



Entrant Handbook

Catalyst Stream

Version 1, 3 October 2022



Delivering in partnership:



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Introduction

About this handbook

Welcome to the third round of the Water Breakthrough Challenge (**Breakthrough 3**) Entrant Handbook for the Catalyst stream. This document, alongside the [terms and conditions](#), will provide you with all the information you need to enter the Catalyst stream of Breakthrough 3. Information about the Transform stream can be found in the [Transform Entrant Handbook](#). The handbook includes the following information:

- background to the Ofwat Innovation Fund ('the Fund'), including Breakthrough 3;
- information about the Catalyst stream, who can enter and how;
- what is required to take part in the Catalyst stream; and
- what support is on offer for entrants to the Catalyst stream.

All entrants should read this handbook along with the full terms and conditions, which are the rules entrants are required to agree to before entering the Transform stream.

We have also created a list of [frequently asked questions](#) (FAQs), highlighting information from this handbook and other resources to answer the most commonly asked questions about the Fund and previous Breakthrough rounds. If you have read the handbook and the FAQs and have more questions, please contact the team at waterinnovation@challengeworks.org.

To aid entrants who have entered in previous rounds, we have highlighted material changes to this entrant handbook (excluding dates) since the previous round in green.

Ofwat Innovation Fund overview

Ofwat has established a £200 million Innovation Fund to help the England and Wales water sector to grow its capacity to innovate and enable it to better meet the evolving needs of customers, society, and the environment.

Ofwat launched the Fund as a pilot in November 2020 and delivered three competitions as part of the pilot period – the Innovation in Water Challenge, the Water Breakthrough Challenge, and Water Breakthrough Challenge 2. Following a review of the pilot period (summarised in the [End of Pilot Report](#)) and [a consultation](#) launched in April 2022, Ofwat has unveiled how the Fund will evolve post-pilot, as set out in the July 2022 [summary decision document](#).

The Water Breakthrough Challenge is an integral part of the Fund. Through this competition, we aim to support ambitious water company¹ initiatives that demonstrate bold new

¹ In this document, reference to a 'water company' means a water and/or sewerage undertaker holding an appointment under Chapter 1, Part 2 of the Water Industry Act 1991.

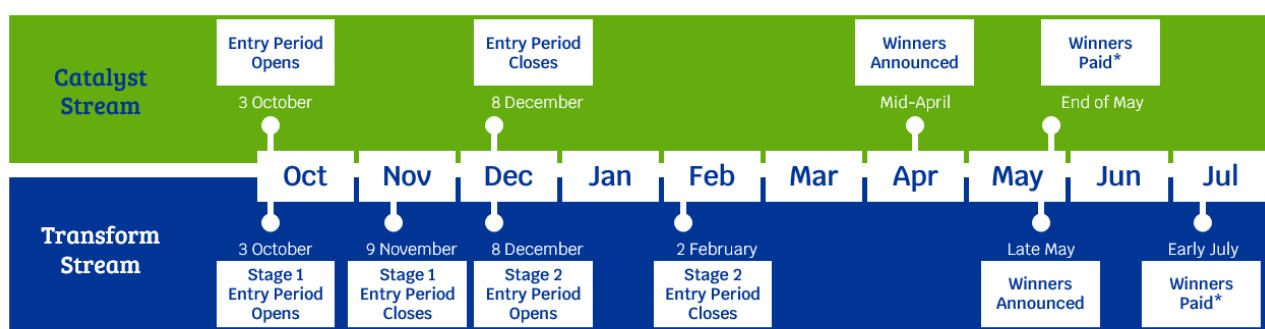
approaches to innovation, going beyond the sector’s business-as-usual innovation practices, and that can create significant value for customers, society, and the environment.

The Water Breakthrough Challenge (Breakthrough 3) comprises two streams; Catalyst and Transform.

The **Catalyst stream** aims to encourage new ways of working that go beyond business-as-usual innovation practices in the water sector, in particular, increasing and improving collaboration and building partnerships from within and outside the water sector. Approximately £8 million is available for entries seeking funding from £150,000 up to £2 million.

The **Transform stream** aims to spark ambitious innovation and enable new approaches and ways of working, equipping the water sector to address the big challenges facing the sector, driving far-reaching and long-lasting benefits to customers, society and the environment across England and Wales now and into the future. Approximately £30 million is available for entries seeking funding between £2 million and £10 million².

If you are a water company, or are working in partnership with a water company, the amount of funding you are seeking should determine which stream of Breakthrough 3 you enter.



* Subject to water company payment timelines

For more information on the Fund, please visit [our website](#).

² Subject to certain conditions, Ofwat is open to accepting entries bidding for greater than £10 million. Please see the Transform Entrant Handbook for more details.

Breakthrough 3 delivery partners

The Fund is being delivered collaboratively by Ofwat together with Challenge Works, supported by Arup and Isle.



Ofwat is the Water Services Regulation Authority for England and Wales. [Read more about Ofwat's duties on their website.](#)



[Challenge Works](#) (the new name for Nesta Challenges) exists to design and run challenge prizes that help solve pressing problems that lack solutions. We shine a spotlight where it matters and incentivise people to solve these issues. We are independent supporters of change to help communities thrive and inspire the best-placed, most diverse groups of people around the world to take action. We support the boldest and bravest ideas to become real and seed long-term change to advance society and build a better future for everyone. We are part of the innovation foundation, [Nesta](#).



[Arup](#) is an independent professional services firm of designers, planners, engineers, architects, consultants, and technical specialists



[Isle](#) is a global team of independent scientists, engineers, business and regulatory experts with a common drive to make a positive environmental, social and economic impact through the advancement of innovative technologies, solutions and practices.

About the Catalyst stream

The **Catalyst stream** aims to encourage new ways of working that go beyond business-as-usual innovation practices in the water sector, in particular, increasing and improving collaboration and building partnerships from within and outside the water sector. Approximately £8 million is available for entries seeking funding from £150,000 up to £2 million.

Timeline & key dates

The Catalyst stream of Breakthrough 3 uses a streamlined, single-stage entry process, proportionate to the risk and value of entries being submitted.



* Subject to water company payment timelines

Entries to the Catalyst stream open on **3 October 2022 at 12 noon (BST)**, and they close on **8 December 2022 at 12 noon (GMT)**. Following the closing date, entries will be checked for eligibility and assessed.

A diverse portfolio of shortlisted entries that best meet the relevant assessment criteria (detailed in [Entry questions, assessment criteria, weighting, and guidance](#)) will then be shared with an independent judging panel for its review.

The judging panel will convene in March 2023. The judging panel will recommend to Ofwat a diverse portfolio of entries for funding that they consider best meet the relevant assessment criteria and have the potential to deliver tangible positive benefits for customers, society, and the environment. Ofwat will then make the final decision on whether to award funding.

Further details on the selection process can be found in [The entry process](#) below. If you are successful in winning funding, you can expect to be notified by mid-March 2023.

What you can win

Through the Catalyst stream, there is approximately £8 million total funding available for successful entries. Individual entries to the Catalyst stream can request between £150,000 to £2 million in funding.

As such, we expect to receive entries into the competition with a total financial cost of from £165,000 to approximately £2.2 million, inclusive of the 10% mandatory financial contribution (see [Entry requirements](#) for more detail below).

Intellectual property rights (IPR)

To receive funding from Breakthrough 3, you will need to agree to the IPR conditions within the terms and conditions.

