOU?

You may be the Minister of Water or Chairman of the Board. You may be a Chief Executive Officer or a Department Manager. You may be an aspiring entry-level manager.

You may head up a volunteer organization or a commercial enterprise. You may be a utility manager or a newly appointed official. You may work for a donor agency, a government agency or a consulting firm.
If you want to do a better job, you can find ideas in this Guidebook to do that. We know this to be true – ever since the original guidebook was published many of us have used it as a reference and a source of examples.

Abbas and the 300

One day, Abbas found Nancy, the original author of the JWU Guidebook in a conference center in Dar es Salaam. He told her about how he found himself in a new position. On the first day, 300 people came to him to ask what they were supposed to do. Abbas used the Guidebook to organize these 300 people and delegate to managers who reported to him. Abbas used the Guidebook exactly as we all originally hoped it would be used. It was a special moment.

Arthur in Bangladesh

Arthur was a consultant for a development Bank. He was employed to propose a new organization for a new water utility in Khulna, Bangladesh. Referring to the guidebook he was able to propose some options for organizational development and management. After discussion, stakeholders chose to implement one of these options.

Jackson in Babati, Tanzania

Jackson discovered the Guidebook on the desk of a utility manager and bought it from him at his own expense. He then applied the book to build up the new water and sanitation authority in Babati, which is now well established and running.

VI. SPECIAL CONSIDERATIONS

This Guidebook is written using water organization examples. However, many of the basic concepts in each chapter apply in any organization.

This Guidebook is not a scholarly attempt. It is intended as an introduction to the topics, giving suggestions for learning more. There are entire books devoted to some of the topics in this Guidebook.

We have tried very hard to put together a guidebook that many people will find useful. We have put our hearts and our minds into this effort. You may not always agree with us. The examples may not be perfect for you. The ideas and examples are here for you to consider, modify and use, as you wish. There is no one solution that will fit every problem in every location.

This Guidebook does not provide solutions for all of the challenges you may encounter to enhance commercial and technical management practices in water and wastewater utilities and it does not promote blueprint solutions. This Guidebook does offer a way to look beyond your workplace to improve your knowledge and skills and find ways to improve.

VII. PLEASE NOTE

Our apologies to the ladies: for the sake of crisp and clear language in this guidebook, we have used the male gender. We recognize the contributions that women make to organizations every day. We know that there are many competent women managers all around the world and we salute you!

VIII. ACKNOWLEDGEMENTS

This “Water Impact Guidebook” was initiated by the following GIZ programmes, commissioned by the German Federal Ministry for Economic Cooperation and Development, BMZ:

- The GIZ capacity development programmes, “MENA WANT” and “WAVE/WAVE+”, implemented in the MENA region and in Africa (see “http://www.mena-water.net” and “http://www.wave-water.net”)
- GIZ Water and Wastewater Management Programme in Egypt
- GIZ Support to the Water Sector Reform in Tanzania
The Impact Guidebook would not be possible without the efforts of numerous water specialists and practitioners. Most of them are acknowledged in the following section, although many others contributed indirectly during lively discussions with their ideas and examples. Most important were the outstanding skills and never-ending commitment of Nancy Barnes, a dedicated water expert, practitioner, trainer and accomplished writer. She developed the overall concept jointly with the GIZ programme managers, was the principal author of many chapters, guided others in writing their chapters, and finally she contributed her time and efforts to edit all chapters and put the entire puzzle together.

Because this Guidebook is based on the original one published in 2003, we must acknowledge the contribution of the Jerusalem Water Undertaking (JWU) Board of Directors and its staff who developed and implemented many of the concepts in the Organization Development section. Namely, the former Managing Director Abdelkarim Asa’d was instrumental not only in drafting and editing many chapters but also in implementing a good part of the book within the JWU. He enriched the book with extremely valuable lessons-learned and practical examples.

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References

[1] Note: GIZ - Deutsche Gesellschaft für Internationale Zusammenarbeit was established in January 2011 with its headquarters in Eschborn and Bonn, Germany. GIZ is a merger of three German organizations engaged in development cooperation: GTZ - Deutsche Gesellschaft für Technische Zusammenarbeit, InWEnt – Capacity Building International and the DED – German Development Service.

[2] MENA WANT is a human capacity development (HCD) programme with regional training and dialogue activities, implemented by GIZ with the regional Arab countries water association ACWUA. WAVE is a similar HCD programme, implemented by GIZ with water sector organizations in Kenya, Uganda, Tanzania and Zambia.
Enabling Environment
Introduction to Enabling Environment

“The enabling environment is the term used to describe the broader system within which individuals and organizations function and one that facilitates or hampers their existence and performance. This level of capacity is not easy to grasp tangibly, but is central to the understanding of capacity issues. They determine the ‘rules of the game’ for interaction between and among organizations. Capacities at the level of the enabling environment include policies, legislation, power relations and social norms, all of which govern the mandates, priorities, modes of operation and civic engagement across different parts of society.”[1]

An enabling environment creates an atmosphere that allows a flourishing and sustainable water sector where people have dependable and adequate services. The country enjoys a water sector that achieves economic, environmental and social goals.

Without an enabling environment, managers in a water sector struggle on a day-to-day basis just to provide intermittent services that barely, if at all, meet minimal quality standards. People lack access to water, the economy is held back and the environment suffers. The UN has declared equal and non-discriminatory access to safe water a human right.

