## 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.

The entry form must be submitted via [the online form](https://waterinnovation.challenges.org/breakthrough3/get-involved/); this document will not be accepted.

### Eligibility criteria

|  |  |
| --- | --- |
| Question | Answer |
| Is the lead entrant a water company (including NAVs) in England and Wales? | Yes/No |
| Are all entry partners abiding to 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 £2,000,000 and £10,000,000? If you wish to bid for less than £2,000,000, please enter the **Catalyst stream** | Yes/No |
| [If No] Have received approval to request an alternative amount? | Yes/No |

### Unassessed questions

The following unassessed questions are included in the entry form.

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| Question Category | # | Question | | Question Guidance | Answer |
| 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. |  |
| ii | Main contact job title |  |  |
| iii | Main contact organisation | This should be the lead entrant water company. |  |
| iv | Main contact’s work email address(es). |  |  |
| v | Main contact’s work telephone number. |  |  |
| 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. |  |
| 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. |  |
| iii | Please provide the mailing address of the lead water company. | This may be used for correspondence if the entry is successful. |  |
| 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). |  |
| 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. |  |
| 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 exclude any in-kind contributions which are financially quantifiable.   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. |  |
| D | Intellectual Property Rights | i | Does your entry align with the default position on intellectual property rights (IPR) as set out at section 4 of the terms and conditions? | Single Option: Yes/No |  |
| ii | Default IPR | Appears only if answer to i. is Yes.  Please explain how you will comply with the default position at section 4 of the terms and conditions, including detail of:   * 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.   For the purpose of Default IPR option, 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. 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.  General Background IPR is any and all Background IPR that is not Specific Background IPR.  Where you are seeking to designate Background IPR as Specific Background IPR, we expect you to include as much detail as possible in 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.  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:  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 | Appears only if answer to i. is No.   Please set out your alternative IPR proposals and how they meet the following conditions: 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.  In setting out how your proposals meet the criteria; answers must include the following:   * whether the funded entry (i.e. that part funded by the Fund) is part of a wider project; * 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?   Please include an assessment, including where appropriate a cost benefit analysis, as to how these terms are proportionate given the wider benefits to customers.  Where your proposal does not align with the default position on IPR, Ofwat has the discretion to consider alternative IPR arrangements. |  |
| E | Confidentiality | i | Confidentiality of your entry | Please list the question numbers in this entry form where you consider your responses contain confidential information.   Where possible, we ask that you avoid including confidential information in your response to Questions Bi, Aiii, Fx, 0.1 and 0.2. If you do include confidential information in response to these questions, please clearly identify it. |  |
| 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. |  |
| F | Monitoring & Evaluation | i | Anticipated start date | Please state the date you anticipate your entry delivery to start.  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. |  |
| 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. |  |
| iii | Anticipated end date | Assuming you start on your anticipated start date, please state the date you anticipate your entry delivery being complete. |  |
| iv | Project stage at start of entry | Dropdown project stages as set out in Appendix 1 Project Stages.  Please select the most relevant project stage that your entry will be at when it starts using Breakthrough 3 funding. |  |
| v | Project stage anticipated at entry completion | Dropdown project stages as set out in Appendix 1 Project Stages  Please select the most relevant project stage that your entry will be at when it is complete. |  |
| 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 |  |
| 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. |  |
| ix | **Stage 1 Only** Budget by partner | Please share an estimated breakdown of how the budget will be split between partners and any other third parties.  Where there are more than 4 partners, please list the partners in order of % costs, with details of the 4 largest partners and then group all other partners into “Other Partners”. |  |
| 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. |  |
| xi | Have you submitted this entry into a previous round of the Water Breakthrough Challenge? | Yes/No |  |
| 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 |  |
| xiii | **Stage 2 Only** Changes to entry since stage 1 | Beyond any additional detail you may have provided for this entry, is there anything else that has changed in your entry since you originally submitted your stage 1 entry? If so please summarise the key changes (e.g. new entry partners, change in programme, change in intended approach). | Please note this question has a 200 word limit |
| xiv | Focus of entry | Is your entry predominantly focused on:   1. Technology (including for example, physical assets, chemical processes, digital technology) 2. Something other than technology (including for example, business processes, new approaches, launching a venture or service design) 3. A hybrid of technology with something other than technology | a / b/ c |