The terms and conditions set out the default position on IPR and also provide an opportunity for entrants to propose alternative IPR arrangements. In respect of either of the options, you will be required to answer questions on your IPR proposals.

Default IPR Position

For the purpose of the default position on IPR, the terms and conditions differentiate between general background IPR and specific background IPR.

Specific background IPR is background IPR which has been specifically identified in the entry and is such background IPR that may be licenced on terms including a royalty and/or other appropriate forms of remuneration.

We recognise that specific background IPR may require adjustment during the delivery of your entry, and therefore, the terms and conditions allow for the possibility of later designation at Ofwat's discretion.

General background IPR is any and all background IPR that is not specific background IPR. In your entry, you will be asked to set out how this arrangement will not result in restricted benefits to customers of water companies and to confirm that, ultimately, any additional costs to customers in respect of charges for the use of background IPR will represent value for money for customers.

In all instances, you must set out how and why you consider that the proposal or the process by which you may charge future users is fair, reasonable, and non-discriminatory. We recognise that it may be more difficult to provide this information for initiatives that are at an early stage of development. Where this is the case, you should clearly state what information you can and cannot provide at the point of submitting your entry and why.

More details are set out in [section D of the unassessed entry questions](#) below.

Alternative IPR Proposals

In setting out alternative IPR arrangements, you must be able to meet the following conditions:

1. The entry will not result in restricted benefits to all customers of water companies; and
2. Demonstrably, the alternative arrangements will not result in additional costs to customers.

Ofwat will consider on a case-by-case basis whether these conditions have been met.

Regarding all options available, you will be required to answer questions on your IPR proposals. We may seek further clarification on these proposals following the submission of your entry.

Entry requirements

There are four eligibility criteria in the Catalyst stream of Breakthrough 3, detailed below;

- lead entrant;
- funding requested;
- financial requirements; and
- terms and conditions.

Lead entrant

The lead entrant to Breakthrough 3 must be one of the [licensed regional water only and water and wastewater companies or new entrant water and wastewater companies \(NAVs\)](#) in England and Wales. We strongly encourage lead entrants to enter Breakthrough 3 in partnership or consortia.

For the Catalyst stream, partners other than the lead entrant can submit the entry form on Submittable.

Funding requested

Through Catalyst, the minimum amount of funding that can be requested from the Fund is £150,000, and the maximum that can be requested is £2 million.

Financial requirements

Only 90% of each entry's financial costs will be provided by funding from Breakthrough 3. Entry partners must provide the remaining 10% as a mandatory 10% financial contribution. We do not consider that customers should bear all the risk of initiatives funded through the competition and believe this encourages strong project management. Entry partners have the flexibility to decide how the remaining 10% is funded, as long as it is not funded by charges to water customers in England and Wales. There is no requirement for this contribution to be shared equally between partners. Entry partners may also consider how they could bring funding from other sources.

Entrants need to specify the source of funds for their contributions in the entry form. We welcome any additional financial and/or non-financial contributions beyond the minimum 10%. Non-financial contributions should be excluded from the total financial cost of the entry.

We are open to initiatives that have successfully secured additional external public or private funding. Entrants must confirm that there is no duplicative or double funding and that they

are not restricted by their current funding source when applying for additional and alternative funding through this Fund.

Terms and conditions

All entry partners must agree to abide by the terms and conditions.

What we are looking for

Areas for innovation

We are looking for your ideas that address the big challenges facing the water sector – guided by our four strategic innovation themes (below). We aim to fund a wide range of entries that will showcase a diverse mix of innovative ways of working and solutions.

Our four strategic innovation themes are:



1. Responding and adapting to climate change, including how to meet the sector's ambition of net-zero carbon, zero waste and zero leakage.



2. Protecting and enhancing the environment and natural systems to protect current and future customers from the impacts of extreme weather and pollution.



3. Delivering long-term operational resilience and understanding infrastructure risks to customers and the environment, finding solutions to mitigate these in sustainable and efficient ways.



4. Testing new ways of conducting core activities to deliver the services customers and society need, expect and value both now and in the future.

These themes have been updated since the second round of the Water Breakthrough Challenge. We no longer explicitly reference open data or vulnerability in the themes – however, both would be implicit in theme 4 (and others), and both would easily be a means to fulfil this theme.

We have published more detailed policy statements on Ofwat's position around [Open Data](#) and [customer vulnerability](#) since the start of the Ofwat Innovation Fund. We believe that the breadth of the broader theme allows for greater freedom in proposing improved ways of working and could deliver greater benefits.

While no longer explicitly referenced in the themes, enabling activities are still very important to drive innovation in the sector and have a key role to play in helping the Fund achieve its

outcomes. We invite entries in this important area as they will support the Fund’s ambition to embed innovation practices and knowledge within water companies (and the sector) for the long term.

We have identified a number of **innovation enablers** that will be particularly critical to growing and sustaining the water sector’s capacity to innovate. The Fund will consider supporting initiatives that demonstrate and further strengthen these enablers, including but not limited to:

- **Collaboration**: building and strengthening collaboration and partnerships across companies, the supply chain and outside the water sector.
- **Openness**: to sharing data, insights, and ideas within the water sector and with other sectors. All projects supported by the Fund should use an “open by default” approach to data and learning.
- **Adaptability**: flexibility and openness to trying out new ways of working.
- **Innovation risk management**: delivering value from all innovation projects, particularly more experimental projects, even if they fail.
- **Scalability & deployability**: improving the ease of scaling up and rolling out of proven innovations within the sector.
- **Long-term view**: taking both a longer-term and broader perspective to better meet the evolving needs of customers, society, and the environment.

Characteristics of entries

Entry Delivery Timelines

We are open to a wide range of project delivery timelines, from delivery periods of less than a year to multi-year periods which continue beyond 2025. There is no requirement for project delivery to be completed within the current asset management plan (AMP) period.

We expect entries to the Catalyst stream that are awarded funding to start within six months of being notified of the award, but we recognise that especially complex entries may require a longer mobilisation period.

Approach to Risk

We are seeking truly innovative entries and encourage water companies to adopt an open risk appetite within their Fund entries, supported by strong risk management with a clear plan to share data and learning regardless of the outcome. We recognise that some projects may not deliver the expected direct benefits, but by taking risks and sharing learning across the water sector, customers will stand to benefit.

Entrants should be able to recognise and respond appropriately to issues and opportunities as they arise. This may include:

- Taking decisions about how to adjust delivery if the initial benefits can no longer be realised.
- Adopting an approach of ‘early failure’.
- Thinking widely about possible benefits from their initiative.

- Considering how learning and insights from the delivery of their initiative can best provide value across the sector.

Monitoring and risk management

Entrants will be asked to provide information on their approach to risk in their entry. Entrants will be responsible for:

- Managing delivery and reviewing progress against milestones.
- Adapting delivery to realise the intended impact most efficiently and effectively.
- Sharing significant changes to delivery with Ofwat and its delivery partners.

Ofwat and its delivery partners will monitor the progress of successful entries, including seeking updates at delivery milestones. The monitoring and involvement of Ofwat and its delivery partners will be proportionate to the size and risk of initiatives. In all cases, winning entrants will be responsible for reviewing progress and deciding the best course of action for their entry to deliver its intended impact.

