Breakthrough 5 – Transform Stream

Editable Entry Form

# Unassessed questions

The following unassessed questions are included in the entry form to manage your entry. Unassessed questions are visible to assessors and judges, but they are not subject to scoring. As a reminder, all answers to the questions in this form are visible to assessors and judges, except the information provided in section A – Main Contact Details.

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| Question Category | # | Question | | Question Guidance | Transform Stage 1 | Transform Stage 2 | Entrant input |
| A | Main Contact Details | i | Name of main contact | 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. | Yes | Yes |  |
| ii | Main contact job title |  | Yes | Yes |  |
| iii | Main contact organisation | This should be the lead entrant water company. | Yes | Yes |  |
| iv | Main contact’s work email address(es) |  | Yes | Yes |  |
| v | Main contact’s work telephone number |  | Yes | Yes |  |
| vi | Details of communications lead | Please provide the name, email address and telephone number of the person who will be responsible for coordinating any external communications activities should this entry be successful. | No | Yes |  |
| B | Entrant Details | i | List of Partner Organisation(s) | Please list the legal name(s) of organisations involved in this entry, excluding the lead entrant.  The list should only include organisations formally committed to and involved in delivering the entry, as outlined in responses to assessment criteria 3.  Organisations providing informal endorsements should not be considered partners and therefore should not be included in this list.  *[Transform Stage 1 only]* Note: Information about named contacts will be requested for entries progressing to Stage 2.  *[Transform Stage 2]* Please also provide the name and email address of the lead contact at each partner organisation. | Yes | Yes |  |
| ii | Winner’s Agreement | Please confirm you have reviewed the [template Winner’s Agreement](https://waterinnovation.challenges.org/wp-content/uploads/sites/3/2024/08/Water-Breakthrough-Challenge-5-Transform-Winners-Agreement.docx), and the lead organisation will sign this if your entry is successful in receiving funding. | No | Yes |  |
| C | Funding | i | How much funding are you requesting from the Fund? | Please provide the amount of funds requested from the Water Breakthrough Challenge in £ GBP in nominal (today’s) prices, excluding any financial contributions.  Please use the calculator in Submittable to ensure the amount of funding you are requesting is a maximum of 90% of the total cost of the entry. | Yes | Yes |  |
| ii | What is the amount of financial contributions entry partners are committingfrom sources other than charges to water company customers? | Please provide the amount of the mandatory financial contribution entry partners have committed to contribute to the entry in £ GBP in nominal (today’s) prices.  The contribution must amount to a minimum of 10% of the total financial cost of the entry and cannot be funded by charges to water customers in England and Wales.  We welcome additional contributions beyond this minimum 10%. Please exclude any in-kind contributions (these should be covered in C vi (**not needed until Stage 2)**).  Please use the calculator in Submittable to ensure you are providing the 10% minimum contribution.  If you have any questions about the mandatory financial contribution, please [book a surgery session](https://calendly.com/waterinnovation/breakthrough-5-surgery-session-transform-stream) with the Breakthrough 5 delivery team. | Yes | Yes |  |
| iii | What is the amount of financial contributions entry partners are committing from charges to water customers, if any? | There is no requirement for entries to include additional financial contributions from charges to water customers. However, if any such contributions are included, please provide the amount here. | Yes | Yes |  |
| iv | What is the total cost of your entry? | Please provide the total cost of the entry in £ GBP in nominal (today’s) prices, including workstreams and funds not covered by the Water Breakthrough Challenge and any financial contributions from entry partners.  These figures should be inclusive of inflation allowances and applicable taxes which are not recoverable, reflecting the actual 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.  Please use the calculator above to ensure Civ = Ci + Cii (+C iii). | Yes | Yes |  |
| v | What is the source of the minimum 10% financial contribution? | Please provide an overview of each partner's contributions to the mandatory minimum 10% financial contribution towards the total cost of the project. As a reminder, this cannot be funded from charges to water customers in England and Wales. | No | Yes (100) |  |
| vi | 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. | No | Yes |  |
| D | Intellectual Property Rights | i | [Transform Stage 1 only]  Do you intend for your entry to comply with the Default IPR position, or to propose an Alternative IPR position?  [Transform Stage 2]  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: Default IPR/Alternative IPR* | Yes | Yes |  |
| ii | Default IPR | *[Appears only if answer to Di is Default IPR]*  Please explain how you will comply with the default position set out in 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 (see definitions below\*); * 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'.  General Background IPR is any and all Background IPR that is not 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.  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. | No | Yes |  |
| iii. | Alternative IPR | *[Appears only if answer to Di is Alternative IPR.]*  Please set out your alternative IPR proposals and how they meet the following conditions:   * The entry will not result in restricted benefits to customers of water companies in England and Wales; * 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. | No | Yes |  |
| E | Monitoring & Evaluation | i | Anticipated start date | Please state the date you anticipate your project will start.  We expect entries awarded funding in Breakthrough 5 to start within 6 months of being notified of the award. However, we recognise that some entries may require a longer mobilisation period. | Yes | Yes |  |
| ii | Anticipated end date | Assuming the project starts on your anticipated start date, please state the date you anticipate project delivery being complete. Please note this should include any dissemination activities as set out in your project plan. | Yes | Yes |  |
| iii | Project stage at start of delivery | *[Dropdown project stages as set out in Appendix 1 Project Stages in the Entrant Handbook.]*  Please select the most relevant project stage that your entry will be at when it starts using Breakthrough 5 funding. | Yes | Yes |  |
| iv | Project stage at end of delivery | *[Dropdown project stages as set out in Appendix 1 Project Stages in the Entrant Handbook.]*  Please select the most relevant project stage that your entry will be at when it is complete. | Yes | Yes |  |
| v | Which water cycle tag is the most appropriate for your project? | *[Dropdown water cycle tags]*  Please select the most relevant water cycle tag for your entry from [the water cycle diagram](https://waterinnovation.challenges.org/wp-content/uploads/sites/3/2024/04/Water_System_Diagram.svg). | Yes | Yes |  |
| vi | Which water cycle tag is the second most appropriate for your project? | *[Dropdown water cycle tags, including an N/A option]*  Please select the second most relevant water cycle tag for your entry from [the water cycle diagram](https://waterinnovation.challenges.org/wp-content/uploads/sites/3/2024/04/Water_System_Diagram.svg). | Yes | Yes |  |
| vii | Has this entry been submitted into a previous round of the Water Breakthrough Challenge? | Yes/No | Yes | Yes |  |
| viii | Please briefly explain how the entry has changed from the previous round(s). | *[Only appears if answer to the previous question is Yes]* | Yes | Yes |  |
| ix | 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). | No | Yes (200) |  |