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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 | Answer |
| 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 | Please note this question has a 100 word limit |
| 0.3 | Pitch recording | [Please sign up to record a 5-minute pitch](https://www.eventbrite.co.uk/e/water-breakthrough-challenge-transform-stream-pitch-recording-session-tickets-186964715497) 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  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:   * 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.   You are welcome to use slides or other visual aids within your recording.  You may also upload any presentation/visuals you used in the pitch recording here. | N/A – please book a pitch recording. |
| 0.4 | Entry references | Please feel free to include a reference list of any sources of information you have used to support your entry. |  |
| 0.5 | Entry visuals and diagrams | Please feel free to attach up to 5 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. |  |
| 0.6 | Promoting Equity, 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. | Please note this question has a 500 word limit |
| 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? | Please note this question has a 250 word limit |

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#### Assessment Criteria Questions

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

##### 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 Stage 1** | **Word Count Stage 2** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 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, demonstrating a deep understanding including 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 | 250 |
| Answer |  | | |
| 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 | 250 |
|  | Answer |  | | |
| 1.1.3 | What evidence is there to show that this is a problem for the water sector, and to evidence the problem’s scale? | Please provide a summary of the evidence on the scale of the problem; who shares the problem; and how it may change in the future. | N/A at Stage 1 | 300 |
| Answer |  | | |
| 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. | Dropdown | Dropdown |
|  | Answer |  | | |
| 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 | 250 |
| Answer |  | | |
| 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 | 150 |
| Answer |  | | |
| 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. | 200 | 200 |
| Answer |  | | |
| 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). | N/A at Stage 1 | 500 |
| Answer |  | | |
| 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. | N/A at Stage 1 | 200 |
|  | Answer |  | | |
| 1.4 | Set out a realistic reflection of external risks and how the potential benefits to customers, society and the environment outweigh these risks.    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.  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.  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.   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. | | 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. | 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).  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).  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), if relevant. | 500 | 700 |
| Answer |  | | |
| 1.4.2 | What benefits could the entry generate if it doesn’t achieve its intended outcomes? | Please set out a plan for benefit delivery in the event that the entry cannot meet its intended outcomes.  This plan should work towards achieving these outcomes and could, for example, include sharing information or the barriers to delivery. | N/A at Stage 1 | 200 |
| Answer |  | | |

##### 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 Stage 1** | **Word Count Stage 2** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 2.1 | Use innovative approaches and/or solutions which would not reasonably be expected to be funded as part of business-as-usual and develops innovative enablers which accelerates practice beyond business-as-usual | 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.  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 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. | 2.1.1 | 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. | 350 | 350 |
| Answer |  | | |
| 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). | 350 | 350 |
| Answer |  | | |
| 2.1.3 | What is innovative about your entry?  How are the solutions, technologies, practices, insights, approaches and ways of working better than what has been developed and/or deployed in the past?  Why would the entry not reasonably be expected to be funded or developed as part of business-as-usual? | 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.  Please explain why the approach would or could not be developed as part of a water company’s business-as-usual. | 700 | 1000 |
| Answer |  | | |
| 2.1.4 | Please provide detail on how this entry builds innovation capability or capacity for the water sector. | Based on the approaches, ways of working and other enablers of innovation set out in 2.1.1-2.1.3, please provide detail on how this entry can build the innovation capability or capacity for the water sector.  This should include a clear plan for the implementation and further dissemination e.g. sharing ideas within and outside the sector, joint working, new business practices, embedding innovation capabilities and skills developed through this initiative within entrant organisations.  This plan should include SMART objectives (i.e. be specific, measurable, achievable, relevant, and time-bound). | N/A at Stage 1 | 500 |
| Answer |  | | |
| 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 | 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?  **Stage 2 only:** How are you planning to address these through design and implementation of your entry? | Please provide a summary of how the entry can provide benefits, address water sector wide needs, and/or be used to drive improvements across numerous geographies, businesses, and scenarios.  Please include a summary of potential challenges or barriers to applying or implementing the intended outcomes at scale.  **Stage 2 only:** Please demonstrate how, as part of your work, you have considered and addressed these challenges and barriers through potential outcomes during delivery]. | 250 | 500 |
| Answer |  | | |
| 2.2.2 | How will outputs be scaled up and/or rolled out within the scope of the entry? What is your plan for implementation including identifying and addressing key barriers? | Please provide a clear plan of how the entry is intending to provide benefits, address water sector wide needs, or be used to improve operations across numerous geographies, businesses, and scenarios. | N/A at Stage 1 | 500 |
| Answer |  | | |