In exceptional circumstances, Ofwat and its delivery partners may intervene if we have concerns that a project is moving materially away from delivering on its intended impact or if there are any concerns about misuse of funds.

Entry value and delivery costs

Entrants to the Catalyst stream can bid for between £150,000 and £2 million.

We expect entries to demonstrate cost efficiency and good use of customer money, with a clear case for any costs included in the budget.

Reasonable costs are eligible to be funded, including dedicated staff time and fair associated overheads.

The budget, set out in the entry form, should be inclusive of inflation allowances and applicable taxes, which are not recoverable, reflecting the true costs of the initiative. Where taxes are fully recoverable, such as VAT, costs should be shown net of the recoverable amount. Taxes that are not recoverable should be included, for example, customs duties payable on goods imported into the UK.

Partnerships

We particularly encourage entries that involve partnerships and collaboration between water companies, including NAVs, as well as with organisations in the water sector supply chain and beyond.

- **If you are a water company, including NAVs** - you are strongly encouraged to explore opportunities for new partnerships and consortia, including by signalling opportunities for partnerships on your website and social media channels. You can partner with anyone you wish, including internationally - including other water companies, supply chain partners, new start-ups, SMEs, academia, local authorities, water companies outside of England and Wales, and water supply and/or sewerage retailers. You may also wish to review the supplier pitch videos hosted on our [Water](#)

[Innovation Directory](#). Please note that it's your responsibility to carry out any checks and due diligence on partners.

- **If you are not a water company** – Breakthrough 3 is an opportunity to reach out to one or more water companies to explore the possibility of working together, but you may also be interested in the new **Water Discovery Challenge** that will be launching in early 2023 where non-water companies will be able to enter without a partnership with a water company.

If you are new to the water sector, you may wish to email contact@waterinnovation2050.org.uk to get in contact with a water company about your innovative idea or solution. This central inbox is managed by an alliance of 19 UK water companies. We recommend you read their innovation strategy and prioritisation exercise, available on the [Spring Website](#), before contacting water companies to understand their innovation priorities. A full list of England and Wales water companies that can be contacted to explore new partnership opportunities can be found on [our website](#).

Entering the Catalyst stream

This section will outline everything you need to enter the Catalyst stream of Breakthrough 3, including:

- The entry process.
- Entry questions, assessment criteria, weighting, and guidance:
 - Eligibility criteria
 - Unassessed questions
 - Assessed questions
- Reasonable adjustments and accommodations

The entry process

Winning entries will be selected following the assessment process outlined below.

We have worked to ensure the entry process is as efficient and practical as possible, allowing for ease of access for all water companies, in particular smaller companies.

The steps of the entry process, detailed below, are:

- A. Entry period
- B. Eligibility screen
- C. Assessment
- D. Judging
- E. Ofwat Decision
- F. Award
- G. Feedback

A. Entry period

Stage 1 opens for entries on **3 October 2022 at 12 noon (BST)** and will close on **8 December at 12 noon (GMT)**.

We set out in the questions that should be answered, together with guidance on how to complete your entry in [Entry questions, assessment criteria, weighting, and guidance](#).

We will ask you to [register for a recording slot \(Zoom call\)](#) where a three-minute pitch from the entry team will be recorded. This will be used to aid the understanding of our assessors when reviewing your entry, and should be the same presentation that you would use if invited to present to judges. You will need to register for a recording slot no later than **25 November at 5 pm (GMT)**.

All entries must be submitted by **8 December at 12 noon (GMT)** using the online entry form available via [the website](#). Any entry partner can submit this form, but it must include the details of the lead entrant. The lead entrant will be asked to verify the entry is theirs and confirm they have accepted the terms and conditions during the eligibility screen.

The entry form is available here as [a Word document](#) to help you to develop and collaborate on your answers ahead of completing the online form. If entrants wish to work on more than one draft on the online entry form during the entry period, please contact waterinnovation@challengeworks.org for assistance.

Before submitting your entry, please ensure that:

- You and your partners have read and understood the Challenge [terms and conditions](#) and [privacy policy](#), including the [Ofwat privacy policy](#).
- Your entry is aligned with one or more of the four Ofwat strategic innovation [themes](#).
- You have followed good procurement principles, performed your due diligence on your partners and accept any risk and liability from going ahead with them.
- You and your entry partners have set out in your entry how a 10% minimum financial contribution will be provided for (at least 10% of total entry financial costs will be funded from sources other than the Fund).

Information you provide in your entry may be shared with our partners (including the judges and any due diligence providers) for the purpose of administering Breakthrough 3. For more information on how we use your data, please see the [privacy policy](#) and the [terms and conditions](#).

B. Eligibility screen

Entrants are required to meet the eligibility criteria as set out in the [Entry requirements](#).

When entries close, an eligibility screen will be conducted to ensure entries all meet the eligibility criteria.

For entries submitted by a partner other than the lead entrant, the lead entrant will be contacted by the delivery team to confirm the entry submitted is led by their organisation and that they agree to the terms and conditions.

If no response is received from the lead entrant during the eligibility screening period, the entry may be deemed to be ineligible to proceed and removed from the competition.

C. Assessment

All eligible entries will be assessed by assessors against each of the following three assessment criteria:

1. Positive impact for water customers, society, and the environment;
2. Innovation enablers and innovative solutions;
3. Capacity, capability, and commitment to deliver.

Scoring will be between 1 and 5 (5 being the highest). These scores are then weighted. The assessed entry questions, assessment criteria and weighting is set out in [Entry questions, assessment criteria, weighting, and guidance](#).

A moderation meeting will be held to discuss and recommend shortlisted entries to put forward to judges. This moderation meeting will ensure that all assessors opinions have been captured and a consistent view on the merits of each entry is provided.

Whilst scoring will form part of this process, in making its decision on whether to put forward an entry to judges, Ofwat will also consider the opinions of the assessors and will seek to ensure that a diverse portfolio of entries, in terms of entry themes, types, entrants and geographic location.

D. Judging

An [independent panel of judges](#) will review the shortlisted entries put forward through the assessment. The judging panel will review the entries individually, scoring the entries using the same criteria as the assessors. The judging panel will then convene to discuss entries and recommend to Ofwat which entries they agree best meet the assessment criteria and offer a diverse portfolio for funding.

In this round, we are trialling live pitches to judges in the entry process.

Entries that are shortlisted will be invited to repeat their submitted pitch recording live during the judging days **between 9 am and 5.30 pm (GMT) on 8 or 9 March 2023**. Following the live pitch, judges will have the opportunity to ask questions to the entry partners relating to their entries. Pitch slots to judges will be allocated to shortlisted entries no later than 7 March 2023, but where possible, we will endeavour to provide as much notice as possible. If teams are not able to attend the live pitch, their submitted pitch recording will be shown to judges in its place.

E. Ofwat Decision

Ofwat will make the final decision on which entries should receive funding. In making its decision, Ofwat will consider the views of assessors and judges on which entries best meet the assessment criteria and offer a diverse portfolio for funding.

Ofwat intends to publish this decision and its reasons for awarding funding. Ofwat will take account of entrants' preferences in relation to the confidentiality of their entries.

F. Award

Entries should expect to be notified if they have been successful in being awarded funding by the end of March 2023. Entries that are successful will receive a copy of their draft winner's agreement when they are notified. This winner's agreement will be adapted using the standard template, [available here](#). Winning teams will need to sign these agreements no later than 5 pm (BST) 28 April 2023 in order to be paid in late May 2023.

