**Monitoring and reporting**

The template for the baseline report can be found below.

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| **Baseline Report** |

This baseline monitoring form is to help us to get an understanding of your winning Water Breakthrough Challenge at the start. We have divided monitoring questions into 4 categories:

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| Inputs  | The resources required to achieve the project objectives (this includes programme, expenditure and costs, risks, including any approvals and consents required, and project partners).  |
| Outputs | The direct result of the activity, e.g. technological progress, or increased knowledge (this includes lessons learnt and any changes in approach) |
| Outcomes | The changes or benefits that result, generally to the direct beneficiaries of the project e.g. benefits to the environment resulting from the innovation (these are different for each project and will be based on the SMART outcomes included in the original entry)​  |
| Impact | The final, wider changes that result from the programme (these are different for each project and will be based on the impacts included in the original entry)  |

We have aimed to keep this as simple as possible for you to complete.

Please use this document as a template to compile your answers, referring with your partners and team members before formally submitting your answers [here](https://survey.alchemer.eu/s3/90729122/Breakthrough-4-baseline-monitoring).

We use Alchemer to collect your monitoring reports. Please let us know if you have any access issues and we will be happy to troubleshoot with you to find a solution.

if you have any other questions or queries, please email us at:

waterinnovation@challengeworks.org

**Project Info**

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| 1. **What is the name of the project you are reporting on? \***
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| Answer here:  |

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| 1. **What competition are you a part of? \***
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| * Breakthrough 4: Catalyst Stream
* Breakthrough 4: Transform Stream
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| 1. **Please briefly outline the progress of your project since you were announced as a winner. \***
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| Answer here:  |

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| 1. **Has your project changed from your original entry in relation to scope, approach or outcomes? \***
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| * Yes, a significant change (e.g. change in focus/outcomes or significant change in approach/method of project or significant change to programme/timeline)
* Yes, other changes (e.g. skills sets/technology)
* No

**(If Yes - 4a or 4b) Please describe how your project has changed and the rationale for the change.**Answer here: |

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| 1. **Please provide a brief, publicly shareable update on the current status of your project (no more than 200 words).\***
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| Answer here: |

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| 1. **What is your project's technical completion date? \***

**I.e. the point at which all deliverables will be achieved*****If your project need to extend it's end date , please note that you need to submit an extension request for Ofwat's approval. You can receive a copy of this form by emailing waterinnovation@challengeworks.org.***  |

|  |
| --- |
| Date:  |

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| 1. **What is your project's estimated actual completion date? \***

**I.e. the point at which all invoices are finalised and the project will be completed.**  |

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| --- |
| Date:  |

**Inputs - Please report on your project's progress**

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| 1. **What is the primary delivery phase you are currently in? \***

**(This would be the main current phase of work and likely to be on the overall critical path).** ***Please refer to the phase by the name as in your Winners Agreement.***  |

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| Answer here:  |

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| 1. **What date is this delivery phase forecast be completed?  \***
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| Date:  |

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| 1. **Forecasted percentage of total project completion to the end of the next closest quarter. \***

***(Quarter end dates: March 31st, June 30th, September 30th, or December 31st)******For example, if submitting this form in July, you would provide a forecast percentage completion to the 30th of September.***  |

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| Please answer in % here:  |

**Inputs - please report on your project's risks and mitigations**

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| 1. **Is the project exposed to any new, significant risks not already identified in your project’s risk register? \***
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| * Yes
* No
 |

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| **(If Yes)11a. How many new or significant risks (not already identified in your project’s risk register) is your project exposed to?**  |

|  |
| --- |
| * 1
* 2
* 3+
 |

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| **Please provide a narrative, including likelihood, impact, mitigation and residual risk after mitigation for each risk (using the same methodology as the entries risk register).** |

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| **Risk 1:** |
| Narrative: |  |
| Likelihood: |  |
| Impact: |  |
| Mitigation: |  |
| Residual risk after mitigation (low, medium, high): |  |
| **Risk 2:** |
| Narrative: |  |
| Likelihood: |  |
| Impact: |  |
| Mitigation: |  |
| Residual risk after mitigation (low, medium, high): |  |
| **Risk 3:** |
| Narrative: |  |
| Likelihood: |  |
| Impact: |  |
| Mitigation: |  |
| Residual risk after mitigation (low, medium, high): |  |
| **If you have any further new or significant risks, please detail them in the box below using the same format as above (description, likelihood, impact, mitigation and residual risk rating):** |
| Answer here:  |