On the path to achieve the Millennium Development Goals, we have learned that infrastructure and funding are not enough. The stories are legend about failed infrastructure and water sectors that cannot be sustained. The reasons often have to do with ill-defined roles and responsibilities, constraints on decision-making authority, low tariffs that prevent cost recovery, lack of a common direction and lack of political will.

Creating an enabling environment can unlock organizational and human potential and result in dramatic improvement in a water sector.

Enabling environments are created at high levels of national governments. Water sector managers operate within the enabling environment. Therefore, it is important for water sector managers to understand the ‘rules of the game’.

While sector managers often do not have the power to create or improve the enabling environment, they can often have a voice through lobby groups and associations to influence elements of the environment such as national water policy and planning.

This section of the Impact Guidebook covers topics that are important to an enabling environment in five chapters:

• Governance
• Water Integrity
• Water Sector Framework
• Water Sector Management
• Regulatory Framework

A. Governance

“The water crisis is not about water or financial scarcity, it is mainly a crisis of governance”[2].

What happens when a water sector lacks good governance? Funds are diverted to personal use or uses that are not a high priority. Customers do not receive reliable services at an affordable price. Employees are not treated fairly and this affects their motivation. Infrastructure is constructed poorly and the assets do not last as long as they should.

Well functioning countries, water sectors or organizations are always built on good governance. “Water governance considers the political, economic and social processes and institutions by which governments, civil society, and the private sector make decisions about how best to use, develop and manage water resources.”[2]

As we can see, governance is an overriding influence on the enabling environment and is carried out through
the sector framework, sector management and regulation to ensure that the people receive access to dependable water services at a fair price.

This chapter covers the basic principles of good governance and how they can be applied at the national level as well as at the water utility level.

B. Water Integrity

Water is life. Water utilities serve the common good. Yet, sometimes, people take advantage of this situation to serve themselves instead of the common good. When they do this, they harm the water utility and all of the people it serves because they undermine the sustainability of the utility.

Water integrity means establishing accountability and transparency so that water is allocated and distributed in fair and efficient ways for all water users. It also means ensuring that the financial resources of the utility are protected.

A lack of integrity, accountability and transparency often leads to corruption - the abuse of entrusted power and resources for personal gain. It can be found in a huge range of interactions at all levels of decision-making and in all aspects of the water sector, along the “water value chain” from water allocation to the end user and - as wastewater - back to the environment. There are great needs to strengthen water integrity at policy, management and operational levels in governments, private sector and civil society:

- Establish sustainable prevention measures that are pro-active rather than only re-active.
- Understand the detrimental impacts of corruption; especially on poor people who suffer from the effects of corruption.
- Apply integrated water resources management to link water services for domestic, industrial and agricultural uses.
- Realize that there are different cultural interpretations of corruption.

This chapter discusses the situation and offers potential solutions to corruption in your workplace.

C. Water Sector Framework

Even if a country has sufficient funds to invest in the sector and enough expertise, the sector will not thrive unless the roles and duties of all players and institutions are well defined and well designed in relation to each other. This is important to ensure the smooth execution of all the tasks required to have an effectively functioning sector.

A classic role for government is to provide the policy, institutional and legal framework in the water sector that will achieve public health and safety.

That is why most water sector frameworks are largely made up of various levels of government, including:

- Ministries in charge of overall planning and Water Resources Management
- Regulator
- Local government as the responsible authority for the provision of water services
- Water and wastewater service providers

These main players often work in cooperation with other bodies such as the Ministry of Finance for budget allocations, the Ministry of Public Works that may be in charge of infrastructure development and maintenance and Water Boards that act at local or regional levels.

In many countries, the private sector also plays a role.

The water sector framework considers the ways in which these agencies work together to ensure that the public is well provided with the water and wastewater services that are so essential to public health, safety, environmental protection and economic prosperity. Usually, legislation is enacted to give authority to the agencies to play their roles.

This chapter focuses on the building blocks of a sound Water Sector Framework:

- National Water Policy
- Development Strategy
- Legal Framework, including laws, rules and regulation
- Institutional Organization
It is important for utility managers to understand these four building blocks: the utility operates within this framework; the framework impacts the utility; and the utility can access the framework’s legal and policy resources to guide its strategic and operational decisions.

D. Water Sector Management

Water sector management is perhaps best explained by the concept of Integrated Water Resources Management (IWRM) which is defined as “a process which promotes the coordinated development and management of water, land and related resources, in order to maximize the resultant economic and social welfare in an equitable manner without compromising the sustainability of vital ecosystems.”[4]

A water utility is often at the junction of management of bulk water and the provision of water services that meet standards for access, quantity and quality. It is therefore important for a water utility to understand how the resource that is at the core of its business is managed at the country level. Then, the utility is better able to align its efforts to achieve national objectives.

A water utility’s vision and strategic plans must be consistent with the national framework and water sector management approaches in the country. Its activities are guided by the need to contribute to the socio-economic development of the country and the well being of the population that it serves.

This chapter covers the building blocks of a sound Water Sector Management:
- Macro Planning
- Sector Development Planning
- Sector Performance Monitoring
- Sector and Intersector Coordination

E. Regulatory Framework

Regulation is the process by which oversight and rules are set for public or private companies in an industry. The oversight and rules often have to do with economic factors (tariffs or pricing) and service level factors (water quality, pressure, access to services, etc.).

