



Water  
Breakthrough  
Challenge

# Breakthrough 5 Winners Onboarding Event

10 June 2025



# Introduction and Welcome

## Aims of the session

By the end of the session, you will...

- Have a clear understanding of what to expect in terms of the Fund's legal, financial and monitoring requirements
- Have a clear view of the learnings and communication activities for the winning projects
- Be set up for success in delivering your projects.



# Introduction and Welcome

## Housekeeping

- Recording and slides will be shared
- Chat is on but we encourage you to use the Q&A functions for Questions, and chat for technical support



# Today's Agenda

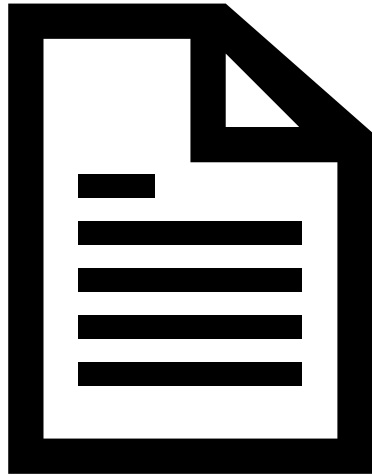
- Introduction & Welcome
- What to expect: Winners' agreements, payments and milestones
- Evaluation
- Monitoring requirements and the Final Report
- Comfort break (estimated 1.50 pm)
- Reporting, comms and learning opportunities
- Available resources for winners
- Breakthrough 6
- Questions and close

# Winners' Agreements, Payments & Milestones

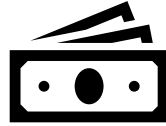




# Winner's Agreements, Payment & Milestones



Catalyst

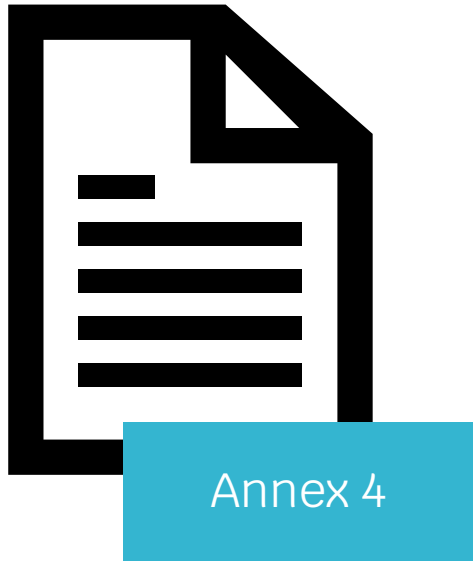


Upfront Payment

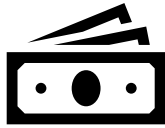
Delivery



# Winner's Agreements, Payment & Milestones



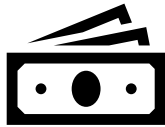
## Catalyst



Upfront Payment



## Sequential Milestones (Transform only)



Upfront Payment



### Key



Milestones

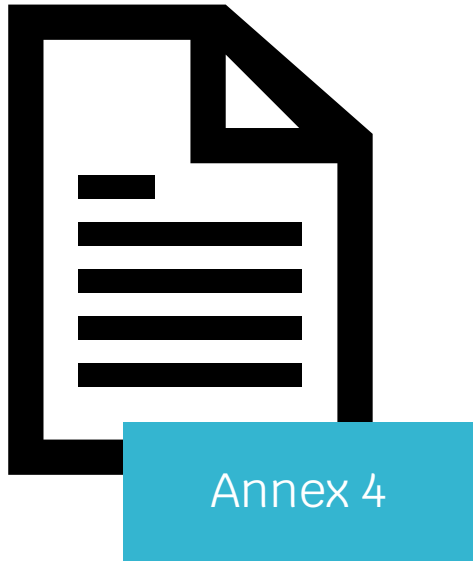


Accountable Officer

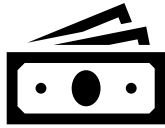
Your Accountable Officer is responsible for providing spending authority, ensuring you have met the requirements to move into the next phase.



