# Water Breakthrough Challenge Monitoring Form

The monitoring of the projects throughout their duration is of fundamental importance to us for understanding if the partnerships in place are successful, if the projects face any particular risks or delivery challenges and to gain insight on early success indicators that show that the projects are likely to have the expected impact on one or more of Ofwat’s strategic objectives.

We use monitoring to ensure a degree of accountability for the funded projects, along with an opportunity to document any learning that can be shared more widely within the sector. These requirements have been communicated during the winners onboarding event to ensure clear communication and management of expectations.

To support the monitoring of your project and the evaluation of the Water Breakthrough Challenges and Ofwat Innovation Fund, we will collect data on a 6-monthly basis (unless your project is deemed to require monitoring at a different frequency) using this Monitoring Form. Once this has been submitted, we will arrange to meet with you to discuss your Monitoring Form in further detail.

We have aimed to keep this Monitoring Form as simple as possible to aid in its completion and we use Alchemer as an online submission platform to collect completed Monitoring Forms.

Please let us know if you have any questions or queries about the Monitoring Form, using the Alchemer platform or the Monitoring process more broadly, by contacting us using the following email address: waterinnovation@challengeworks.org.

**Summary of Monitoring Form Changes in September 2024:**

* Minor changes to wording throughout to improve clarity.
* Minor updates to definitions table – definitions of ‘outputs’, ‘outcomes’ and ‘impacts’ have been re-aligned with their fuller definitions in use in other Fund documents (note this does not alter their meaning from what was stated previously) and the definition of ‘annual’ has been clarified.
* Updated forecast period from 3-month (i.e. by end of next quarter) to 6-month (i.e. by end of next half-yearly interval) to align with changes to default frequency of monitoring. References to ‘quarter’ have generally been replaced with ‘reporting period’.
* Project completion date questions – updated to clarify the terms used, definition of ‘completion’ added, updated statement on Project Change Requests.
* Percentage project completion questions – updated wording for clarity, note this is essentially just asking for project progress expressed as a percentage.
* Project financial reporting questions – following feedback from various project teams, this has been updated to enable project teams to clarify the basis of their financial reporting (e.g. committed spend basis) and to report on the basis which best suits their projects, whilst allowing the Monitoring Team to better understand the context for financial reporting. The values requested have been further clarified, with updated explanations to provide the greatest degree of clarity possible. Addition of two questions on deviation/variance from previously reported values – one for forecast outturn cost at completion, and one for actual expenditure vs previously forecast expenditure for the current reporting period. Added clarification that financial reporting should *not* include the equivalent financial value of in-kind contributions.
* The Annual reporting question on actual project expenditure to end of Financial Year has also been updated based on recent feedback.
* Objectives and Benefits question – this has been updated to align with the language used elsewhere in Fund documentation by replacing ‘benefits’ with ‘outputs, outcomes and impacts’ per the definitions table.

**Summary of Monitoring Form Changes in November 2024:**

* Further clarity of Project Close Out Date has been provided.
* The further explanation around ‘previously forecast cumulative expenditure to end of reporting period’ has been removed as it was duplicated in questions above.

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| **Project Monitoring Form** |

This monitoring form adopts the following definitions:

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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, IP developed, or increased knowledge including lessons learnt. Outputs are definable things which the project produces through doing the work and may be wider than the original expectation (i.e. a direct consequence of the project). The outputs will support the immediate outcomes, and longer-term impact. |
| **Outcomes** | The changes or benefits that result, generally to the direct beneficiaries of the programme, during and at the completion of the project e.g., benefits to the customers, society or environment from the innovation development. These will be different for each project and will have initially been defined as SMART objectives in the original entry. |
| **Impact** | The wider sectoral and longer-term changes that are anticipated to result from the project, either directly or indirectly. These will be different for each project and will likely draw on the impacts included in the original entry. The Outputs from any project should result in direct and immediate Outcomes, but it is also likely that in many cases the Outcomes from multiple projects will act together to achieve the intended / necessary Impact across the sector. |
| **Annual**  | Monitoring questions asked on an annual basis reflecting the project’s position at the end of the financial year (the responses to these questions are reported in July of any given year).  |