# Assessed Questions

## General Information

These questions do not relate to specific assessment criteria but will aid the understanding of our judges and assessors when assessing your entry. Assessors and judges will review the answers to these questions but not score them against the assessment criteria. As a reminder, all answers to the questions in this form are visible to assessors and judges, except the information provided in section A – Main Contact Details. Please note: Answers to 0.1 (Entry title) and 0.2 Entry Description may be used for public-facing communication purposes.

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| # | Question | Question Guidance | Transform Stage 1 | Transform Stage 2 | Entrant input |
| 0.1 | Entry title | Please include a short, unique and descriptive name to reference your entry. This may be used in public-facing communications if the entry is successful. | Yes | Yes |  |
| 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. | Yes (80) | Yes (80) |  |
| 0.3 | Entry references | *[Optional]*  Please feel free to include a reference list of any sources of information you have used to support your entry. | Yes | Yes |  |
| 0.4 | Entry visual and diagrams | *[Optional]*  You can attach up to five images and/or diagrams relevant to your entry. Assessors and judges will not be able to review any narrative text within these visuals. Please clearly reference any visuals in your answers below. | Yes | Yes |  |
| 0.5 | Mainstreaming Equity, Diversity and Inclusion in your entry to benefit customers | Please outline how Equity, Diversity and Inclusion (EDI) will be incorporated in the design and delivery of your entry. This could be shown through the make-up of the delivery team and the adjustments you will make to your project delivery. For example:   * How will you ensure the representation of diverse voices and needs in the design of your entry? * How will you tackle accessibility challenges in the development of the entry’s outputs, e.g. software, build infrastructure, toolkits, etc.? * How will you integrate any wider EDI company policy in the entry’s delivery processes and ways of working?   Please do not provide any personal or confidential data in your response to this question, but we would welcome anonymous, aggregated data. | No | Yes (500) |  |
| 0.6 | Pitch recording | [Please sign up to record a](https://calendly.com/waterinnovation/breakthrough-5-pitch-transform-stage-2)  [5-minute pitch video.](https://calendly.com/waterinnovation/breakthrough-5-pitch-transform-stage-2) The purpose of the pitch recording is to provide a video explainer to help assessors and judges quickly understand your entry. Within this pitch, you should outline:   * The problem the entry 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 upload these in question 0.4 of this entry form. | No | Yes |  |

## Assessment Criteria Questions

The following questions are included in the entry form, relating to the assessment criteria below. Assessors and judges review and score the answers to these questions. As a reminder, all answers to the questions in this form are visible to assessors and judges, except the information provided in section A – Main Contact Details.

### Positive impact for water customers, society, and the environment

Under this assessment category, we are looking to understand the benefits entries seek to deliver for customers, society, and the environment. Strong entries will 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.

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| # | Assessment Criteria | Assessment Guidance | # | Question | Question Guidance | Transform S1 | Transform S2 | Entrant Input |
| 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. They should also showcase an understanding of the wider sector and demonstrate that their initiative addresses an unmet need.  *[Transform Stage 2 only]* Entrants should also provide evidence of the wider context in which the need or opportunity exists; how widely it is shared, and how it may develop in the future. | 1.1.1 | What is the need or opportunity your entry aims to address? | Please summarise the customer, society and/or environmental need this entry aims to address and why it is significant to the water sector in England and Wales. | Yes (250) | Yes (500) |  |
| 1.1.2 | What, if anything, has already been done to understand and address this need, either by the entry partners or others? | Please provide a summary of any work to date undertaken to address this need by you or others, detailing the key aspects of the problem that have not yet been addressed. | No | Yes (500) |  |