# Winner's Agreements, Payment & Milestones



## Catalyst



Upfront Payment



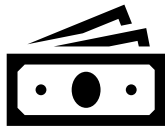
## Sequential Milestones (Transform only)



Upfront Payment



## Non-Sequential Milestones (Transform only)



Upfront Payment



### Key

Milestones

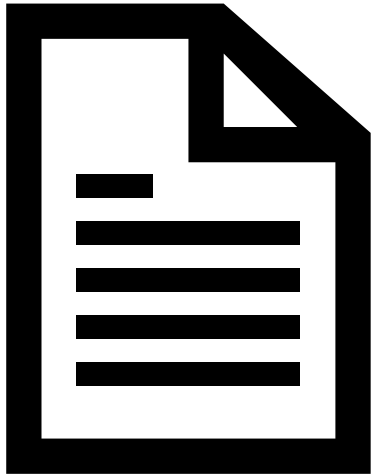
Accountable Officer

Your Accountable Officer is responsible for providing spending authority, ensuring you have met the requirements to move into the next phase.





## Winner's Agreements- changes this year



### Changes this year

- You will have noticed some changes to the winners' agreement this year
- This related to your Annex 3a (Monitoring and Requirements) and Annex 3b (Evaluation Requirements)
- Your obligations remain the same, however these changes reflect that Ofwat have appointed [ICE](#) as their new evaluation partner.

# Evaluation – an introduction to ICF



## Introducing the Evaluation

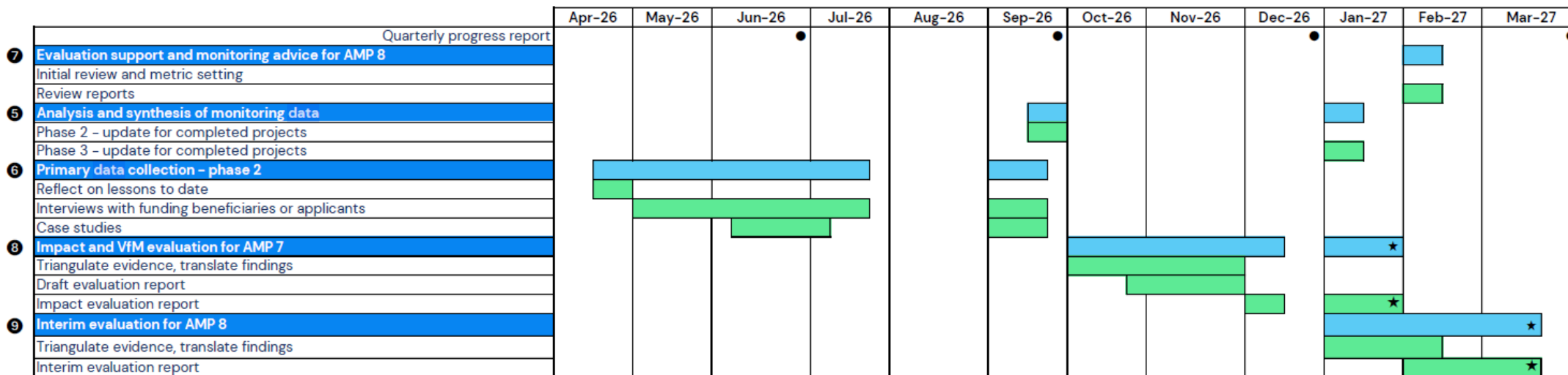
A combined **process, impact and value for money** evaluation of the Innovation Fund

- Looking back at AMP 7 (April 2020–March 2025)
- Looking forward at AMP8 (including supporting the Water Efficiency Fund)

The objective is to understand the impact the Innovation Fund has had in terms of customer benefits, whether these benefits have exceeded the costs of the fund, and whether there is any evidence that the existence of the fund generated these additional benefits