**Submission details**

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| --- | --- |
| 1. **Author:**
 |  |
| 1. **Contact details (email address):**
 |  |

**Project Information**

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

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| 1. **Has your project changed in relation to scope, approach or outcomes since your last submitted Monitoring Form?**
 |
| * 1. No changes
	2. Significant change (for example, change in focus/outcomes or significant change in approach/method of project or significant change to programme/timeline)
	3. Other changes (for example, skillsets/technology etc.)
 |
| Has your project submitted a Project Change Request since submission of your last Monitoring Form?  |
| * + - * 1. Yes
				2. No
 |
| Is your project planning on submitting a Project Change Request in the next 6 months? |
| Yes No |

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| 1. **If your project has changed, please provide further narrative and rationale including any commentary on the impact this may have on the project since your last submitted Monitoring Form (particularly in terms of achieving the intended outputs, outcomes or impacts):**
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| Answer here: |

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| 1. **Please provide a brief, publicly shareable (i.e. will be published on the Water Innovation Fund website, in the Insights section) update on the current status of your project (no more than 200 words).**
 |
| Answer here: |

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| 1. **Please answer the following questions about your project's completion date:**

*For the purposes of this section ‘technical completion’ refers to the date on which you will have completed all project delivery activities (excluding the completion of your Project Final Report, provision of finalised outturn monitoring data and provision of any information to be uploaded to the Ofwat Innovation Fund website).*  |
| **What is your current *approved* technicalcompletion date?***This is the project’s original agreed completion date or the completion date in your most recent approved Project Change Request.*  |
| Answer here: |
| **What is your project's current *expected* technical completion date based on your understanding of actual and forecast progress?** |
| Answer here: |
| **What is your project's current *expected* project close out date?** *This should be a few weeks after your project technical completion date to align with the completion of your Project Final Report, provision of finalised outturn monitoring data and provision of information to be uploaded to the Ofwat Innovation Fund website.* |
| Answer here: |
| **PLEASE NOTE: If your current expected completion date exceeds your approved completion date, you will need to submit an extension request for Ofwat's approval via a Project Change Request (PCR). You can receive a copy of the PCR form by emailing: waterinnovation@challengeworks.org** |

**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.Answer here: |
| **On what date is this delivery phase forecast to be completed?** |
| Date: |
| **What is the forecast cost of this delivery phase?** |
| £: |

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| 1. **Current percentage project completion to end of reporting period (reporting period end dates are 31st of March, 30th of June, 30th of September and 31st of December depending on the reporting period)**
 |
| %: |
| **Previously forecast percentage project completion to end of reporting period (as reported in your previous monitoring submission)** |
| %: |
| **Forecast percentage project completion expected at the end of next reporting period:** |
| %: |

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| 1. **Are you meeting all the tasks set out for the current reporting period?**
 |
| * Yes
* No
 |
| **(If ‘no’ only) Please provide a narrative** |
| Answer here:  |

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| 1. **What progress have you made this reporting period? Has this deviated from the upcoming activities reported in your previous Monitoring Form submission? If so, please provide narrative below.**
 |
| Answer here: |

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| 1. **What are the upcoming activities in the next reporting period?**
 |
| Answer here: |