Because the regulator’s role is to set and require compliance with rules, the role of regulation, is often described as a “referee” or a “watchdog”.

The rationale for regulation is usually to balance various competing interests such as the utility’s needs to be financially sustainable with the public’s need to have adequate services at an affordable price.

This chapter provides a basic understanding of the functions and procedures of regulation. The chapter also aims to communicate what a utility manager can expect when being “regulated”, focusing on how to work together with a regulator. The chapter is based on international “good practice” standards.

References

Organization Development (OD) is a process in which organizations establish goals and transfer them into the jobs that people do every day. People have what they need to get the job done and they receive rewards for achievement and initiative.

When you form a new organization, OD helps build a strong management foundation. It includes choosing a mission, making plans, putting people to work and achieving goals.

Existing organizations often face new challenges. OD can help an organization respond effectively. OD helps you take a fresh look and strengthen weak areas.

A. The Importance of Organization Development

Organization development establishes the basic framework that any organization needs to manage well and achieve its goals. It helps build a workplace where people take actions for good reasons and make the best use of available resources.

B. Organization Development Chapters in this Guidebook

Foundation
- Framework
- Leadership and Commitment
- Mission and Overall Objectives
- Strategic Analysis and Planning

Structure
- Functions
- Organization Structure
- Job Design
- Numbers of Employees
- Compensation
- Implementing Organization Change

Management
- Planning Ahead
- Delegation
- Management by Results
- Rewards for Achievement
- Performance Audits

C. How the “Impact Guidebook” can help you develop your Organization

Depending on your situation, you may benefit from action in selected areas. Maybe you know that you need more effective job descriptions. Maybe your compensation system could be more fair. Or – you may find benefit from taking every step of the OD process. Whatever you decide to do, keep the following in mind:

Organization development brings change in approaches and habits. People need time to absorb new ideas, so results take time. Have faith in the outcome and take a determined “one step at a time” approach. The day will come when you realize how much better your organization is working. Great leaders in the water sector know that success comes from patience and persistence.

Change means venturing into the unknown. Fear of change can be a roadblock and it can cause anxiety for employees. Recognize the effects of fear and address them openly.

The best Organization Development overcomes roadblocks by striving for “win-win” approaches - not solutions where someone wins and another loses.

Despite your best efforts, some people will still be unhappy. As Abraham Lincoln said – “You can please some of the people some of the time, but you cannot please all of the people all of the time.” As people see the benefits of OD, they will be happier. Celebrate successes – even if they are small.
### D. Chapter Summaries

**Framework:** Organizations bring people together to achieve a common purpose.

Usually, an agreement creates the organization, defines its purpose and sets basic ground rules. The agreement may be an informal gentlemen’s agreement. Or, it may be a more formal contract, ordinance or law.

The type of agreement depends on the goals of the organization. It must conform to the country’s legal and regulatory framework.

**Leadership and Commitment:** Every organization needs leadership by people who are committed to its purpose. Nothing can be achieved without this commitment. Leadership and commitment begin at the top. Leaders inspire others and set a good example.

Leadership involves the Governing Body which leads through Policy, Planning and Budgeting, Delegation, Oversight, Advocacy, good Governance practices and Orderly Decision-making.

**Mission and Overall Objectives:** Mission and overall objectives are the first steps in establishing a goal driven, proactive workforce. They are also a foundation for good planning.

Every organization has a purpose. Everyone needs to know what it is and be committed to it. This chapter helps you assess your current Mission Statement or create one.

**Strategic Analysis and Planning:** Strategic analysis and planning are ways to take a fresh look at your situation – and where you want to go. You test current practices to see if they will work well in the future. You test your view of your environment and make sure that it is accurate.

You answer questions like these: Where are we now? Where do we want to go? How do we get there?

**Functions:** What if we have a list of 300 actions? Will we gather 300 people and assign each of them one action? That could be expensive and hard to control. Not every action would need full-time attention. We need to group actions into functions to make the best use of resources. This chapter explains what functions are and it can help you develop the functions you need.

**Organization Structure:** The organization structure groups functions and shows how they are linked. It helps employees and stakeholders understand the way the organization works. It also encourages cooperation and communication.

Without an organization structure, it would be hard to know reporting relationships, responsibilities and how functions work together. It would also be harder to know the chain of command.

**Job Design:** Please think back to a time when you started a new job. Did anyone tell you what to do? Did anyone tell you how your job would help achieve the aims of the organization? Did you know where your job fit on the organization structure?

This chapter describes the process of job design which involves choosing Job Titles and developing Job Descriptions.

This chapter will help you answer questions like these: What makes a good job title? What do job descriptions cover? How do you write a job description?

**Numbers of Employees:** How many people do you need in your organization? This chapter helps you decide.

**Compensation and Remuneration:** The basic contract between an employer and an employee is this: the employer pays the employee. The employee works in exchange for the pay - or compensation.

A good compensation and reward system will: attract and retain good employees; motivate employees and enliven an organization; recognize employee initiative and achievement; encourage the loyalty of employees. This chapter covers forms of compensation and ways to reward employees.
Implementing Organization Change: Change often makes employees nervous especially when it affects the jobs people do or the amount they earn.

Changes in structure may also affect procedures, regulations and lines of communication. These things can disrupt the course of business unless you consider them as you make changes.