The process evaluation will capture lessons learned during the AMP8 period, including the delivery of the Water Breakthrough Challenge

- Our aim is to support any in-flight adjustments, including designing future activities





## Introducing the Evaluation

**We appreciate you will be busy delivering! We aim to minimise what we ask of you.**

The evidence we need will come from a range of sources:

- Information the projects are already collecting – as far as possible we will re-use this
- Additional information collected by us – we are currently designing the approach but expect to use a mix of targeted interviews and surveys.
- This gives projects an anonymous opportunity to provide feedback on their experiences

Research for the AMP8 **process evaluation** will likely take place in autumn 2025

- Further research in will follow in 2026

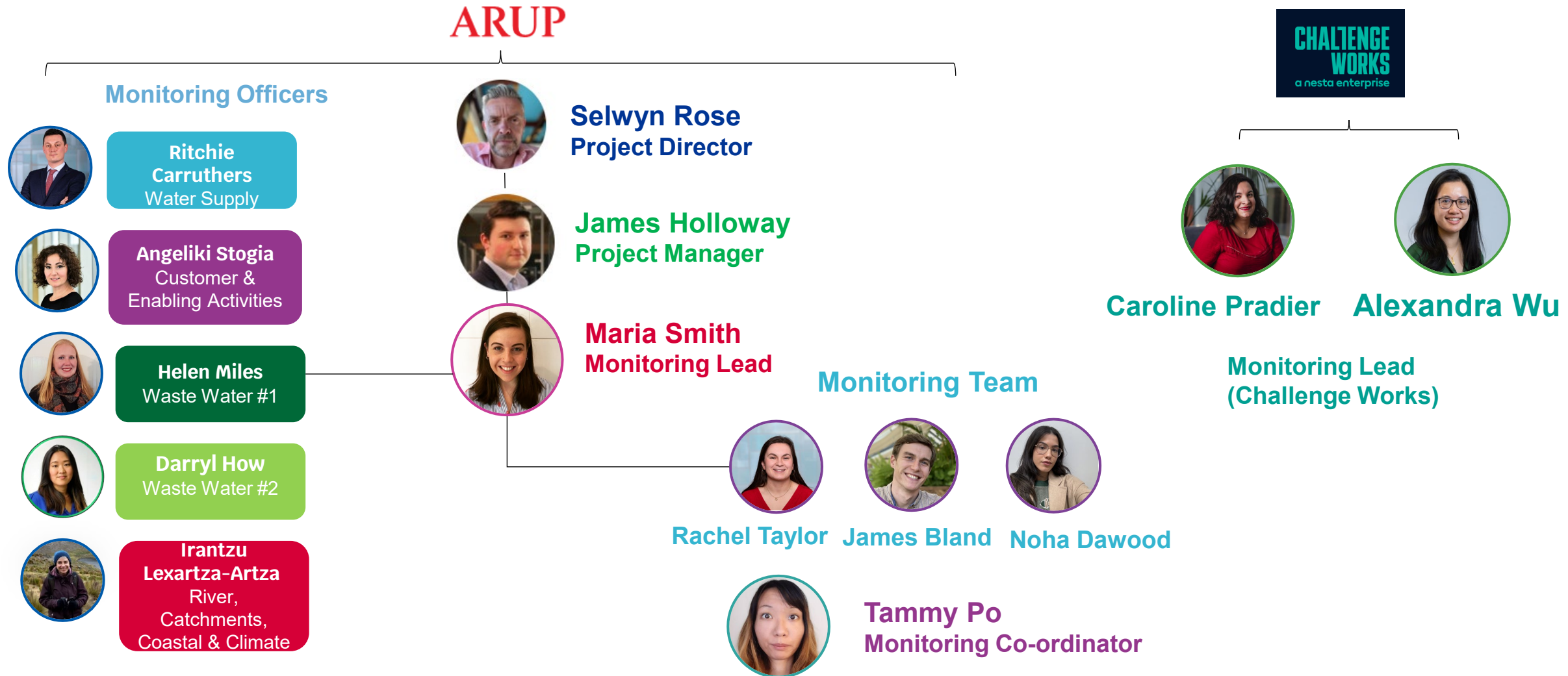
# **Monitoring**

## Requirements and process





# Intro to the monitoring team





## Why We Monitor

Monitoring is a core component of the Ofwat Innovation Fund, helping us understand how funded initiatives are progressing and whether they are on track to deliver objectives. In summary, monitoring enables us to:

- **Track Performance:** Understand how each project is progressing against its objectives, milestones, and timelines
- **Identify Risks Early:** Detect potential delivery challenges before they escalate, enabling proactive support and intervention
- **Provide Accountability:** Provide a structured approach to ensure all funded projects remain accountable. Progress and outcomes are regularly reported and shared with Ofwat to maintain transparency and oversight across the fund
- **Capture and Share Learning:** Document lessons learned and emerging best practices to support knowledge sharing across the sector
- **Track Partnership Success:** Assess how well project collaborations are functioning
- **Demonstrate Strategic Value:** Ensure projects remain aligned with and continue to contribute to the strategic objectives of the Ofwat Innovation Fund
- **Generate insight:** Capture valuable learning, trends, and innovations that emerge across the portfolio
- **Maintain a Portfolio View:** Continuously track project performance across the projects lifecycle, enabling a comprehensive, portfolio-level perspective.





# Monitoring principles

Three critical principles underpin all monitoring activities. We want to:

- 1. Support and enable winners to take well managed project/innovation risk** rather than limit and discourage project/innovation risk
- 2. Be a supportive thought partner** – enabling winners to be open with us about their projects
- 3. Take a proportionate and trust-based approach** – being flexible to minimise additional reporting burden wherever possible (e.g., looking at how we can adapt materials/metrics produced for other governance and reporting processes)





# Monitoring Officer Role

## Monitoring Officer(s):

- Provide **industry expertise** and **technical domain knowledge** from across the water sector
- Review **the bi-annual monitoring reports** from a technical and industry perspective which should provide peer challenge and discussion in monitoring calls
- **Lead the bi-annual monitoring calls** providing an opportunity to engage directly with each project, have informed technical discussions about progress, innovation, lessons learned and risk, combined with opportunity for the Monitoring Team to challenge on delivery and PM
- **Undertake less formal bi-annual risk-based check-in meetings** with the project team, to be held in between bi-annual reviews to provide an opportunity to catch up on developments/ challenges and discuss with subject matter experts any opportunities or learnings that have emerged.
- **Provide feedback on observations, insights, challenges and opportunities** from cohort perspective which could inform our approach to risk, performance, learning, opportunities, knowledge and information, fund messaging and comms)
- **Enhance the experience of engagement** with the Monitoring Team and the project's experience of the fund and create space for projects to be open with us about challenges / opportunities.



Ritchie Carruthers  
Senior Project  
Manager  
**Water Supply**



Helen Miles  
Senior Engineer  
**Waste Water #1**



Darryl How  
**Waste Water #2**



Angeliki Stogia  
Associate  
**Customer & Enabling  
Activities**



Irantzu Lexartza-  
Artza  
Senior Scientist  
**River, Catchments,  
Coastal & Climate**





# Monitoring Officers



**Irantzu Lexartza-Artza**  
Senior Scientist  
River, Catchments,  
Coastal & Climate

- Irantzu Lexartza is a **Senior Scientist** and **fluvial geomorphologist** with 18 years of experience
- Specialising in **integrated catchment management and sediment transfer processes**.



**Helen Miles**  
Senior Engineer  
Waste Water #1

- Helen Miles is a **Chartered Senior Engineer with 12 years of experience**
- Her recent experience includes acting as Lead Civil Engineer for the Mansfield Strategic Flood Resilience Project and the Guangzhou Stormwater Masterplan.