| 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. | No | Yes (300) |  |
| 1.2 | Will, or could, be effective in addressing these problems or opportunities | Strong entries will be able to demonstrate the extent to which and how they will address the need or opportunity identified for the sector as a whole. Entrants will set out how the entry delivers impact and benefits to customers, society, and/or the environment in the short and long term. | 1.2.1 | What is your proposed innovation, and how does it address the need or opportunity identified? | *[Transform Stage 1 only]*  Please summarise what type of project you are proposing (e.g. a desk-based study, laboratory testing, a prototype, a system, a process, a design, a product, etc.), how the entry will address the need identified in response to criteria 1.1, and how it will deliver better short and long-term benefits and outcomes against one or more of Ofwat’s four strategic innovation themes.  Note: Entries selected to progress to Stage 2 will be required to submit further information in questions 1.2.2, 1.2.3, 1.2.4 and 1.3.2.  *[Transform Stage 2]*  Please summarise what type of project you are proposing (e.g. a desk-based study, laboratory testing, a prototype, a system, a process, a design, a product, etc.), and how the entry will address the need identified in response to criteria 1.1. | Yes (300) | Yes (500) |  |
| 1.2.2 | What are the entry’s intended outcomes, including any knowledge or intellectual property which you intend to generate, and how will they benefit the wider sector? | 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, society and the environment 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; or the sector may better understand where or how an approach could be applied. | No | Yes (300) |  |
| 1.2.3 | How will this project achieve the intended outcomes? | Please explain how the project will achieve the outcomes set out in the previous answer by providing SMART objectives (ideally in bullet point format).  These objectives must be specific, measurable, achievable, relevant, and time-bound. They should set out what the project aims to achieve/accomplish within its delivery period. | No | Yes (500) |  |
| 1.2.4 | What longer-term impacts and benefits will the entry provide for the wider water sector once the project has been completed? | Please provide a narrative detailing the entry’s wider direct and indirect benefits. This should include how it advances innovation in the water sector in England and Wales.  Where possible, please quantify benefits and provide a description of the approach used. Set out any potential cost efficiencies that you expect this project to achieve that would benefit water customers, and when you anticipate these to materialise. | No | Yes (300) |  |
| 1.3 | 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). | 1.3.1 | Select which theme(s) your entry is impacting: | *[Dropdown list of Theme most impacted 1-4, or Not Applicable]*  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. | Yes | Yes |  |
| 1.3.2 | How will this entry directly deliver better short and long-term outcomes against one (or more) of Ofwat’s four strategic innovation themes? | Please specify how the outcomes, benefits and impacts the entry proposes directly impact and align with the Ofwat themes. We are interested in the strength of alignment rather than the number of addressed Ofwat themes. | No | Yes (250) |  |
| 1.4 | Set out the potential benefits to customers, society and the environment even if the project isn’t successful in achieving its intended outcomes | To be truly innovative, we recognise that projects may not be successful in achieving their intended outcomes. We are open to entries that recognise this risk, provided that they carry the potential for significant benefits to customers, society and the environment.  A strong entry will articulate how much is understood about the project’s feasibility and related uncertainties, the range of possible scenarios that may occur, and how benefits, such as knowledge sharing, could still be realised in the event the project should fail to meet its intended outcomes. | 1.4.1 | What benefits could the project generate even if it does not fully achieve its intended outcomes? | Please set out a plan for benefit delivery/realisation in the event that the project cannot meet its intended outcomes.  The plan should work towards achieving these outcomes and should include information sharing on the barriers to delivery. | No | Yes (500) |  |