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| 1. **Is the project exposed to any new, significant risks not already identified in your project’s risk register?**
 |
| * Yes
* No
 |
| **How many new or significant risks (not already identified in your project’s risk register) is your project exposed to?**  |
| * 1
* 2
* 3+
 |
| **Risk 1:**  |
| Description of risk: |  |
| Likelihood (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Impact (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Mitigation |  |
| Risk Rating (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| Likelihood (post-mitigation): *(5-most likely: 1 least likely)* |  |
| Impact (post-mitigation):*(5-most likely: 1 least likely)* |  |
| Residual risk rating after mitigation (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| **Risk 2:**  |
| Description of risk: |  |
| Likelihood (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Impact (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Mitigation:  |  |
| Risk Rating (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| Likelihood (post-mitigation): *(5-most likely: 1 least likely)* |  |
| Impact (post-mitigation):*(5-most likely: 1 least likely)* |  |
| Residual risk rating after mitigation: (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| **Risk 3:**  |
| Description of risk: |  |
| Likelihood (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Impact (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Mitigation:  |  |
| Risk Rating (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| Likelihood (post-mitigation): *(5-most likely: 1 least likely)* |  |
| Impact (post-mitigation):*(5-most likely: 1 least likely)* |  |
| Residual risk rating after mitigation: (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
|  |  |
| **If you have any further new, significant risks (i.e. more than 3), 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 reporting period?**
 |
| * Yes
* No
 |
| **How many critical risks may impact your project in the next reporting period?** |
| * 1
* 2
* 3+
 |
| **Risk 1:**  |
| Description of risk: |  |
| Likelihood (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Impact (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Mitigation:  |  |
| Risk Rating (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| Likelihood (post-mitigation): *(5-most likely: 1 least likely)* |  |
| Impact (post-mitigation):*(5-most likely: 1 least likely)* |  |
| Residual risk rating after mitigation: (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
|  |  |
| **Risk 2:**  |
| Description of risk: |  |
| Likelihood (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Impact (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Mitigation:  |  |
| Risk Rating (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| Likelihood (post-mitigation): *(5-most likely: 1 least likely)* |  |
| Impact (post-mitigation):*(5-most likely: 1 least likely)* |  |
| Residual risk rating after mitigation: (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| **Risk 3:**  |
| Description of risk: |  |
| Likelihood (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Impact (pre-mitigation):*(5-most likely: 1 least likely)* |  |
| Mitigation:  |  |
| Risk Rating (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| Likelihood (post-mitigation): *(5-most likely: 1 least likely)* |  |
| Impact (post-mitigation):*(5-most likely: 1 least likely)* |  |
| Residual risk rating after mitigation: (likelihood x impact):(1-5 low, 6-15 medium: 16-25 high) |  |
| **If you have any further critical risks (i.e. more than 3) you wish to raise 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. **Please upload any additional materials that will evidence the project's progress:**
 |
| Answer here: |

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

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| 1. **Please report on project budget and expenditure:**

***Please note that none of the values reported in this section should include the equivalent financial value of in-kind contributions.*** |
| Please state (and if necessary, explain) the basis of your financial reporting (e.g. Committed Expenditure basis / Actual Expenditure basis).This will allow us to better understand your financial reporting and contextualise the values provided in the rest of this section of the Monitoring Form. |  |
| Total original budget:This is the sum of Ofwat funding awarded plus originally agreed partner financial contributions and should match the value stated in your Winners Agreement. This value should not change through the course of your project.  | £ |
| Total revised budget: This is the original budget as modified by any changes in Ofwat funding approved via Project Change Requests. | £ |
| Forecast outturn cost at completion:This is the current estimate of the project’s forecast cost at the end of the project, comprised of the Ofwat funding awarded plus the partner financial contributions required to cover the project costs, but excluding in-kind contributions. | £ |
| **Please provide an explanation for any variance in your forecast outturn cost at completion (i.e. increase or decrease) compared to the last reported value and provide any relevant supporting information:** |
| Answer here: |
| Actual cumulative expenditure to end of reporting period (period end dates are 31st of March, 30th of June, 30th of September and 31st of December depending on the period):This is the actual project expenditure incurred to the end of the period for which you are reporting, as relevant for the basis of financial reporting on which you are operating. | £ |
| Percentage financially complete to end of reporting period: *This is your ‘actual cumulative expenditure to end of reporting period’ expressed as a percentage of ‘forecast outturn cost at completion’.* | % |
| Previously forecast cumulative expenditure to end of reporting period: | £ |
| Forecast cumulative expenditure to end of **next** reportingperiod (period end dates 31st of March, 30th of June, 30th of September and 31st of December depending on the period):*This refers to the estimated total expenditure your project will have incurred to the end of the next reporting period, as relevant for the basis of financial reporting on which you are operating.* | £ |
| Total forecast expenditure required to complete the remainder of the project:*This is the ‘Forecast outturn cost at completion’ minus the ‘actual cumulative expenditure to end of the reporting period’.* | £ |
| **Please detail any deviations between your ‘actual cumulative expenditure’ and the ‘previously forecast cumulative expenditure’ (i.e. please briefly explain any under or over-spend relative to your previous forecast) and provide any relevant supporting information:** |
| Answer here |