This chapter will help you consider things like employees, procedures, regulations, interactions, practicalities and opportunities as you implement Organization Change.

Planning Ahead: Without clear direction, organizations can only react to current circumstances. Like a person on a treadmill, they move but they don’t get anywhere.

Proactive organizations anticipate problems and fix them before they happen. They recognize opportunities and take advantage of them. They choose their actions. They do not let circumstances do it for them.

As you will see in this chapter, the need to plan ahead is essential.

Delegation: What happens if one person in an organization makes all the decisions? This holds everyone else back while they wait for him to decide. Yet, many people want to make every decision. Delegation means sharing actions and decision making with someone else and it is one of the quickest ways to improve an organization.

This chapter can help you improve delegation in your organization as it covers questions like: What is delegation? What are the benefits of delegation? What to delegate? How to delegate?

Management by Results: A manager is a person who is accountable for the outputs of others, for sustaining a team capable of producing those outputs and for giving effective leadership to that team.

Some organizations set specific goals for each employee, track actual results, compare actual results to goals and reward employees who achieve goals. This chapter shows you how to manage in ways that get results.

Rewards for Achievement: Each employee has a job to do. There is nothing wrong when a person comes to work and does his job. However, some employees do more for the organization than others. Rewards recognize their extra contributions. Some rewards come in the form of money and others do not.

This chapter can help you find ways to motivate employees through monetary and non-monetary rewards.

Departmental Audits: Most organizations perform financial audits every year. Excellent organizations go a step further and perform departmental audits to check the performance levels of each organizational unit against pre-set indicators, policies, regulations and standard operating procedures.

This chapter will help you understand how to establish and conduct a department auditing process.

E. How to Benefit from the Organization Development Section

Each chapter has an analysis section that poses questions to get you thinking about how your situation compares to the basic concepts. If you find that your situation can improve, we suggest that you consider making improvements. Each chapter suggests steps that you can take and provides references, examples, case studies and links to help you proceed.

To get started, you may want to try the OD Self-Assessment file in Excel. This can help you and your co-workers identify areas where you may need to improve.
Human Behaviour
You may have a new organization structure and new management systems but they will only work with positive human behaviour.

Human behaviour can be defined as the collection of behaviours by people that are influenced by culture, attitudes, emotions, values, ethics, authority, persuasion, and coercion.

Human behaviour may also be governed by tribal ethics, religion, emotion, unwritten principles or behaviours that are governed by laws, regulations and work procedures.

We must understand the different aspects of human behaviour in order to be good managers. This helps us create situations that people will respond to in the desired way.

Human behaviour can be positive or negative; it may lead to correct decisions and good results or it can lead to bad decisions and negative results.

Behaviour may change over time, as people accumulate experience, as their organizations grow in size, as their tasks become more complex, and as they gain knowledge and use new technologies like the internet and social media (Facebook, Twitter and blogs). The behaviour of one person will likely influence the behaviour of others. If one person is positive and productive, this will influence others to do the same – especially if he is rewarded. And we all know those people who walk into a room and light it up! One person in a bad mood will have the opposite effect.

A challenge for managers is to channel human behaviour in positive directions that support the aims of the organization.

A. The Importance of Human Behaviour

One of the most important assets of an organization is its human resources – the people who do the work.

The way people behave reflects the image of the organization and is a major factor in its success or failure. The best organization structure and the best financial, management and technical systems will be useless unless there are capable people who are willing and able to implement these systems.

B. Chapters in this Guidebook that cover Human Behaviour

Effective Work Behaviour
- Conflict Resolution
- Effective Meetings
- Time Management
- Ethics
- Teamwork
- Doing a Good Job

Communications
- Communicating Effectively
- Reporting and Analysis
- Making Effective Presentations
- Negotiation

Supervision
- Leading People
- Motivation
- Employee Feedback

C. How May the Guidebook Help You Influence Human Behaviour?

How can we positively influence the behaviour of employees in an organization?

This will depend on the nature of the organization. Is it newly formed where you can start doing things in good ways from the first step? Or, is it an organization that has existed for many years and employees do things the same way they have for years?
The Water Impact Booklet

Tessie’s Frustration

The new general manager held a staff meeting and asked for ideas to improve the utility. Each person contributed an idea – except for Tessie, the manager of customer service. “Come on Tessie – I am sure you have some good ideas”. Tessie would not speak and started to become upset. “Tessie – what is the matter?” Nervously, Tessie said this: “When I was younger and became the manager, I had ideas to improve that I suggested to the general manager. He told me that he was not paying me to think, he was paying me to do what he told me to do. Ever since then, I have kept my ideas to myself.”

This example about Tessie shows that people consider the consequences as they decide how to behave. The normal case is: You keep doing the work you have always done in the same manner in order to please your boss or to gain a certain benefit. Maybe you have learned that by doing it this way you will not get into trouble. Why should you think of changing your behaviour in a new way that might be risky?

On the other hand, some people are more inclined to bring about change, challenge the status quo and innovate to benefit the organization.

Good leaders understand, appreciate and accommodate these different attitudes and behaviours. They encourage positive behaviour and discourage negative behaviour.

Training is one way to build effective behaviour. Can training alone influence human behaviour? The simple answer to this question is “No”: people are not willing to adopt new ideas and to change the way they do things unless they are sure that there will be positive consequences.