### Innovation enablers and innovative solutions

Under this assessment category, we want 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 established themselves in other sectors, or adopting proven approaches that haven’t been tried at scale.

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| # | Assessment Criteria | Assessment Guidance | # | Question | Question Guidance | Transform S1 | Transform S2 | Entrant Input |
| 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 accelerate practice beyond business-as-usual | Strong entries will clearly set out how the approach or solution is innovative and why it could not be funded as part of 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, processes or technologies.  Strong entries will also articulate how the initiative is innovative in its delivery. 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 is innovative about your entry? | Please set out the innovative elements of the entry, e.g. solutions, technologies, practices, insights, approaches and ways of working.  This should include how much research, trialling or similar has been undertaken on it so far; and how this approach is an improvement on what has been developed and/or deployed previously in the water sector in England and Wales. | Yes (600) | Yes (1000) |  |
| 2.1.2 | Why would the entry not reasonably be expected to be funded or developed as part of business-as-usual? | Please explain why the approach would or could not be developed as part of a water company’s business-as-usual activities (such as normal ongoing improvement measures). | Yes (300) | Yes (500) |  |
| 2.1.3 | How do you propose to deliver the project in an innovative way? What approaches, ways of working and other enablers of innovation do you intend to use when delivering the project? | Please provide a 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 the ‘What we are looking for – Areas for innovation’ section in the Entrant Handbook). | No | Yes (350) |  |
| 2.1.4 | How does this entry build innovation capability or capacity for the water sector? | Based on the approaches, ways of working and other enablers of innovation set out above, 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, and 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). | No | Yes (500) |  |
| 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 have 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 wider implementation across the sector and/or how they are addressing barriers to future adoption at an early design stage. | 2.2.1 | *[Transform Stage 1 only]*  What is the entry’s potential for scaling up and/or wider implementation in the sector?  *[Transform Stage 2]*  What is the entry’s potential for scaling up and/or wider implementation in the sector, and what are your plans to realise this potential?  Following the successful delivery of this entry, what steps will you take to enable further implementation at scale across the water sector in England and Wales? | *[Transform Stage 1 only]*  Please provide an overview of the potential opportunity for scaling, rollout or enabling activities to bring benefits to the water sector across numerous geographies, businesses, and scenarios.  Note: Entries progressing to Stage 2 will be required to provide implementation plans.  *[Transform Stage 2]*  Please provide an overview of the potential opportunity for scaling, rollout or enabling activities to bring benefits to the water sector across numerous geographies, businesses, and scenarios.  Please consider implementation plans within the delivery phase and after the project has ended. Describe how scaling, rollout or enabling activities will bring benefits, address water sector-wide needs, and/or be used to improve operations across numerous geographies, businesses, and scenarios. | Yes (300) | Yes (800) |  |
| 2.2.2 | What challenges and/or barriers to further implementation have you identified?  How are you planning to address these through the design and implementation of your entry? | Please include a summary of potential challenges or barriers to applying or implementing the intended outcomes at scale.  Please demonstrate how, as part of your work, you have considered and addressed these challenges and barriers through potential outcomes during delivery. | No | 500 |  |