**Darryl How**  
Process Engineer  
Waste Water #2

- Darryl is a **Chartered Chemical Engineer** with the IChemE with over **14 years of experience**
- She has in-depth knowledge and **experience of developing wastewater treatment design**.



**Angeliki Stogia**  
Associate  
Customer & Enabling  
Activities

- Angeliki has over **19 years in stakeholder management** across a range of areas including water and environmental sustainability

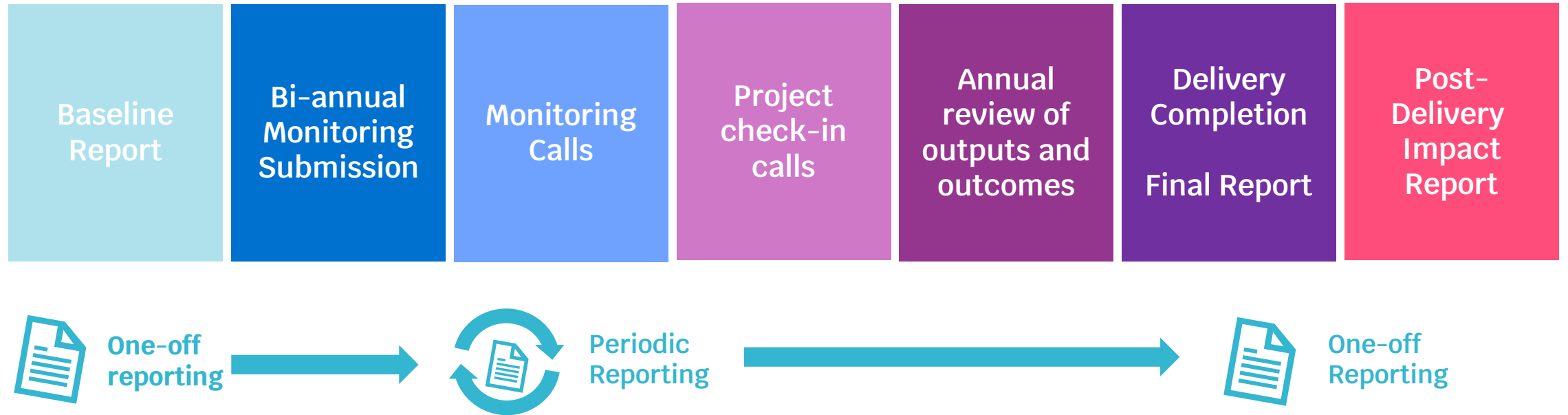


**Ritchie Carruthers**  
Senior Project  
Manager  
Water Supply

- Ritchie has **over 9 years of experience in the Water Industry**, leading various **water resource-focused** projects and programmes.



# Monitoring process





## Monitoring activity: Baseline Reporting One-off reporting

The Baseline monitoring form is a one-off report that is submitted when your project is started. 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 **purpose** of the baseline monitoring report is to:

- Confirm or update the **project's intended outcomes** and **delivery plan**
- Highlight any **newly identified risks** or opportunities
- Share your anticipated **spending profile**
- Collecting this information at the start allows us to capture any changes made since funding was awarded and to understand any challenges that may have emerged during the interim period

### Overview of what you will need to provide:

- Up to date spend profile template
- Up to date project programme
- Up to date risk register & overview of new and upcoming critical risks
- A brief publicly shareable update on project progress
- Detail any changes
- Provide an update on communication activity



## Monitoring activity: Bi-annual Monitoring Submission



Periodic Report

The Bi-Annual monitoring submission is completed every 6 months either (January, April, July or October) the duration of your project (with the exception of projects that we consider to be more high risk which we will be requesting to report on a quarterly basis). This report will be reviewed by the Monitoring Team as well as your Monitoring Officer.