This means that when we ask people to change their behaviour it will take place more readily if we show them the expected benefits - and the lack of negative consequences. Leadership has a dual obligation: they must point out the benefits of changing behaviour and at the same time they must show appreciation when people change their behaviour to the positive side.

Due to the importance of these concepts, we have dedicated this section of the Guidebook to “Human Behaviour”. This section provides ideas for improving human behaviour - proven ideas that can bring about positive changes very quickly. It takes little time to learn about holding Effective Meetings, and it costs nothing to do them. Yet, you may find the benefits to be great.

Each of those chapters includes basic concepts, self analysis, the successful experience of others, lessons learned, activities to help you improve human behaviour in your organization and links for more information on the subject.

D. Chapter Summaries

Conflict Resolution: The history of the human race is full of conflicts – between countries, groups and individuals. When conflicts arise, it makes sense to resolve them so that things can proceed smoothly. There are techniques to systematically resolve conflicts in your work and personal life. Conflict is not always a bad thing – it can often help an organization find a better way to proceed.

Effective Meetings: How often do we go to meetings that drift from the agenda, take too long and accomplish too little? People can learn how to prepare, conduct and follow-up that will help meetings accomplish objectives. Meetings that respect time, stick to the agenda, and bring about interactive participation are the meetings that people take seriously, enjoy and find useful.

Time Management: Time is a valuable resource. Time management refers to a range of skills, tools and techniques used to manage this resource that you can use as you work. You may be better able to manage your time if you: Plan, set goals, prioritize, delegate, organize, monitor, schedule and adopt management by results.

Ethics: Can you imagine how life might be without ethical principles like honesty, fairness, transparency, accountability, credibility, responsiveness and equity. Related to governance principles, this chapter provides guidelines for establishing or improving the ethical behaviour of people in your organization.
Teamwork: Together Everyone Achieves More – but how often do we work individually and forget the benefits of teamwork? The chapter provides ideas for building teams and encouraging teamwork.

Doing a Good Job: People who are actively engaged, motivated and skilful do things well and this means that they do a good job. This chapter discusses the benefits of doing a good job and provides tips to employees for improving their performance in a general manner.

Communicating Effectively: We communicate to let people know what we think or feel and to understand what others think or feel. This can be a challenge because so much of communication is non-verbal. The success of organizations today is closely linked with the ability of people to communicate effectively. This chapter shows how to improve communication practices.

Reporting and Analysis: Management reporting is a core component of management control. It measures the results, compares them to goals and relays this important information to different levels in the organization. Accurate and timely reports help managers make effective plans and decisions. They help an organization hold people accountable for the results of their actions.

Making Effective Presentations: How often have you listened to someone make a presentation that helped you go to sleep? Or one in which you could hardly read the slide because there were too many words on it? There are simple rules to follow to make sure that when you make a presentation, the audience pays close attention to what you say.

Negotiation: Managing an organization involves working with many different stakeholders who may have different and sometimes even conflicting values, goals and views. We need a way to maintain harmony and bring people together. Negotiation is a way to do that. It takes preparation and effective skills across the negotiating table – and there are mistakes to avoid.

Leading People: Where would we ever be without leaders? Think for a moment: what if there were no community leaders to represent the people? What would happen in a battle without a general? How would you know what to do today without direction? Leading people is an essential ingredient for an organization to successfully fulfil its mission – and leadership is more of an art than a science. Most successful leaders share the same traits and behaviours and they have a high level of commitment.

Motivation: Motivation is a drive that inspires people in groups or individually to accomplish an activity and do it as perfectly as possible. A person may have the ability and skills to perform but due to low or no motivation, he does not optimise his skills and abilities for the organization. Investing in motivation may lead to positive behaviour among staff.

Employee Feedback: None of us does everything perfectly all the time. We make mistakes – or we do not do as well as we could. One of the important roles of a supervisor is to give feedback to people – pointing out things they have done well and those that they have not done so well. These discussions may be about behaviour or about the quality or timeliness of their work. The intent of feedback is to help an employee develop and improve.

E. How to Benefit from the Human Behaviour Section

Each chapter has an analysis section that poses questions to get you thinking about how your situation compares to the basic concepts. If you find that your situation can improve, we suggest that you consider the activities.

Each activity is designed to illustrate effective human behaviour and provide a learning experience. You can do these activities on your own or you can do them in a group. Most of the activities lend themselves to discussion. Encourage people to talk freely and bring in those who are reluctant to participate.
Good Practices
Introduction to Good Practices

“It has seemed to me important to examine consecutively the lengths of channel of each aqueduct in its several parts and in detail. This is because the maintenance of the works is the most important part of the duties of this office and it is necessary that whoever is placed in charge of them should know which of them are in need of having money spent on them.”[1]

If you work in the water industry, this quote will sound familiar. You may be surprised to know that it was written by the manager of the water system of the City of Rome in the year 90 C.E. – over 1900 years ago.

If you visited the manager of the Rome, Italy water system today, there is a good chance he would say the same things. It is an on-going challenge to keep a water system in good working order. Sometimes, the more things change, the more they stay the same. But some things do change: the current manager surely has computers, laboratories to test water quality and machinery to maintain the works.

There are always new challenges, technologies and opportunities. Organisations that face challenges, adopt new technologies and take advantage of opportunities prosper. Those that maintain the status quo stay the same or decline.