**Innovation Maturity**

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| 1. **What innovation stage is your project at now?**
 |
| * 1. Initial research
	2. Concept and feasibility
	3. Development and verification
	4. Validation and optimisation
	5. Deployment and post-launch
 |
| **(If ‘Deployment and post-launch’ only) Where possible, please describe the scale of impact of your project (such as the number of customers the solution is meaningfully affecting):** |
| **Do you have any further comments to add in relation to your project’s innovation stage?** |
| Answer here:  |

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| --- |
| 1. **What innovation stage is your project going to reach by the end of the next reporting period?**
 |
| * 1. Initial research
	2. Concept and feasibility
	3. Development and verification
	4. Validation and optimisation
	5. Deployment and post-launch
 |

**Objectives, Outputs, Outcomes, and Impacts**

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| 1. **Is your project still able to achieve the objectives, outputs, outcomes and impacts outlined in your entry, such as supporting the water sector or enhancing operations across various locations, businesses, and scenarios?**
 |
| * Yes
* No / some deviation
 |
| **(If no / some deviation only) Please provide further detail, including the expected implications for and/or any changes to the project in terms of outputs, outcomes and impacts, and if necessary, provide updated SMART objectives:** |
| Answer here: |

**Lessons learnt**

This page asks you to provide us with any key lessons learnt you have had over the past reporting period. Lessons learnt are very important to the Ofwat Innovation fund and so we ask you to think about this section carefully.

When answering this section please ensure that background knowledge on your project is not required to understand your lessons.

The following questions are provided to help to guide you in answering this question.

* What has gone especially well over the last reporting period?
* What has not gone well? What problems, barriers, or challenges have you encountered and how have you addressed them?
* Have you identified any key insights specific to your project over the last reporting period? This could be a technical lesson learnt or related to ways of working.
* How could these lessons be beneficial for other people working in the water sector, or on a similar project?

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| 1. **How many lessons learnt would you like to raise?**
 |
| * 1
* 2
* 3+
 |

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| --- |
| 1. **Lessons learnt 1**Please select the category that your lesson learnt belongs to:
 |
| * Project delivery
* Partnerships and collaboration
* Commercial
* Technical
* Solution delivery
* Deployment
* Benefits and outcomes
* Digital, data & information
* Other
 |
| **Please provide a narrative on your lesson learnt** |
| Answer here: |

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| 1. **Lessons learnt 2**Please select the category that your lesson learnt belongs to:
 |
| * Project delivery
* Partnerships and collaboration
* Commercial
* Technical
* Solution delivery
* Deployment
* Benefits and outcomes
* Digital, data & information
* Other
 |
| **Please provide a narrative on your lesson learnt** |
| Answer here: |

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| --- |
| 1. **Lessons learnt 3**Please select the category that your lesson learnt belongs to:
 |
| * Project delivery
* Partnerships and collaboration
* Commercial
* Technical
* Solution delivery
* Deployment
* Benefits and outcomes
* Digital, data & information
* Other
 |
| **Please provide a narrative on your lesson learnt** |
| Answer here: |
| **If you have any further lessons learnt (i.e. more than 3) please note the category they belong to (as above) and provide a narrative within this box. You are welcome to include more than one lesson learnt in this box, but please indicate the category for each.** |
| Answer here: |

**Communication and engagement**

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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? If your project also has any upcoming publication, or news article, please share them with us. Please provide details and links below and attach any relevant files in the box below.**
 |
| Answer here: |
| **File upload button will appear below.** |

**Winners agreement**

**This question is only required to be answered by the Transform stream**

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| 1. **Please share any relevant evidence that shows how you have complied with any Special Conditions set out in your Winner’s Agreement over the last reporting period:**
 |
| Answer here |