**Monitoring and reporting**

This baseline monitoring form is designed to help us understand your winning Water Breakthrough Challenge project at its outset. It provides an opportunity to confirm and update the project’s intended outcomes, delivery programme, additional risks and opportunities, spend profile, partner list, and expected completion date.

This is a one-off report that should be submitted once your project has started and will serve as a reference point for ongoing monitoring.

For the purposes of monitoring, we define your project having started as follows:

* You have held or are about to hold a project inception meeting to initiate project delivery activities
* Your project team has been mobilised and has just begun working on project delivery
* You have commenced work on the first activity identified in your Programme, as submitted in Entry Form Annex 1 (Winners Agreement Annex 2) excluding where these refer to pre-mobilisation activities or collaboration agreement formation.

The monitoring questions have been divided 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) |

Please use this document as a template to compile your responses. We encourage you to consult with your project partners and team members before formally submitting your answers via the Alchemer survey link, which will be shared by the monitoring team in the coming weeks.

If you experience any access issues, please let us know and we’ll be happy to help troubleshoot and find a solution.

We understand that it can often take some months for Collaboration Agreements to be signed and projects to get started. **Therefore, the Baseline Report for Breakthrough 5 projects should be submitted no later than 31st December 2025.** If you anticipate needing an extension to this deadline, please don’t hesitate to get in touch with us.

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

[waterinnovation@challengeworks.org](mailto:waterinnovation@challengeworks.org).

**Submission details**

|  |  |
| --- | --- |
| 1. **Author:** |  |
| 1. **Contact details (email address):** |  |
| 1. **Please provide a complete list of email addresses for your project's key members, separated by a semicolon (;). These individuals will receive our monitoring communication. \*** |  |
| 1. **Please provide a contact's email for monitoring call scheduling: \*** |  |

**Project Information**

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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 5: Catalyst Stream * Breakthrough 5: 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) 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 current expected completion date based on your understanding of actual and forecast progress? \***   **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)** |

|  |
| --- |
| Date: |

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| 1. **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.** |

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

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| --- |
| * 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:** | |
| 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) |  |
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| **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 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) How many critical risks may impact your project in the next two quarters?** |

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| * 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:** | |
| 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: | |

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

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| 1. **Please upload your spend forecast using the spend profile template \*** |

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| Please upload a file here: |

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| 1. **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.** |

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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: £ |

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| 1. **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.** |

**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. \*** |

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| Please share details and hyperlinks here: |

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

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| Upload files 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: |

**Feedback**

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