People are never perfect. Neither are organisations. And life is a journey – not a destination. We never finish. We can always be better.

This introduction also covers the topic of Continuous Improvement – the ways that organisations always seek to be better.

I. GOOD PRACTICES

A. Why are Good Practices Important to Consider?

Good practices are those that other organisations have applied successfully to their benefit. If you do not do these practices now, you may also benefit, if you implement them later.

Using good practices shows people that you are doing the best you can to operate and manage your organisation. These practices will help you improve performance and provide better service to your customers.

B. Good Practice Chapters in this Guidebook

The 21 Good Practice chapters cover a wide-ranging set of topics – from safety standards to forming a water association to service levels to customer service to water loss reduction. These chapters are listed below:
Human Resources
- Human Resources Management
- Training
- HIV/AIDS

Quality Assurance
- Performance Management
- Quality Management
- Minimum Service Standards

Operations Management
- Health and Safety
- Crisis Management
- Standard Operating Procedures
- Business Process
- Serving the Poor
- Non-revenue Water Management
- Private Sector Participation
- Water Demand Management
- Information and Communications Technology

Commercial Management
- Customer Service
- Revenue Generation

Enterprise Sustainability
- Capital Management
- Financial Management

External Relationships
- Water Associations
- Public Involvement

C. Chapter Summaries

The themes of the Good Practice chapters follow:

Human Resources Management: Employees are valuable assets to any organisation – without them an organisation cannot function. Yet many organisations neglect to nurture and develop their human resources and suffer as a result.

Training: There are always new things to learn and your workforce is always changing as older, more experienced people retire and younger, inexperienced people join you. That is why training is a continuous process – employees need to know how to do the jobs that you have assigned to them and keep up with new technologies.

HIV/AIDS: In many countries in Africa, this health crisis affects the ability of organisations to accomplish their purposes. There are things that management can do to help control the spread of HIV/AIDS and offer support to employees who are affected by it.

Performance Management: Some organisations assign people to jobs, tell them the basic requirements of the job and leave it at that. This is not enough. Since we are all learning all the time, we can all benefit from advice on how to do better. In addition, people who have goals to achieve will normally do more than people who do not have these expectations.

Quality Management: Quality usually does not happen by itself – it is usually the result of deliberate management actions to ensure that an organisation’s products meet the needs of its customers and stakeholders. This chapter introduces various ways to manage quality.

Minimum Service Standards: to ensure that customers receive the best services possible, many organisations establish minimum standards and monitor performance to ensure that they are met. This is especially true in the water industry where water quality is so important to public health.

Health and Safety: When employees are injured, they are not able to perform at their top capability – the organisation loses. Besides, we have moral obligations to take care of each other. Creating and maintaining a safe working environment is a moral obligation and helps sustain an organisation.

Crisis Management: When a crisis arrives it is too late to do much about it – and the crisis may have severe consequences for your organisation and your community. By preparing ahead of time, your organisation will be much better prepared to respond effectively.

Standard Operating Procedures: There are the ways that people have always done things and then there are the better ways. Many organisations establish standard operating procedures to ensure that employees are working in the best ways possible.
Business Process: A business process is a coordinated set of actions that deliver value to customers. Often processes evolve informally and can be the cause of bottlenecks or inefficiencies. This chapter shows how to analyse and improve business processes.

Serving the Poor: The objective of most water systems is to satisfy a basic human need. Yet often, the poor do not have service – if they had it they would have a chance to escape the chains of poverty, malnutrition and disease.

Non-revenue Water Management (NRW): Many countries have high non-revenue water due to physical water losses and the administrative losses that result from water theft or inadequate record-keeping. Reducing NRW is important to the long-term sustainability of a water utility.

Private Sector Participation: Many organisations focus on their core services and employ the private sector to provide other services. This may prove cost effective and yield better results.

Water Demand Management: This approach means deliberately taking steps to control the amount of water usage within a utility as well as encouraging customers to use water wisely.

Information and Communications Technology: Technology advances so fast that it can make you dizzy. But technology is responsible for many improvements in the ways that we work and communicate and there are ways to manage technology to have what you need.

Customer Service: Customers are the life blood of any organisation – their demand for services and payments keep an organisation alive. Providing good service to customers, then, just makes sense if you want your organisation to survive and thrive.

Revenue Generation: Most organisations survive because they are able to charge their customers for services and cover their costs. Water utilities are the same – while many of them are government operated, they usually have user-based fees so that people pay their fair share for what they use. Without revenues, water utilities are not able to survive.

Capital Management: A well-maintained asset will be productive for many years and provide a high return on investment. Neglected assets often fail long before their expected useful lives expire. And capital assets are normally expensive – so it makes good sense to manage them effectively.

Financial Management: Most organisations survive because they are able to provide good products to their customers at affordable prices. This does not happen by accident – financial management is one of the key aspects to make this happen.

Water Associations: Many industries have trade associations and this is also true of the water industry. Associations thrive because they bring value to their members in terms of sharing experiences, helping each other, training and standards to name a few. Most of the world’s great associations began with the efforts of a few people.

Public Involvement: The actions of many organisations affect the public – as well as customers. The public can support an organisation or it can be its worst enemy. There are ways to develop and keep public support by involving the public appropriately in decision-making.

D. Other Good Practices

The Impact Guidebook chapters do not cover each and every good practice or concept that exists in the world. The chapters do cover topics that we believe are essential for water utilities. There are other topics that may be useful. This section discusses some additional topics that you may want to investigate.