G. Feedback

After winners have been announced, high-level feedback will be provided to the main contacts and lead entrants of those entries that were unsuccessful, outlining why their entry has not been successful.

Feedback will be given against each of the three assessment criteria and, where relevant, provide guidance on areas of improvement against each of them. Scores provided by the assessors and the judging panel will not be included in the feedback. As mentioned above, scoring forms only a part of the overall assessment process.

Feedback will not be provided to winning entries.

Reasonable adjustments and accommodations

If there are any reasonable adjustments that would support you entering, catering for any additional needs you may have, please contact waterinnovation@challengeworks.org.

Entry questions, assessment criteria, weighting, and guidance

There are three types of entry questions in the entry form:

- **Eligibility criteria** - these are questions that will be used to determine eligibility.
- **Unassessed questions** - these questions are unassessed and will be used to manage your entry, support portfolio decision making, enable monitoring and evaluation of the Challenges and create publications and announcement materials if your entry is successful.
- **Assessed questions**
 - **General information** – these questions provide general information about the entry but are not assessed against the assessment criteria by the judges and assessors
 - **Criteria specific questions** – this section is assessed against the assessment criteria by the judges and assessors.

Eligibility criteria

Question	Question Guidance
Is the lead entrant a water company (including NAVs) in England and Wales?	Yes/No
Are all entry partners abiding by the terms and conditions of Breakthrough 3?	Yes/No
Do the entry partners commit to making a minimum 10% total financial contribution to this entry if it is awarded funding?	Yes/No
Is the amount of funding requested between £150,000 and £2,000,000?	Yes/No

Unassessed questions

The following unassessed questions are included in the entry form.

Question Category	#	Question	Question Guidance	Word Count	
A	Main Contact Details	i	Name of main contact detail	You must designate one person as the main contact. This person will be the primary point of contact with the Water Breakthrough Challenge team. This is the person who we will contact for all matters relating to your entry. Please ensure that the information provided below relates to the same person.	N/A
		ii	Main contact job title		N/A
		iii	Main contact organisation		N/A
		iv	Main contact's work email address(es).		N/A
		v	Main contact's work telephone number.		N/A
		vi	Details of communications lead	Please provide the name, email address, and telephone number of the person that will be responsible for coordinating any communications activities should this entry be successful.	N/A
B	Entrant Details	i	Name (s) of Partner Organisation (s)	Please provide a list of the legal name(s) of all partner organisations involved in this entry, excluding the lead entrant. Please also provide an email address for the lead contact at each partner organisation.	N/A
		ii	Which water company is leading this entry?	Please select the name of the lead entrant water company. The lead entrant must be one of the licensed regional water only and water and wastewater companies or new entrant water and wastewater companies (NAVs) in England and Wales.	
		iii	Please provide the mailing address of the lead water company.	This may be used for correspondence if the entry is successful.	N/A

		iv	Please provide the email address for the main contact for the lead water company.		N/A
C	Funding	i	What is the amount you are requesting from the Fund?	Please provide the value of funds requested from the Water Breakthrough Challenge in £ GBP in nominal (today's) prices, excluding any financial contributions.	
		ii	What is the value of your financial contribution?	Please provide the value of the financial contribution entry partners have committed to contribute to the entry if it is successful in being awarded funding in £GBP in nominal (today's) prices. The contribution should be no less than 10% of the total financial cost of the entry. Please exclude any in-kind contributions (these should be covered in Ciii).	N/A
		iii	What is the value of any in-kind contributions?	Please provide the value of any in-kind contributions (if quantifiable) from any source in £GBP in nominal (today's) prices.	N/A
		iv	What is the total cost of your project?	Please provide the total cost of the project in £GBP - including workstreams and funds not covered by the Water Breakthrough Challenge and any financial contributions but excluding any in-kind (non-financial) contributions. Please provide this in nominal (today's) prices. These figures should be inclusive of inflation allowances and applicable taxes, which are not recoverable, reflecting the true costs of the entry. Where taxes are fully recoverable, such as VAT, costs should be shown net of the recoverable amount. Taxes that are not recoverable should be included, for example, customs duties payable on goods imported into the UK.	N/A
D	Intellectual Property Rights	i	Does your entry align with the default position on intellectual property rights (IPR) as set out in section 4 of the terms and conditions?	Single Option: Yes/No	N/A

		ii	Default IPR	<p>Appears only if the answer to i. is Yes.</p> <p>Please explain how you will comply with the default position in section 4 of the terms and conditions, including detail of:</p> <ul style="list-style-type: none"> • whether the funded entry (i.e. that part funded by the Fund) is part of a wider project; Foreground IPR to be generated by the funded entry; • Background IPR that is necessary to use the Foreground IPR for the funded entry, clearly distinguishing between General Background IPR and Specific Background IPR; and • any other background IPR relating to the delivery of the project as a whole (i.e. not the funded entry). • what Background IPR and what Foreground IPR will be available. In answering this part, please include details of Foreground IPR, Background IPR that is necessary to use the Foreground IPR and (if appropriate) any wider background IPR that is related to the delivery of the project as a whole (i.e. not just the funded entry). • Please set out how your proposals will not result in restricted benefits to customers of water companies, and ultimately there will not be additional costs to customers. <p>For the purpose of Default IPR option, the terms and conditions differentiate between 'General Background IPR' and 'Specific Background IPR'.</p> <p>Specific Background IPR is Background IPR which has been specifically identified in the entry and is such Background IPR that may be licenced on terms including a royalty and/or other appropriate forms of remuneration. However, we recognise that Specific Background IPR may require adjustment during the project and therefore the terms and conditions allow for the possibility of later designation, at Ofwat's discretion.</p> <p>General Background IPR is any and all Background IPR that is not Specific Background IPR.</p> <p>Where you are seeking to designate Background IPR as Specific Background IPR, we expect you to include as much detail as possible in</p>	N/A
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				<p>your application relating to potential levels of royalties and/or other appropriate forms of remuneration that you or your partners intend to impose on the Water Companies (where these are known or can be proposed at this stage of the project), or the principles and, where possible, the mechanisms you or your partners may use to calculate these in future. In all instances you must set out how and why you consider that the proposals or the approaches outlined are fair, reasonable and non-discriminatory. We recognise that it may be more difficult to provide this information for projects that are at an early stage of development. Where this is the case, you should clearly state what information you can and cannot provide at the point of submitting your entry and why.</p> <p>In order to assess whether the proposed terms are fair, reasonable and non-discriminatory we expect you to provide information in your entry that demonstrates how the proposed royalties, remuneration and/or principles are:</p> <ul style="list-style-type: none"> • reasonable in light of market standard royalties or other remuneration; • no less favourable than the terms that you may offer to third parties; • in all cases, proportional to the funding contributed by Ofwat to the development of the relevant Foreground IPR; and • generally, in line with the principle that the Foreground IPR (and therefore the Background IPR required to use the Foreground IPR) must be used for the benefit of the customers of all water companies and present value for money for those customers. 	
		iii.	Alternative IPR	<p>Appears only if the answer to i. is No.</p> <p>Please set out your alternative IPR proposals and how they meet the following conditions:</p> <ol style="list-style-type: none"> 1. The entry will not result in restricted benefits to customers of water companies in England and Wales; 2. The alternative arrangements will not result in additional costs to customers. <p>In setting out how your proposals meet the criteria; answers must include the following:</p> <ul style="list-style-type: none"> • whether the funded entry (i.e. that part funded by the Fund) is part of a wider project; 	N/A