### Capacity, capability, and commitment to deliver

Under this assessment category, we are 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.

Download a copy of the editable Entry Template: [LINK](https://waterinnovation.challenges.org/wp-content/uploads/sites/3/2024/08/Breakthrough-5-Transform-Entry-Template.xlsx). Please **note: entrants to the Transform stream are only required to submit the Entry Template in** Stage 2.

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| # | Assessment Criteria | Assessment Guidance | # | Question | Question Guidance | Transform S1 | Transform S2 | Entrant Input |
| 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 | *[Transform Stage 1 only]*  What are the headline roles and responsibilities assigned to each entry partner?  *[Transform Stage 2]*  Who are the senior sponsors and leaders involved from the lead water company and partner organisations, and how are they engaged and invested in the entry? | *[Transform Stage 1 only]*  Please provide a summary of the headline roles and responsibilities assigned to each partner organisation, and how these will support the successful delivery of your entry.  Note: Entries progressing to Stage 2 will be required to provide named individuals for each role as much as possible.  *[Transform Stage 2]*  Please provide a narrative of the engagement and investment of senior staff. In doing so, please reflect the 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, e.g. through internal cultural change.  Please complete the Team and Resourcing template, tab E of the entry template. Please only include key team members within this template. As a guide, we would expect this to be 3-8 people/roles. | Yes (250) | Yes (250 + Tab E) |  |
| 3.2 | 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 assessment category 1 ‘Positive impact for water customers, society and the environment’, and for capturing and disseminating knowledge and IP generated through the project. | 3.2.1 | *[Transform Stage 1 only]*  What are the main milestones and activities for your entry?  *[Transform Stage 2]*  What is the delivery programme? | *[Transform Stage 1 only]*  Please summarise the phases of delivery, milestones and activities that will happen within each project phase. We expect regular knowledge dissemination activities to be integrated into your plans.  Note: Entries progressing to Stage 2 will be required to fill in a detailed delivery programme.  *[Transform Stage 2]*  Please complete the delivery programme and provide a Gantt chart in tab B of the entry template. Use the text box below to describe your entry’s delivery phases, with details of the activities that will happen within each phase. We expect regular knowledge dissemination activities to be integrated into your plans and ask you to set these out in detail in 3.2.4.  Please set out a milestone for each delivery phase as a minimum, and how you will determine if the entry has successfully met these. Milestones should be proportional to the scale and risk of your entry. | Yes (250) | Yes (650 + Tab B) |  |
| 3.2.2 | 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. | No | Yes (350) |  |
| 3.2.3 | 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? | No | Yes (350) |  |
| 3.2.4 | What is your plan for disseminating the knowledge and foreground intellectual property you will generate in your project? | Please set out how you intend to capture knowledge and foreground intellectual property generated by your project (as set out in 1.2.2) and share it with the wider sector. | No | Yes (350) |  |
| 3.3 | 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. | 3.3.1 | Please describe the entry delivery team. Include team structure, roles, responsibilities, skills and experience. | Please describe 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 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. | No | Yes (500 + Tab E) |  |
|  | 3.3.2 | How will the delivery of the entry be governed and managed? | Please describe how the entry will be governed, how decisions will be made, and how disputes will be managed. Please upload an organogram depicting the structure and governance of the entry delivery team (JPEG, PNG or PDF). | No | Yes (250 + Organogram) |  |
| 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. | No | Yes (Tab C) |  |
| 3.4.2 | Other than what is provided by 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 (i.e., outside the 10% minimum 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. | No | Yes (250) |  |
| 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. | No | Yes (350) |  |
| 3.5 | Demonstrate a clear and proportionate approach to addressing risk | Strong entries will be able to demonstrate how they identify and quantify risks and opportunities. Entrants will set credible plans for appropriately managing or mitigating these.  For example, entrants should demonstrate an understanding of the circumstances in which the project may need to adapt, pivot, or even stop if new evidence suggests alternative approaches might be more beneficial. | 3.5.1 | *[Transform Stage 1 only]*  What risks have been identified for the entry?  *[Transform Stage 2 only]*  What risks and opportunities have been identified for the entry? How will they be managed or mitigated? | *[Transform Stage 1 only]*  Please summarise the top five risks that could impact the entry’s success in a bullet-point list, e.g. the solution is not taken up by the sector, or an aspect of the innovation is shown not to work.  Note: Entries selected to progress to Stage 2 will be required to submit further information, including a risk register and mitigation measures.  *[Transform Stage 2]*  Please complete the ‘Risk Register’ template (Tab D in the entry template), with information on risks and opportunities identified, e.g.:   * the solution is not taken up by the sector; * an aspect of the innovation is shown not to work; * any dependencies on partnership arrangements and procurement activities. | Yes (125 words) | Yes (Tab D) |  |