The **purpose** of the bi-annual monitoring report is to:

- Provide an update on how your project is progressing
- Understand if your project remains on programme
- Review progress and budget forecasts
- Highlight any newly identified risks or spending profile
- Check that you are still able to deliver the original aims and objectives of your project
- Capture lessons learnt

### Overview of what you will need to report on:

- Any significant changes to project in relation to scope/approach/outcomes
- Project progress (budget and programme)
- New and upcoming critical risks
- Ability to meet original objectives
- Lessons learnt



## Monitoring: what we want to see

### Example question:

Are there any critical risks which may impact the project in the next Reporting Period?

Please provide further information such as likelihood, impact, mitigation, and residual risk after mitigation (using the same methodology as the entry's risk register):

Yes - Equipment costs for plant A have increased by 10% due to inflation (£X).  
Risk rating: low  
Likelihood: high  
Mitigation: we will use our contingency fund in this instance to cover the £X increase and are looking to procure early for our future plants to reduce future impact of this.  
Residual risk rating: medium



Yes - Increased equipment costs due to inflation



\*These are examples of the quality of submissions we have received and are not real responses



## Monitoring: what we want to see

### Example question:

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)

We had hoped to procure and install the X prior to flows going live in the new sewer. Due to additional design requirements and confirmation that the X could not be installed, we need additional time to design and negotiate land entry and easements. The cost of the X installation will be higher than first anticipated, due to the need to manage flows during installation. The length of the X has been reduced to accommodate the increase in costs within the proposed budget. The reduced length X will still deliver the required trial outcomes. We hope to have an approved design and costs by late April/early May.



Due to the delays in the Collaboration Agreement sign-off, we are requesting a shift in the project phase end dates. We anticipate the overall project duration will be the same.







## Monitoring: what we want to see

### Example question:

Please provide an example of a lessons learnt

We previously reported that finding test sites took longer than we anticipated. This was due to delays in the construction sector reducing the pool of sites at an appropriate level of development for us to collaborate with. To address this, we worked with multiple smaller groups of sites over the projects length instead of beginning to work with all our sites at the same time (as was planned). This allowed us to work with an appropriate number of sites and maintain project momentum.



In person meeting are very beneficial to project progress



\*These are examples of the quality of submissions we have received and are not real responses



## Monitoring activity: Bi-annual Monitoring Calls



Periodic Report

The purpose of the monitoring call is to meet with you following the submission of your monitoring report. This will provide an opportunity to discuss your monitoring report in more detail. The call will be chaired by your appointed Monitoring Officer and the agenda is as follows:

- Introductions – 5 minutes
- Project update – 10 minutes (a brief project update presented by the project, slides can be presented)
- Monitoring Officer Review – 15 minutes
- Monitoring Team Review– 15 minutes



## Monitoring activity: Annual review of outcomes and impacts Periodic Report

On an annual basis, an additional section is added to the bi-annual report either in April or July depending on your monitoring frequency.

This will focus on reflecting on your progress over the previous year and updating the delivery programme.

The **purpose** of the annual report is:

- To assess the effectiveness and impact of the Fund
- To gather emerging insights from funded projects.
- To understand how the Fund contributes to innovation potential and practice in the water sector
- To support evaluation research only (not for public reporting or performance assessment).

**Overview of what you will need to provide:**

- Overview of dissemination activities over the past year
- Key lessons have you learnt from the testing of your innovation in the past year
- Innovation skills have you developed through your participation in the competition in the past year
- Overview of the barriers in the past year
- Overview how your partnerships/ collaborations have been working
- Update on whether sector level collaborations such as Spring have supported the delivery of your projects



## Monitoring activity: Final Report One-off Report

- This report will be required of all projects at the end of the project and will focus on reflecting on the success of the project and any lessons learnt.
- It is Ofwat/ the Delivery team's chance to fully understand the project's outputs, outcomes and impacts at the project completion.
- The Executive Summary will be published on the Fund's website unless otherwise agreed with the project team. A draft final report will be due 6 weeks before the projects technical completion date.

The purpose of the **Final Report** is to:

- Provide a clear, publishable summary of project delivery and approach
- Include verifiable evidence of outputs, including any IP
- Help Ofwat and delivery teams understand project outcomes and impacts
- Highlight opportunities to extend project benefits across the sector
- Support evaluation of the project's effectiveness for future Fund improvements.