				<ul style="list-style-type: none"> • details of Foreground IPR to be generated by the funded entry, details of Background IPR that is necessary to use the Foreground IPR for the funded entry and details of wider background IPR relating to the delivery of the project as a whole (i.e. not just the funded entry); • What IPR will be available for the funded entry under the proposed alternative IPR provisions, and the customer benefits of that availability alone. • If the wider project Background IPR will be available what would the terms be? <p>Please include an assessment, including where appropriate a cost benefit analysis, as to how these terms are proportionate given the wider benefits to customers.</p> <p>Where your proposal does not align with the default position on IPR, Ofwat has the discretion to consider alternative IPR arrangements.</p>	
E	Confidentiality	i	Confidentiality of your entry	<p>Please list the question numbers in this entry form where you consider your responses contain confidential information.</p> <p>Where possible, we ask that you avoid including confidential information in your response to Questions Bi, Biii, Fx, 0.1 and 0.2. If you do include confidential information in response to these questions, please clearly identify it.</p>	N/A
		ii	Details of confidentiality of your entry	Please briefly explain why you consider your answers to be confidential in line with your response to Ei.	N/A
F	Monitoring & Evaluation	i	Anticipated start date	<p>Please state the date you anticipate your entry delivery to start.</p> <p>We expect entries awarded funding in Breakthrough 3 to start within 6 months of being notified of the award. However, we recognise that some entries may require a longer mobilisation period.</p>	N/A
		ii	Start date dependencies	Please briefly outline any key dependencies which may affect your anticipated start date, such as procurement and arrangement of other funding, etc.	N/A

	iii	Anticipated end date	Assuming you start on your anticipated start date, please state the date you anticipate your entry delivery being complete.	N/A
	iv	Project stage at start of entry	Dropdown project stages as set out in 8.1 Appendix 1 Project Stages. Please select the most relevant project stage that your entry will be at when it starts using Breakthrough 3 funding.	N/A
	v	Project stage anticipated at entry completion	Dropdown project stages as set out in 8.1 Appendix 1 Project Stages Please select the most relevant project stage that your entry will be at when it is complete.	N/A
	vii	Have the entry partners worked together with the lead entrant before?	Single Option: Yes, it's an existing partnership Yes, but we're partnering in a different capacity for the entry No, it's a new partnership	N/A
	viii	Please explain your answer to question vii above.	Please provide more details about the history of your partnership, including where you have worked together previously or how many partners are new to the partnership.	N/A
	x	Areas of entry implementation	Please list all the water supply and/or sewerage service areas where water customers will directly benefit from the successful delivery of this entry during the entry delivery. For areas outside of England and Wales, please include the area and country.	N/A
	xi	Have you submitted this entry into a previous round of the Water Breakthrough Challenge or Innovation in Water Challenge?	Yes/No	N/A
	xii	If you are resubmitting this entry following a previous competition round, please explain how your entry has changed?	Only appears if answer to xi is Yes	N/A
	xiv	Focus of entry	Is your entry predominantly focused on: a) Technology (including for example, physical assets, chemical processes, digital technology)	N/A

				<ul style="list-style-type: none">b) Something other than technology (including for example, business processes, new approaches, launching a venture or service design)c) A hybrid of technology with something other than technology	
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Assessed Questions

General Questions

These questions will do not relate to specific assessment criteria but will be used to aid the understanding of our judges and assessors when assessing your entry.

Assessment Criteria	#	Question	Question Guidance	Word Count
All	0.1	Entry title	Please include a short, unique and descriptive name to reference your entry.	N/A
	0.2	Entry description	Please provide a concise summary of your entry in jargon-free, plain English. This may be used in public-facing communications if the entry is successful, and should help a customer-facing audience understand what you propose to do and the benefits you hope to deliver	100
	0.3	Pitch recording	<p>Please sign up to record a 3 minute pitch for the technical assessors. If you are shortlisted for judging, you will be invited to present this same pitch live as part of the judging day</p> <p>The purpose of the pitch recording is to provide a video format explainer to help assessors and judges quickly understand your entry. Within this pitch, you should outline:</p> <ul style="list-style-type: none"> the problem it aims to address and what benefits it will have for customers, society and/or the environment if successful. As a guide, we suggest this should be around a quarter of your pitch. what is innovative about your entry. As a guide, we suggest this should be around a quarter of your pitch. what you intend to do within your entry, focusing on the activities you will undertake. As a guide, we suggest this should be around half of your pitch. <p>You are welcome to use slides or other visual aids within your recording.</p> <p>You may also upload any presentation/visuals you used in the pitch recording.</p>	N/A
	0.5	Entry visual and diagrams	Please feel free to attach up to 3 images and/or diagrams relevant to your entry. Please clearly reference these in your answers to questions. Please keep text to the minimum - no narrative text within these visuals or diagrams will be reviewed by assessors or judges.	N/A

Water Breakthrough Challenge Catalyst Stream Entrant Handbook

	0.6	Promoting Equality, Diversity and Inclusion within the team	To the extent that you are permitted to do so, please share with us any information on how equity, diversity and inclusion (EDI) is promoted and/or will be measured across your team and throughout the life of the initiative. Please do not provide any personal or confidential data in your response to this question, but we would welcome anonymous, aggregated data.	500
	0.7	Ensuring all customers benefit from innovation	Where relevant, please explain and demonstrate how you will include EDI considerations with regard to your customers. For example, how have you included a diverse range of voices and needs in the design of your entry, your business model and through the life of your project?	250

Assessment Criteria Questions

The following questions are included in the entry form, relating to assessment criteria as set out below.

1. Positive impact for water customers, society, and the environment

Under this assessment category, we will be looking to understand the benefits entries seek to deliver for customers, society, and the environment. Strong entries to Breakthrough 3 will be seeking to address a well evidenced, important need or opportunity in the water sector in England and Wales for water customers, society and/or the environment that aligns with one or more of Ofwat's four strategic innovation themes.

#	Assessment Criteria	Assessment Guidance	#	Question	Question Guidance	Word Count
1.1	Address a significant need or opportunity for customers, society and/or the environment	Strong entries will be able to articulate which significant need or opportunity the entry aims to address. Entrants should demonstrate a deep understanding of this need or opportunity; how it may develop in the future; the wider context in which it exists; and, how widely it is shared. Entrants should also showcase an understanding of the wider sector and demonstrate that their initiative addresses an unmet need.	1.1.1	What is the problem that the proposed entry is seeking to address for the water sector?	Please provide a short narrative summary of the customer, society and/or environmental need this entry aims to address and why it is significant to the water sector.	250
			1.1.2	What, if anything, has already been done to understand and address this problem, either by the entry partners or others?	Please provide a summary of any work to date undertaken to address this problem by you or others, detailing the key aspects of the problem that have not yet been addressed.	250