Social Environment: The ways that people in your organisation work together and form supportive relationships is a factor in your success: if the social environment is a positive one, you will be more likely to succeed; if it is negative, you may find it difficult to make progress.

Knowledge Management: Every day, people in your organisation create information and knowledge that is vital to its survival and sustainability. There are ways to make sure that you capture, store, analyse and use the
II. CONTINUOUS IMPROVEMENT

Continuous Improvement is a commitment to be the best you can be. It is an approach to sustain an organisation long into the future.

People who practice Continuous Improvement share some fundamental beliefs and practices. They:

• Accept change as a fact of life
• Learn all the time
• Apply what they learn
• Encourage creativity
• Listen to ideas
• Put resources to best use
• Fix the problem – not the symptom
• Believe in being the best they can be

Continuous Improvement includes learning from our experiences and finding better ways to do things through innovation.

A. Continuous Improvement Techniques

Business publications promote many techniques for improvement. Here are samples of some popular techniques:

1. European Foundation for Quality Management (EFQM)
   “For the past twenty years we have shared what works between our member organizations as a way to help them implement their strategies: a mission which is as important as ever.”[2] “EFQM is the recognized leader in promoting and supporting the implementation of Sustainable Excellence.”[3]

2. Total Quality Management (TQM)
   “TQM has focused attention on the creative potential of human beings and their ability to improve the work that they do.”[4] Dr. W. Edwards Deming developed the TQM approach. He gained fame from his work with the Japanese after World War II. His famous “14 points” appear on the Activity sheet at the back of this chapter.

   “Total quality management (TQM) is a management philosophy that seeks to integrate all organisational functions (marketing, finance, design, engineering, and production, customer service, etc.) to focus on meeting customer needs and organizational objectives. TQM empowers the total organisation, from the employee to the CEO, with the responsibility of ensuring Quality in their respective products and services, and Management of their processes through the appropriate process improvement channels.”[5]

3. Reengineering
   “Reengineering encourages managers and employees to rethink what they do and how they do it as a means to achieve an advantage.”[6]

   In planning, this means that you look at what you do now to see if it is right for the future. In budgeting, you give people the resources they really need rather than spending money on things that will not make a positive difference.

   In reengineering, you look closely at current procedures and workflows. You document them. Then, you look closely to find bottlenecks and ways to streamline. If you have never done this, you may find a lot of ways to improve. One organisation, looking at its procedures found this one: “Make a copy before you throw anything away.”

   In reengineering, you also look at things from the customer’s point of view. You may think that you give good customer service but you may be surprised at what you find if you “pretend” to be the customer: Call the main number and see what happens. Visit your own website and see what happens. Follow the steps that a customer might take at your offices and see what happens.

4. Benchmarking
   In Benchmarking, an organisation compares itself to other organisations in its industry to find ways that it might improve its performance. Sometimes, benchmarking is not a perfect method because it is very hard to find two organisations that are exactly the same in
terms of size, functions, challenge, etc. Nevertheless, looking at how other organisations perform and how they do it can be a source of good ideas for improvement.

5. International Organisaton for Standardization (ISO)

Many organisations are using the resources of the International Organisaton for Standardization (ISO) that promotes standardization and certification of best practices.

“ISO 9000 is primarily concerned with “quality management of ... all those features of a product (or service) which are required by the customer.

ISO 14000 is primarily concerned with what the organisation does to minimize harmful effects on the environment caused by its activities.”[7]

“ISO 9001:2008 provides a set of standardized requirements for a quality management system, regardless of what the user organisation does, its size, or whether it is in the private, or public sector. It is the only standard in the family against which organisations can be certified – although certification is not a compulsory requirement of the standard.”[8]

These standards as well as the ISO for Utilities Series (24510, 24511 and 24512) are discussed more fully in the Quality Management chapter.

B. Continuous Improvement Benefits

Continuous improvement enlivens an organization and puts it on the path to excellence. It can have many benefits:

• Lower cost and higher productivity
• Improvement projects build and reinforce teamwork
• Better service = happier customers = better revenue collection
• Happier employees are more productive employees. They are less likely to leave for another job. This stabilizes the workforce

C. Resources

Be inquisitive. If you face a challenge, go to the Internet and find examples of how other organisations have faced this challenge. You will surely find a lot of very good information that you can customize to your own situation. But like anything in print: use your best judgment when you review information – not everything on the internet is accurate.

The Good Practices section of this guidebook includes many ideas and approaches to apply for improved performance in any organisation.

Two of the approaches that you can investigate on the Internet are Balanced Scorecard and Six Sigma. These fairly new techniques are both designed to help organisations find ways to improve.

Organisations use the Balanced Scorecard approach “to align business activities to the vision and strategy of the organisation, improve internal and external communications, and monitor organisation performance against strategic goals.”[9] It balances 4 major business areas: financial performance, customer needs, employee growth and internal business processes.

“Six Sigma” is a disciplined, data-driven approach and methodology for eliminating defects … in any process - from manufacturing to transactional and from product to service.”[10]

D. Lessons Learned

“We are what we repeatedly do. Excellence, then, is not an act, but a habit.”[11] Excellence is doing a thousand small things well.

