

# SUBJECTIVE INSTITUTIONAL PERFORMANCE DESCRIPTIONS

/	Organisational Autonomy & Power	\
Legislative Framework		Management & Administration
Technical Capability	<b>- Leadership -</b>	Maintaining and Developing Staff
Commercial Orientation		Consumer Orientation
\	Organisational Culture	/

# Leadership

*Very low*  
1

*Low*  
2

*Medium*  
3

*High*  
4

*Very high*  
5

Provides clear sense of mission; involves people with mission; gets people excited about mission, believing in it	
Serves as a positive role model, hard-working, demonstrates competence, is visibly interested in work, balances people needs with organisational needs	
Shows sense of dynamism, enthusiastic, has an active 'can do', problem-solving attitude	
Demonstrates personal integrity, instils sense of integrity in others, balances personal ambition with organisational needs	
Is oriented towards producing results which move work towards meeting objectives	
Identifies clear performance standards both at institutional and personal level and is strict but fair; gives positive and negative feedback where due	
Visits staff at all levels of the organisation and all districts on a regular basis	
Listens as well as instructs	
Has sufficient operational and technical knowledge to inspire trust	
<b>TOTAL Leadership</b> (total scores/9)	

# Organisational Autonomy

Organisational autonomy is the degree of the institution's independence from government. Although still subject to necessary regulatory control and political oversight, the institution requires independence so that it can carry out its affairs and meet its responsibilities in an effective manner with minimum bureaucratic or political interference and controls by other organisations or departments.

Adequate organisational autonomy is necessary for the success of water and sanitation institutions.

Sets own organisational objectives and changes them as necessary to provide guidance and direction in achieving the objectives of the organisation	
Prepares annual capital and operating budgets linked to revenues and needs; successfully obtains approval for budgets	
Establishes and implements levels of tariffs and service charges sufficient to meet capital and recurrent costs	
Maintains control over all revenue generated	
Establishes and maintains staffing levels sufficient to meet needs	
Employs, discharges, disciplines and promotes personnel within established and approved guidelines according to institutional needs	
Establishes levels of employee compensation including salaries and benefits sufficient to attract and maintain capable staff	
Top management is well informed about external policy, financial and regulatory issues and actions	
Top management maintains direct contact with the key individuals in all important external entities	
<b>TOTAL Organisational Autonomy</b> (total scores/9)	

# Management & Administration

Effective management is demonstrated by the capacity to get the most out of the resources available (human and other) in a deliberate or planned manner. Good managers have a clear sense of objectives and priorities; they know who to rely on to get a job done and how to delegate to them the means to do it. An effective management climate is characterised by teamwork, cooperation and good communication among staff.

Managers have a clear sense of their own and other's roles and responsibilities	
Managers communicate roles and expectations clearly to others and involve them in defining their roles and responsibilities; they promote teamwork	
Managers know how to plan and delegate to achieve tasks	
Managers regularly set goals with staff and have a sense of priorities	
Departmental/section objectives and performance indicators are clear and understood by staff and are achieved at the desired level of quality	
Staff are held accountable for getting work done according to agreed performance indicators	
Managers trust their subordinates	
Managers seek to innovate and develop new ways of achieving their objectives, through technical and managerial means	
Managers have agreed responsibility and authority levels (including signing for payments)	
Administrative systems for budgeting have been developed and are regularly used	
Administrative systems for accounting for all assets have been developed and are regularly used	
Administrative systems for procurement and inventory management have been developed and are regularly used	
Administrative systems for personnel and staff development have been developed and are regularly used	
An effective Management Information System has been developed and is regularly used	
Technical information is routinely shared among planning, design, construction and operational units	
<b>TOTAL Management and Administration</b> (total scores/15)	

# Commercial Orientation

Commercial orientation is the degree to which actions in an institution are driven by cost effectiveness and operating efficiency. The performance of an organisation should be guided and disciplined by a strategy to achieve financial self-sufficiency at an appropriate stage of growth. This commercial orientation can be viewed at both operational and policy levels. At the policy level, commercially-oriented institutions structure and stage investments, expenditures and revenues to achieve financial equilibrium annually. At the operational level, everyday activities are guided by quality standards and by constant attention to cost factors. The institution strives to establish a reputation as a financially well-run business in the eyes of its consumers (to promote the payment of tariffs) and in the financial and political community in order to obtain financial support for growth and to maximise financial and operating autonomy.