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| 1. **Are there any critical risks which may impact the project in the next two quarters?\***

**For this question, we define critical risks as threats or hazards that pose the most strategically significant risk given the potential probability and likely impact if realised.** |

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| * Yes
* No
 |

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| **(If Yes)12a. How many critical risks may impact your project in the next two quarters?**  |

|  |
| --- |
| * 1
* 2
* 3+
 |

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| **Please provide a narrative, including likelihood, impact, mitigation and residual risk after mitigation for each risk (using the same methodology as the entries risk register).** |

|  |
| --- |
| **Risk 1:** |
| Narrative: |  |
| Likelihood: |  |
| Impact: |  |
| Mitigation: |  |
| Residual risk after mitigation (low, medium, high): |  |
| **Risk 2:** |
| Narrative: |  |
| Likelihood: |  |
| Impact: |  |
| Mitigation: |  |
| Residual risk after mitigation (low, medium, high): |  |
| **Risk 3:** |
| Narrative: |  |
| Likelihood: |  |
| Impact: |  |
| Mitigation: |  |
| Residual risk after mitigation (low, medium, high): |  |
| **If you have any further critical risks to raise, please detail them here using the narrative, likelihood, impact, mitigation, residual risk after mitigation structure as above.** |
| Answer here:  |

**Inputs - please report on the project expenditure and costs**

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| 1. **Please upload your spend forecast using the excel template sent to you by Tara Appleyard on the 5th of July \***
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| Please upload a file here:  |

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| 1. **Total budget \***

***This is the total value of your project including any additional contributions.***  |

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| Answer here: £ |

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| 1. **Forecast spend to the end of the next nearest quarter \***

***(quarter end dates: March 31st, June 30th, September 30th, or December 31st)******This refers to the amount you plan to spend to the end of the next nearest quarter.******For example: If you complete this form in October, you will provide your forecast spend until December 31st.*** |

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| Answer here: £ |

**Innovation Maturity and Objectives, Outcomes, and Impacts**

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| 1. **What innovation stage is the project at now? \***
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| For definitions of the innovation project stages, please refer to the appendix of this document. * Initial research
* Concept & Feasibility
* Development and verification
* Validation and optimisation
* Deployment and post-launch
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| **If your project's current innovation stage is “Deployment and post-launch”, where possible, please describe the scale of impact of your project (such as the number of customers the solution is meaningfully affecting).** |

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| Answer here: |

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| 1. **What innovation stage is your project going to reach over the next quarter? \***
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| * Initial research
* Concept & Feasibility
* Development and verification
* Validation and optimisation
* Deployment and post-launch
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| 1. **Please provide all of your project outcomes (set out as SMART objectives) \***
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| Answer here:  |

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| 1. **Please provide your project’s intended wider impacts and benefits (both direct and indirect) \***
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| Answer here:  |

**Comms and others**

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| 1. **Do you have any upcoming events, talks, or other public engagements related to your project that we could use to support your PR efforts? Are there any visual materials or aspects of your project with broader public appeal that we should highlight? Please provide details and links below, and attach any relevant files in the box below. \***
 |

|  |
| --- |
| Please share details and hyperlinks here: |

|  |
| --- |
| 1. **Please share any communications related attachments here:**
 |

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| --- |
| Upload files here:  |

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| 1. **Overall, on a scale of 1 to 10, how would you rate your experience of the Water Breakthrough Challenge been since your project was announced as a winner?**
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| **1** | **2** | **3** | **4** | **5** | **6** | **7** | **8** | **9** | **10** |
|  |  |  |  |  |  |  |  |  |  |

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| 1. **Is there any feedback you wish to share with Ofwat or the delivery partners regarding the Water Breakthrough Challenge?**
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| Please provide any additional feedback or commentary here:  |

**Appendix (innovation stages):**

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| Level ​ | Description ​ | Typical activities to be supported in this phase of maturity ​ | ApproximateTechnologyReadinessLevel 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 ​ |