##### 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](https://waterinnovation.challenges.org/breakthrough3/get-involved/)

| **#** | **Assessment Criteria** | **Assessment Guidance** | **#** | **Question** | **Question Guidance** | **Word Count Stage 1** | **Word Count Stage 2** |
| --- | --- | --- | --- | --- | --- | --- | --- |
| 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. | 100 | 250 |
| Answer |  | | |
| 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 | 100 + Tab A |
| Answer | Please complete on Tab A at stage 2 | | |
| 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 B of the Entry Template in addition to this narrative | N/A at Stage 1 | 250 + Tab A |
| Answer | Please complete on Tab A at Stage 2 | | |
| 3.2 | Will be delivered by a team with the relevant skills and experience | 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. | 3.2.1 | Please provide a description of the entry delivery team. Include team structure, roles, responsibilities, skills and experience. | 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. 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.  **Stage 2 Only**: Please complete Tab E of the entry template | 500 | 500 + Tab E |
| Answer |  | | |
| 3.2.2 | How will delivery of the entry be governed and managed? | Please provide a description of how the entry will be governed, a contingency plan and how decisions will be made, and disputes managed. Please upload an organogram depicting the structure and governance of the entry delivery team (JPEG, PNG or PDF). | N/A at Stage 1 | 250 + Organogram |
| Answer |  | | |
| 3.3 | Set out a realistic and achievable programme | 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’. | 3.3.1 | Please set out the major milestones and activities for the entry. | 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. | 250 | 250 |
| Answer |  | | |
| 3.3.2 | What is the detailed programme for entry delivery? | Please complete the delivery programme template, tab B in the entry template.   Please provide a description of your phases and key tasks. Please provide clear milestones for each phase of the delivery in line with 3.3.1.  These milestones should be proportional to the scale and risk of your entry. Please link these to the major project stages and phases within your programme. As a minimum provide a milestone for each delivery phase. | N/A at Stage 1 | Tab B |
| Answer | Please complete on Tab B | | |
| 3.3.3 | Explain your project plan | Please set out a short description of the main work packages/ phases in your entry. This should include your approach to different phases in your programme, deliverables associated with each phase, the milestones and clearly link to the project programme set out in question 3.3.2. | N/A at Stage 1 | 400 |
| Answer |  | | |
| 3.3.4 | What project controls will be implemented? | 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. | N/A at Stage 1 | 350 |
| Answer |  | | |
| 3.3.5 | What is the monitoring plan for the delivery of the entry and its outcomes? | Please set out the proposal for monitoring project delivery progress, outputs, and outcomes. How will you ensure the project benefits are managed? | N/A at Stage 1 | 350 |
| Answer |  | | |
| 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. | N/A at Stage 1 | Tab C |
| Answer | Please complete on 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. | N/A at Stage 1 | 250 |
| Answer |  | | |
| 3.4.3 | Please provide a commentary on the justification and accuracy of the entry’s costs. | Entrants can describe how the budget has been developed including the source of the costs (e.g. competitive bidding) and any efficiencies gained from, for example, procurement processes.  Please also highlight any areas of cost uncertainty and how this has been mitigated in how the budget has been developed.  Please explain the basis for the level of contingency included in the cost estimate. | N/A at Stage 1 | 350 |
| Answer |  | | |
| 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, Tab D in the entry template. This may include any dependencies on partnership arrangements and procurement activities for example. | N/A at Stage 1 | Tab D |
| Answer | Please complete on Tab D | | |