When you see the benefits of improvement, you may be ready to charge ahead. That’s a great attitude! But please remember to balance workload: if you try too many things at one time, you may never do any of them well. In planning, you can allocate time and resources to the projects that will do the most good.
From year to year, people propose new ideas. Sometimes new ideas come and go – like a fad. Sometimes, they have staying power because they work – they draw out ideas for improvement.

If you try every new management fad and abandon it soon after, employees will find it hard to take you seriously – even when you find the right one. Pick good approaches and stay with them. Avoid change for the sake of change – this confuses people and has little benefit.

Whatever technique you use, the basic idea is the same: to maintain excellence, organisations always look for ways to do things better.

E. Taking Action

Continuous improvement is a philosophy. The first step is to convince your governing body and top management to adopt this philosophy. You will need their support to get the benefits of continuous improvement.

Research Internet websites with information on continuous improvement. You will find a lot of information. Check with your industry association.

Next, talk to your managers. Will they accept Dr. Deming’s “14 Points”? Try the activity in this chapter on “Dr. Deming’s 14 Points”.

Action Checklist
Continuous Improvement

- Adopt the continuous improvement philosophy.
- Get commitment to this philosophy from governing body and top management.
- Research approaches to continuous improvement over the Internet or through your industry association.
- Review related chapters in this guidebook:
  - Strategic Analysis
  - Planning Ahead
  - Management-by-Results
  - Delegation
  - Human Resources Management
  - Training
  - Compensation and Rewards
  - The chapters in the Human Behaviour Section
  - The chapters on Good Practices
- Identify ways to improve.
- Implement them.
- Celebrate successes!

References

### Dr. Deming's 14 Points Activity

**Instructions**

Read Choice A and Choice B. Put a check mark in the box that describes the way things are in your organization.

If you check “5”, this means that your organization is very like Choice A.

If you check “1”, this means that your organization is very like Choice B.

Check “4”, “3”, or “2” to show how close your organization is to Choice A or Choice B.

Here is the approach that we take:………..

<table>
<thead>
<tr>
<th>#</th>
<th>Choice A</th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
<th>Choice B</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>We are always looking for ways to improve.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>We do things the same way we have always done them.</td>
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<tr>
<td>2</td>
<td>We are in a new age... we must learn.</td>
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<td></td>
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<td></td>
<td>The things that happen in the world do not affect us.</td>
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<tr>
<td>3</td>
<td>Quality is important to all of us.</td>
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<td></td>
<td></td>
<td></td>
<td>Someone else worries about quality.</td>
</tr>
<tr>
<td>4</td>
<td>We look for cost effective alternatives.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>It is not my job to worry about cost.</td>
</tr>
<tr>
<td>5</td>
<td>We always try to improve quality and productivity.</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>We just want to get our work done.</td>
</tr>
<tr>
<td>6</td>
<td>We have a good training programme.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>We do not have a training programme.</td>
</tr>
<tr>
<td>7</td>
<td>We have a lot of great leaders.</td>
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<td></td>
<td></td>
<td></td>
<td>The top man rules.</td>
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<tr>
<td>8</td>
<td>Fear is not a part of our workplace.</td>
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<td></td>
<td></td>
<td></td>
<td>A lot of us are afraid of making mistakes.</td>
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<tr>
<td>9</td>
<td>We break down barriers when we find them.</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>When we meet a barrier we stop.</td>
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<td>10</td>
<td>We focus on what is important.</td>
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<td></td>
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<td></td>
<td></td>
<td>We get confused a lot.</td>
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<td>11</td>
<td>We lead by example.</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>Our leaders say one thing and do another.</td>
</tr>
<tr>
<td>12</td>
<td>We are proud of our work.</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>We just want to get our pay and go home.</td>
</tr>
<tr>
<td>13</td>
<td>We try to improve our organization and ourselves all the time.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>It doesn’t matter if I improve or not.</td>
</tr>
<tr>
<td>14</td>
<td>Everyone here participates.</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>A few people run things here.</td>
</tr>
</tbody>
</table>

**Scoring**

<table>
<thead>
<tr>
<th>Total Answers in each column</th>
<th>5</th>
<th>4</th>
<th>3</th>
<th>2</th>
<th>1</th>
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<td>Times</td>
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<td>Equals</td>
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<tr>
<td>Sum of numbers in previous row</td>
<td></td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Perfect Score is</td>
<td>70</td>
<td></td>
<td></td>
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</tbody>
</table>

You may use your answers for to find ways to improve. If you score less than 50, please consider doing this.
Every person on this planet needs water every day and each of us gets it in some way – although it is easier for some than it is for others...

Quality water is essential for public health and the health of the environment. In some places, water quality is better than in other places. Poor quality water that makes people sick, or harms the environment prevents people – and countries – from prospering. The challenge of providing reliable water services grows every day as more and more people join us on this planet.

How shall we meet these challenges and face these realities?

There are so many answers – financial, technical, managerial, political and social. It is probably fair to say that we have often depended too heavily on technical solutions and infrastructure. We are starting to understand that this is not enough. No one solution will make everything work well. The ways in which we manage water sectors or water utilities are a part of the solution – and the skills and motivation of people can make the difference between success and failure.

The IMPACT Guidebook is a contribution to the body of knowledge of how to establish, improve and maintain effective organizations – especially those in the water sector, written by people in the Africa and Middle East North Africa regions for people in these regions and elsewhere in the water sector.