**Overview of what you will need to provide:**

- Introduction/ project details
- Innovation Challenge
- Project Governance and EDI
- Project Methodology/Approach/Delivery
- Key Findings and Outputs
- Outcomes
- Impacts
- Dissemination and knowledge sharing
- Outturn monitoring data
- Any supporting information



## How to report a project change

Please highlight any changes to your project either directly or in your bi-annual monitoring report with some justification. This may trigger a meeting with the delivery team if this is a significant change. See the table below as a guide as to types of changes and how to report them to us.

For any changes requiring the Project Change Request form, please send the completed form to **[waterinnovation@challengeworks.org](mailto:waterinnovation@challengeworks.org)**, and we will seek approval from Ofwat. The form will be shared with you.

### Bi-annual Monitoring only

- Minor Budget Changes (Less than 5% of your budget)

### ASAP let us know (no approval needed):

- Project Lead Change
- High Risk Realised
- Timeline Delays

### Project Change Request form (approval needed):

- End date changes (No-Cost to Fund Extension)
- Partner change (excluding Lead)
- Other e.g. Significant Scope Changes

# Break

*Five-minute break (1.30 – 1.35 pm)*

**Learning and Comms opportunities**





## Communications for the Fund

**What we do:** Coordinate PR, social media, and web content which:

- Highlights how water sector innovation is addressing major challenges
- Promotes the Fund and the competitions to encourage participation in future rounds
- Celebrates success and shares insights and learnings from the projects to the sector and beyond

### **How we work with you:**

- Draw on the information you've already provided to us
- Involving you in our announcements
- Supporting you in your announcements (get in touch!)







## Public Relations (PR)

For projects that are underway, we want to show them in action and the impact they are having.

For example, please tell us when:

- Projects are moving from planning into the "real-world" (e.g. a new prototype is developed)
- Good photos and videos that tell the story of the project become available (or there'd be an opportunity to capture them with a site visit) (e.g. a new trial site is set up)
- There's been a significant development or learning which is worth sharing with the wider world (e.g. a new report is being published)

water  
magazine

HOME LATEST NEWS SUPPLIER DIRECTORY EVENTS MAGAZINE ARCHIVE MEDIA DATA SUBSCRIPTIONS

The WiseO  
Insights from industry leaders  
Co-created and sponsored

Water Literacy  
Programme



INDUSTRY NEWS  
New Water Literacy accredited  
training free to first 2000 learners

February 5, 2025

**Real-world outputs are much more exciting for press than the promise of something in the future.**



## Communications for the Fund – examples

A few examples of how we've profiled funded projects recently:

- Series of 3 blogs on projects with an international partner
- Guest blog from UU about Water Industry Printfrastructure
- Guest blog from Anglian Water about the [importance of partnerships](#)
- Guest blog from Anglian Water about hydrogen lessons learned from the [TCR project](#)
- Invited projects to take part in panels at the European Wastewater management conference and Reset Connect in June 2025
- Using 8 projects as case studies in our upcoming learning report on Nature based solutions (publication next week)
- Supported the Water Literacy project with the launch of their programme in February by providing a quote from Ofwat for their press release



## Learnings / Lessons learned

### What are lessons learned?

Lessons learned refer to the **knowledge gained** by reflecting on the successes and failures/ positive and negative experiences of a project in order to **improve** how we do things over time, reproduce good results, and avoid repeating mistakes in the future.

They can cover a variety of topics from project set-up, programme management but also technical aspects of the projects.

It's important for us to hear about them as they help us understand the types of learnings coming out of the projects, where and how does change happen but also they can help the other funded projects learn from others, and avoid many teams working on trying to solve a solution the same way.



## Learnings / Lessons learned

### The positive and the negative

It is extremely important for us to understand why things don't go the way they were planned, and how this can have a positive or a negative impact. The Fund is funding innovative projects, and they have inherent risks attached to them.