#	Assessment Criteria	Assessment Guidance	#	Question	Question Guidance	Word Count
1.2	Align with one (or more) of Ofwat’s four strategic innovation themes	Strong entries will be able to demonstrate how the outcomes and benefits have a direct or indirect impact on one (or more) of the four Ofwat strategic innovation themes. Entries must be clear on how these benefits will be achieved with a focus on the strength of alignment with the themes (rather than indirect or less tangible impacts on numerous themes).	1.2.1	Select which theme(s) your entry is impacting:	Please select the Ofwat theme(s) which are directly impacted through this entry. Please select from the list of themes 1 to 4 or Not Applicable. Theme most impacted Theme 2nd most impacted Theme 3rd most impacted Theme 4th most impacted.	N/A Dropdown
			1.2.2	How will this entry directly deliver better short and long-term outcomes against one (or more) of Ofwat’s four strategic innovation themes?	With particular reference to water and wastewater customers in England and Wales please provide a short narrative to set out how the outcomes, benefits and impacts of the entry proposes to directly impact and align with the Ofwat themes. We are interested in the strength of alignment rather than the number of Ofwat themes that are addressed.	250
1.3	Will, or could, be effective in addressing needs or opportunities for customers, society and/or the environment	Strong entries will be able to demonstrate the extent to which and how the entry will address the need or opportunity identified. Entrants will set out how the entry delivers impact and benefits to customers, society, and/or the environment in the short and long term.	1.3.1	How will your entry address the need(s) you have identified?	Please provide a short narrative detailing how the entry will address the need identified in response to criteria 1.1 and how it could benefit water company customers, society and/or the environment across England and Wales.	150
			1.3.2	What are the entry’s intended outcomes?	Please provide a bullet point list of the intended outcomes (what the entry hopes to achieve/accomplish at project completion) in the long and short term of the entry with particular reference to positive outcomes for water and wastewater customers in England and Wales. For example, an outcome may be that, by entry completion, a new approach will be accepted and brought into operations by all entry partner organisations using a new acceptance process developed within the entry.	250

#	Assessment Criteria	Assessment Guidance	#	Question	Question Guidance	Word Count
			1.3.3	Provide an explanation of how this initiative will achieve the intended outcomes by setting out SMART objectives	Please provide an explanation of how this entry will achieve the outcomes set out above (in 1.3.2) by providing SMART objectives. These objectives must be specific, measurable, achievable, relevant, and time-bound and set out what the entry aims to achieve/accomplish within the entry delivery period (ideally in bullet point format).	250
			1.3.4	What longer-term impacts and benefits will the entry provide for the water sector in England and Wales, once the project has been completed?	Please provide a narrative detailing the entry's wider benefits, both direct and indirect. This should include how it advances innovation in the water sector in England and Wales and why this should be invested in the water sector in England and Wales. Please quantify benefits where possible and provide a description of the approach used. Where possible set out any potential cost efficiencies, if any, that you expect this project to achieve that would benefit water customers and when you anticipate these to materialise.	200
1.4	Set out a realistic reflection of external risks and how the potential benefits to customers, society and the environment outweigh these risks.	<p>To be truly innovative we recognise that entries may have to take on external risks. We are open to entries that take these risks provided that these entries are impactful with potential for significant benefits.</p> <p>A strong entry will provide an honest and realistic reflection of the risks and opportunities for customers, society and/or the environment. It will set out clearly how the benefits of these entries balance the possible outcomes and inherent risks involved.</p>	1.4.1	Please set out the most significant external risks and how these have been considered and addressed in the development of the entry. Please state why this entry should be funded by demonstrating how the expected benefits justify the acceptance of these external risks.	<p>Please provide a short high-level narrative of the wider risks and uncertainties associated with the entry. This should not include direct delivery risks. We are looking for clarity on what is known and what is unknown/uncertain about achieving your outcomes; a clear understanding of key external risks (quantified where possible).</p> <p>We want to understand the most significant external risks of your entry and how have they been considered and addressed in its development. Please provide a summary of why this entry is worth funding which sets out the benefits (quantified where possible) and balance against these potential risks (quantified where possible).</p>	500

#	Assessment Criteria	Assessment Guidance	#	Question	Question Guidance	Word Count
		<p>It will provide articulation of how much is understood about its feasibility, uncertainties and known unknowns, and the range of possible scenarios or outcomes that may be achieved through the work. It will also set out what the entry can achieve in the event that these risks materialise, such as information sharing, to work towards achieving the ultimate outcomes.</p> <p>It will also set out what the entry can achieve in the event that these risks materialise, such as information sharing, to work towards achieving the ultimate outcomes.</p>			<p>Examples of external risks may include, for example, the risk that the solution is not taken up by the sector, long term viability, changes in longer term regulatory policy, failure to get public acceptance, risk of the solution failing to meet long term outcomes or issues around transition to business-as-usual operations. This should include the nature of any interaction with outcome delivery incentives (ODI).</p>	

2. Innovation enablers and innovative solutions

Under this assessment category, we will be looking to understand what is novel about the proposed approach and solution and how it could deliver a positive sector-wide innovation legacy. Strong entries will demonstrate how the proposed entry goes beyond the entrant’s business-as-usual approach to innovation and how it may draw inspiration and/or talent from other sectors.

This is both in terms of what the entrant proposes to deliver (innovative solutions) and how they propose to deliver it (innovation enablers). Innovation enablers are the innovative approaches the entry is proposing, which may include how entrants are working internally and externally with collaborators within and outside of the water sector for the benefit of water customers in England and Wales. Entries could include testing new ideas; adapting ideas or practices that have been established in other sectors; or adopting proven approaches that haven’t been tried at scale.

#	Assessment Criteria	Assessment Guidance	#	Question	Question Guidance	Word Count
2.1	Use innovative approaches and/or solutions which would not reasonably be expected to be funded as part of business-as-usual and/or develops innovative enablers which accelerates practice beyond business-as-usual	<p>Strong entries will clearly set out how the approach or solution is innovative in terms of how distinct it is from business-as-usual. This can include experimenting with new ideas, adapting ideas and practices from other sectors or adopting approaches at scale. Solutions may include better management of people and resources, systems or processes or technologies.</p> <p>Strong entries will also articulate how the initiative is innovative in its approach. This may include how entrants are working and sharing ideas with collaborators</p>	2.1.1	What solutions, technologies, practices, and/or insights are you intending to use?	Please provide a high-level summary of the solutions, technologies, methodologies, and insights proposed within this entry.	250
			2.1.2	How do you propose to deliver the project in an innovative way? What approaches, ways of working and other enablers of innovation are you intending to use when delivering the project?	Please provide a high-level summary of the approaches, ways of working and other enablers which are proposed in delivering this entry. These include collaboration, openness, adaptability, innovation risk management, scalability and deployability (for more detail on innovation enablers please refer to 4.1 above).	200

#	Assessment Criteria	Assessment Guidance	#	Question	Question Guidance	Word Count
		within and outside the water sector, new business practices and internal business operations, dissemination and use of the knowledge gained across the sector, partnerships, effective joint working and how entrants intend to embed innovation capabilities and skills developed through this initiative into entrants' business-as-usual.	2.1.3	<p>What is innovative about your entry?</p> <p>How are the solutions, technologies, practices, insights, approaches and ways of working better than what has been developed and/or deployed in the past?</p> <p>Why would the entry not reasonably be expected to be funded or developed as part of business-as-usual?</p>	<p>Please set out how innovative you consider your entry's approach is, including how much research, trialling or similar has been undertaken on it so far. Please provide a summary of how this approach is an improvement on what has been developed and/or deployed previously in the water sector.</p> <p>Please explain why the approach would or could not be developed as part of a water company's business-as-usual.</p>	700
2.2	Set out the potential for adoption at scale across the water sector.	Strong entries will either demonstrate how their solutions and/or approaches can be applied at scale or has the potential to be applied at scale in the future, to provide benefits across the water sector in England and Wales. Entrants with clear plans and pathways will detail how they have considered opportunities and challenges for roll out across the sector and/or how they are addressing barriers to future adoption at an early design stage.	2.2.1	<p>Following the successful delivery of this entry, how could it be further implemented at scale across the water sector in England and Wales and what steps will you take to enable this? What challenges and/or barriers to further implementation have you identified?</p>	<p>Please provide a summary of how the entry can provide benefits, address water sector wide needs, and/or be used to improve operations across numerous geographies, businesses, and scenarios.</p> <p>Please include a summary of potential challenges or barriers to applying or implementing the intended outcomes at scale.</p>	200

3. Capacity, capability, and commitment to deliver

Under this assessment category, we will be looking for a clear narrative, demonstrating strong evidence that the proposed entry is feasible and that appropriate resources and governance will be in place for its delivery.