# Assessment criteria weighting

## Transform stream

|  |  |  |
| --- | --- | --- |
| 1. Positive impact for water customers, society, and the environment | Stage 1 Weighting | Stage 2 Weighting |
| 1.1 Address a significant need or opportunity for customers, society and/or the environment | 13.33% | 6.66% |
| 1.2 Will, or could, be effective in addressing these problems or opportunities | 13.33% | 6.66% |
| 1.3 Align with one (or more) of Ofwat’s four strategic innovation themes | 13.33% | 6.66% |
| 1.4 Set out the potential benefits to customers, society and the environment even if the project isn’t successful in achieving its intended outcomes | N/A | 13.33% |
| Total | 40% | 33.3% |

|  |  |  |
| --- | --- | --- |
| 2. Innovation enablers and innovative solutions | Stage 1 Weighting | Stage 2 Weighting |
| 2.1 Use innovative approaches and/or solutions which would not be funded as part of business-as-usual and develop innovation enablers which accelerate practice beyond business-as-usual | 28% | 22.2% |
| 2.2 Set out plans for adoption at scale across the water sector | 12% | 11.1% |
| Total | 40% | 33.3% |

|  |  |  |
| --- | --- | --- |
| 3. Capacity, capability, and commitment to deliver | Stage 1 Weighting | Stage 2 Weighting |
| 3.1 Show commitment to the entry | 10% | 6.66% |
| 3.2 Set out a realistic and achievable programme | 5% | 6.66% |
| 3.3 Will be delivered by a team with the relevant skills and experience | N/A | 6.66% |
| 3.4 Demonstrate a realistic and considered costing which makes effective use of customer funds | N/A | 6.66% |
| 3.5 Demonstrate a clear and proportionate approach to addressing risk | 5% | 6.66% |
| Total | 20% | 33.3% |