The institution achieves a yearly balance between expenditures and revenues. Revenues may be partly drawn from subsidies which are phased out according to a planned schedule or have been assured by Government for very low income users	
Tariffs include payment for capital expenditure through depreciation of fixed assets (amortization of loans)	
Budgets are set according to negotiated priority levels for quality	
Expenditures are monitored against agreed budgets	
There are annual, published, audited financial records	
Staff actions throughout the institution are guided by cost effectiveness as well as quality standards	
Staff belief in a commercial orientation and think of their service function as a business	
Economic and financial feasibility is calculated for all projects and other institutional activities	
Services are 'contracted out' which can be run more efficiently by private enterprise or community organisations	
<b>TOTAL Commercial Orientation</b> (total scores/9)	

## Consumer Orientation

Consumer orientation is organising and directing the services and output of the organisation towards the demands and desires of the consumer or customer. Staff of a successful WATSAN institution see serving consumers as their primary function. All work, all programmes and projects are directed towards greater efficiency, effectiveness and equality of service to all consumers. Every effort is made to inform and educate customers about the role of the institution and the means it is using to achieve its (the customer's) objectives.

Staff at every level demonstrate that they are oriented towards serving consumers; when observed their decisions and actions are clearly driven by what is best for the consumer	
There are identifiable mechanisms for consumers to interact with key areas of the institution over important matters (for example, accessible district offices, emergency telephone hotline, bill disputes, service problems)	
There is clear evidence that the institution responds to complaints, emergencies and suggestions which consumers make	
There are identifiable, ongoing and effective measures to inform and educate consumers about institutional services and requirements	
The institution makes efforts to invite and encourage an effective level of consumer participation	
There are concerted efforts made to project a positive image of the institution to the consumer	
Efforts are made to ensure accessible services to all levels of the public	
Tariffs and/or charges are designed to be fair and equitable and understandable and affordable and payable for all levels of the public	
Consumers are also seen as customers - who pay the bills and thus the salaries	
The level of complaints from the public is relatively low	
<b>TOTAL Consumer Orientation</b> (total scores/10)	

# **Legislative Framework**

Every services utility or institution has to work within the framework of a country's political choices, as demonstrated by the legislation passed by politicians to define the institution's roles and responsibilities. This legislative framework needs to assist and guide in a positive manner rather than hinder and restrict negatively.

The institution has clearly defined responsibilities and authority	
There is an effective regulatory framework	
There is legislative framework for ensuring tariffs are maintained at suitable level	
There is a political will to ensure adherence to legislative framework	
There is a clearly defined disconnection policy for non payment	
National legislation promotes appropriate technical choice for public health	
Local bye-laws promote appropriate technical choice for public health	
Legislation allows for community/consumer involvement in public health	
Legislation allows for private sector involvement in public health	
There are effective methods open to the institution to seek to adapt its legislative framework as its operating environment changes	
<b>TOTAL Legislative Framework</b> (total scores/10)	

## Organisational and Staff Culture

Organisational culture is the set of values and norms which inform and guide everyday actions which translate into behaviour which can be observed. Although often unstated, an organisation's culture serves as a powerful means of defining and justifying organisational operations either in positive or negative ways. The organisation with a positive culture has a clear sense of mission and identity. People are seen as the most important asset.

An observable team spirit exists among the staff	
People express a sense of ownership and pride about working that is expressed in statements such as 'this is a good place to work'.	
There is a clear commitment to the organisational goals at all levels of the staff; people feel involved in and informed about the institution's activities	
The commitment to personal goals is demonstrated by individual's support for the organisational goals	
Staff believe they are trusted in the organisation with responsibility and authority	
Staff are committed to improving their skills and knowledge and attitudes; people are interested in learning new things and new ways of doing things	
Line managers are committed to and involved in the development of their staff	
The organisation provides adequate salaries and incentives to maintain and motivate staff	
Active systems are in place for providing ongoing formal and informal feedback to personnel about job performance	
Individual corruption to the detriment of the organisational team is seen as unacceptable	
A clear system exists for hiring qualified personnel and firing or disciplining staff when necessary	
Staff place a value on maintaining the facilities of the organisation, for example the offices, treatment plants and grounds, sign boards, so they look clean, well maintained and attractive	
<b>TOTAL Organisational and Staff Culture</b> (total scores/12)	