[Entry Template](#)

#	Assessment Criteria	Assessment Guidance	#	Question	Question Guidance	Word Count
3.1	Show commitment to the entry	Strong entries will be able to provide evidence of commitment, especially at a senior level. This will include the extent to which partners have committed to supporting the entry as well as any additional resources or funding partners are providing.	3.1.1	Who are the senior sponsors and leaders involved in the entry, from the lead water company and partner organisations, and how are they engaged and invested in it?	Please provide a broad narrative around the engagement and investment of senior staff. In doing so, please reflect executive commitment to continuing the entry if delivery personnel were to change, as well as how senior leadership envisions it will impact and benefit their organisations' ambitions beyond technical improvements, for example through internal cultural change.	250
			3.1.2	What is the source of the mandatory 10% financial contribution?	Please provide an overview of the contributions each partner will be committing to the mandatory 10% financial contribution.	100 + Tab A
			3.1.3	Are any additional contributions, above the mandatory 10% contribution, committed to the entry from entry partners (including financial and non-financial)?	Please provide an overview of the contributions each partner will be committing to the entry beyond the mandatory 10% financial contribution. Non-financial contributions could include access to existing data, use of facilities, wider resources etc. Please reflect any contributions that can be financially quantified in Tab A of the Entry Template in addition to this narrative	250 + Tab A

<p>3.2</p>	<p>Will be delivered by a team with the relevant skills and experience</p>	<p>Strong entries will be able to describe the roles and responsibilities assigned to the entry participants. They will also be able to demonstrate that the team includes individuals with relevant skills/capabilities and experience to deliver the entry.</p>	<p>3.2.1</p>	<p>Please provide a description of the entry delivery team. Include team structure, roles, responsibilities, skills and experience.</p>	<p>Please provide a short description of the key team members involved in the entry, including from partner organisations, as well as their relevant skills and experience.</p> <p>Please include a short description of the roles and responsibilities assigned to each of the entry partners and how this will support the successful delivery. Please also indicate which partner organisation the team member belongs to. Where roles will be filled post-award, please describe the pre-requisite skills to fulfil the role and when the role is planned to be filled.</p> <p>Please upload an organogram detailing the structure of the entry delivery team (JPEG, PNG or PDF).</p>	<p>500 + Organogram</p>
<p>3.3</p>	<p>Set out a realistic and achievable programme</p>	<p>Strong entries detail the timeline of activities the entry is proposing and demonstrate that the entry has a realistic and achievable delivery plan and programme; with appropriately timed milestones and a proportionate monitoring plan for entry progress, which includes a plan for monitoring the benefits set out within category 1 'Positive impact for water customers, society and the environment'.</p>	<p>3.3.1</p>	<p>Please set out the major milestones and activities for the entry.</p>	<p>Please detail the phases of delivery of your entry, with details of the activities that will happen within each phase. Set out proposed milestones at the end of each phase and how you will determine if the entry has successfully met these milestones. These milestones should be proportional to the scale and risk of your entry. Please link these to the major entry delivery stages and phases for your entry.</p>	<p>250 + Tab B</p>
			<p>3.3.2</p>	<p>What project controls will be implemented?</p>	<p>Please provide a narrative describing what project controls will be implemented and how. This may include, for example, stage gates, go/no go decision process, reference to steering and technical groups.</p>	<p>175</p>
			<p>3.3.5</p>	<p>What is the monitoring plan for the delivery of the entry and its outcomes?</p>	<p>Please set out the proposal for monitoring project delivery progress, outputs, and outcomes. Please include how will you ensure the project benefits are managed.</p>	<p>175</p>

3.4	Demonstrate a realistic and considered costing which provides efficient use of customer funds	Strong entries will be able to demonstrate an efficient and realistic cost estimate and breakdown, a profile of this spend across the entry's life cycle, and what resources will be required to maintain the actions after delivery close-out. Entrants may also identify if other sources of funding or in-kind contributions are required to support this entry, detailing how and when this will be secured, as well as how different sources of funding will link together.	3.4.1	What is the breakdown of the entry costs, including the assumptions made? Please attach the completed budget template for your entry.	Please complete the Budget Detail template, Tab C of the entry template.	Tab C
			3.4.2	Other than that provided by any of the entry partners, what other sources of funding or in-kind contributions will be needed to support this entry?	If applicable, please set out any additional financial or non-financial resources required to complete the entry (outside the 10% contribution, the funding from the Ofwat Innovation Fund and additional contributions provided by the partners). Please also explain if the funding has been confirmed or when it would be confirmed.	300
3.5	Demonstrate a clear and proportionate approach to addressing risk	Strong entries will be able to demonstrate how they will continue to identify, and how they will quantify the addressable risks. Entrants will set credible plans for how these risks and opportunities are appropriately managed or mitigated. For example, entries should demonstrate an understanding of the circumstances in which the entry may need to adapt, pivot, or even stop if new evidence suggest alternative approaches might be more beneficial.	3.5.1	What are the risks and opportunities that have been identified for the entry and how will they be managed or mitigated?	Please complete the risk register template on Tab D of the Entry Template and outline up to 15 main risks for your entry. This may include any dependencies on partnership arrangements and procurement activities for example.	Tab D

Assessment criteria weighting

1. Positive impact for water customers, society, and the environment	Weighting
1.1 Address a significant need or opportunity for customers, society and/or the environment	8.33%
1.2 Align with one (or more) of Ofwat's four strategic innovation themes	8.33%
1.3 Will, or could, be effective in addressing needs or opportunities for customers, society and/or the environment	8.33%
1.4 Set out a realistic reflection of external risks and how the potential benefits to customers, society and/or the environment outweigh these risks.	8.33%
Total	33.3%

2. Innovation enablers and innovative solutions	Weighting
2.1 Use innovative approaches and/or solutions which would not be funded as part of business-as-usual and/or develops innovation enablers which accelerate practice beyond business-as-usual	22.2%
2.2 Set out plans for adoption at scale across the water sector	11.1%
Total	33.33%

3. Capacity, capability, and commitment to deliver	Weighting
3.1 Show commitment to the entry	6.66%
3.2 Will be delivered by a team with the relevant skills and experience	6.66%
3.3 Set out a realistic and achievable programme	6.66%
3.4 Demonstrate a realistic and considered costing which makes effective use of customer funds	6.66%
3.5 Demonstrate a clear and proportionate approach to addressable risk	6.66%
Total	33.33%

Requirements for successful entries

All participants in the Catalyst stream of Breakthrough 3 will be required to adhere to the full [terms and conditions](#) of participation. Please ensure that you and your partners have read and understood these before submitting your entry.

If your entry is selected to win, you will be required to sign a further agreement that will outline arrangements for monitoring and reporting based on your specific winning entry.

In particular, the key requirements of winners will include:

- **Use of funding:** Any funds awarded through Breakthrough 3 must only be used to fund the initiative described in your entry which must promote the objectives of Breakthrough 3 as set out within this handbook.
- **Open data by default:** Data, information and learning generated by the winning projects will be open by default (i.e. freely available for everyone to access, use and share). The exception to this would be sensitive data, which in this context would include personal data or data with security implications.
- **10% contribution:** All entries must include a minimum of 10% financial contribution to ensure customers do not bear all the risk of initiatives funded through Breakthrough 3 and to encourage good project management.
- **Monitoring and reporting:** We will need to monitor your progress - this may be through meetings, surveys, written reporting, or other reasonable requests for information. We will endeavour to keep this reporting proportionate to the relative size and risk of your entry.
- **Regulatory reporting:** Water companies will need to report spending against funding allowed in Ofwat's [Regulatory Accounting Guidelines tables – Table 9A](#). For regulatory reporting purposes, companies will need to report costs in 2017-18 CPIH deflated prices.
- **Intellectual property rights (IPR):** You should retain all rights in and to your background IPR, including where a bid involves more than one participant. However, an appropriate form of licence should be granted to all participants in any entry, which is the subject of an entry, for the sole purpose of the entry, to enable it to go ahead. Appropriate licenses for background IPR and foreground IPR should be provided to all current and future water companies in England and Wales.
- **Publicity:** We may use the names of the organisations and summaries of their proposals in publicity materials for Breakthrough 3. We also ask that you acknowledge our support in any public statements about the entry.
- **Conflicts of interest:** You (and any partners you work with) must take reasonable steps to manage any conflicts of interest with Ofwat, Challenge Works, Nesta or any of our delivery partners and judges. You must immediately inform Nesta if you become aware of any potential or actual conflict of interest and provide Challenge Works (part of Nesta) and Ofwat with all information reasonably requested in respect of such conflict.
- **Settlement Arrangement:** Payment of funds awarded through Breakthrough 3 will be settled through an agreed mechanism.

More information and support for your entry

If you have any questions, please review the [frequently asked questions](#). If you still have questions, please email us at waterinnovation@challengeworks.org.

We will be hosting two online sessions:

1. A webinar and Q&A session for potential entrants and partners to clarify their understanding of Breakthrough 3, hosted by the delivery partners and Ofwat. This will be held at 11.00 (BST) Wednesday 5 October 2022, and you can register on our website [here](#).
2. A workshop providing guidance on how to develop and write a strong entry, hosted by Science Practice, the entrant support partner for Breakthrough 3. You can find out more on our website [here](#).

Once these events have happened, recordings and transcripts of all of our public events will be hosted on [our events page](#).

Entrants are able to get one-to-one support with their entry by applying for an entry review and coaching. This support will be provided by the entrant support partner, Science Practice, for Breakthrough 3.

Full details of the support available and how to sign-up are available on [our website](#). This support is intended to help you develop entry writing skills and ensure your answers are clear answer the questions in line with the assessment guidance. Science Practice cannot provide any guidance on the initiative within your entry itself and will be acting independently of assessors.

We will also be running one-to-one surgery sessions for those who need support completing their entry, for example, if you are in need of any clarification on the entry process or the terms and conditions for both streams. The surgery sessions will be run by the Breakthrough 3 delivery partners.

Equality, Diversity and Inclusion (EDI)

To monitor the impact of and promote equality, diversity and inclusion (EDI), we need to collect relevant data and evidence. For the Water Breakthrough Challenge, this means:

- Entrants are asked to complete questions within their entry forms on how they will promote EDI within their teams.
- Where relevant, entrants are asked to demonstrate how they plan to include EDI considerations relating to their customers.
- Entrants are asked to participate in a post-entry survey.

EDI considerations are highly encouraged where appropriate in the proposal. Entries will continue to be assessed on their merit against the assessment criteria.

Feedback and Learning

If you have any feedback or concerns relating to Breakthrough 3, the Ofwat Innovation Fund or any of the winners of previous rounds, please feel free to reach out to us directly at waterinnovation@challengeworks.org or submit your feedback or concerns anonymously [here](#). We welcome and support feedback from entrants via email and via **entrant surveys** sent out after entering one of our competitions.

If you would prefer to contact Ofwat directly, you may do so by emailing innovation@ofwat.gov.uk. Ofwat also has a range of materials available relating to [whistleblowing](#) and [making a complaint](#).



**Water
Breakthrough
Challenge**

waterinnovation.challenges.org

Appendices

Appendix 1 Project Stages

Level	Description	Typical activities to be supported in this phase of maturity	Approximate Technology Readiness Level equivalent
1 Initial research	Understanding the problem and exploring possible solutions	Initial industry & market research, Problem investigation and analysis, gathering stakeholder requirements to create the value proposition, Early optioneering of solutions, technology concept/application formulation, risk/opportunity analysis and research	TRL 1-2
2 Concept and feasibility	Developing or testing a concept, designing the solution, and testing the feasibility of solutions	Innovation concept selection and early design, Testing/proving a concept, developing the initial prototype, Defining the approach to enable further detailed testing, and assessing the fundamental feasibility of solution(s) within controlled environments.	TRL 2-4
3 Development and verification	Developing the preferred solution, verifying the design through prototype demonstration in a real-world (or near real world) environment	On or off-site trials of the solution in a near-real or real-world environment, Design risk analysis, including Failure Modes Effects Analysis (FMEA) for future operation, approach to departures (how can we deploy the solution), Testing against operational requirements	TRL 3-6
4 Validation and optimisation	Scaling up the solution for roll-out or commercialisation	Identifying practical routes to market, development of training or education requirements, Large scale or late-stage testing (pilots), Fine-tuning to proven operational concepts, Benefits evaluation, review for approval and deployment, standards, or specification development for the innovation.	TRL 6-8
5 Deployment and post-launch	Implementing or rolling out the solution and assessing its impact	Roll-out and implementation, Standard/specification finalisation and publication, User training or education, Benefits testing and evaluation, Continuous improvement & lessons learnt for future development.	TRL 8-9

Appendix 2 Entrant Handbook Version Control

Version	Changes
Round 3 Version 1, published 3 October 2022	<p>Original Version for Round 3.</p> <p>Material changes from Breakthrough 2 are highlighted in green (excluding dates) throughout this version and include:</p> <ul style="list-style-type: none"> • Updates to IPR policy • Updates to eligibility and funding amounts • Updates to include live pitches in the entry process
Version 1, published 11 October 2021	<p>Original Version.</p> <p>Main changes from Breakthrough 1 Handbook:</p> <p style="padding-left: 40px;">Updates to key dates Introduction of streams Updates to questions and criteria for clarity and efficiency.</p>
Version 1.1, Published 12 October 2021	<p>Text changed to update funding amount to approximately £34 million for the Transform stream in Round 2.</p>