The most common causes of project failure in project management are

Poor planning

Kitchen sink syndrome

Inadequate resources planning

Poor communication

Inadequate monitoring

Unrealistic expectations

Lack of transparency

Unrealistic deadlines

Poor risk management

Inadequate stakeholder  
management

Lack of detail control



## Learnings / Lessons learned

### Innovation projects

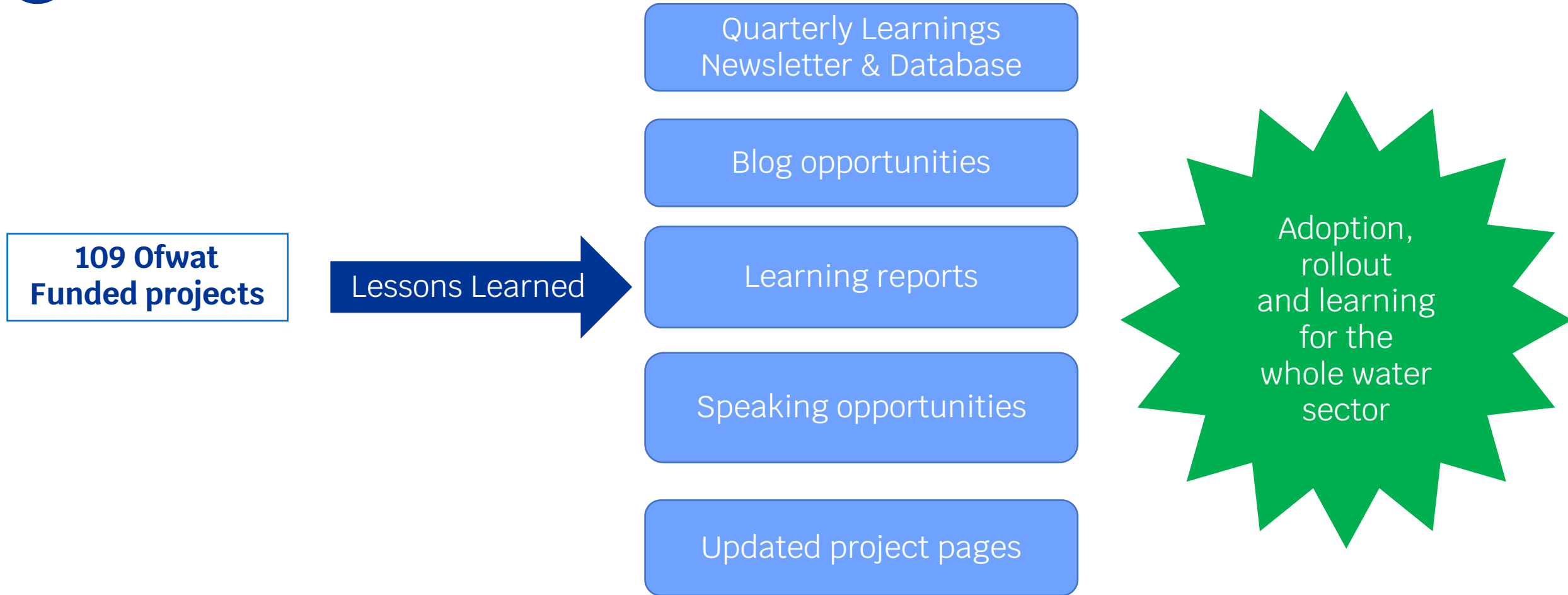
Through the Fund, and the support of innovation projects, we are expecting to see you try and bring new ideas, new technologies, new ways of working to the sector, **but** it might not always work – or might have unintended consequences! And the Fund does not have an issue with this, as long as the reasons ***why are documented and explained to be beneficial for the sector now and at a later date.***

- You wanted to gasify sewage sludge, it works but you are actually struggling to store the gas – *tell us why*
- You wanted to use AI to identify different types of algae, but actually found out that it can track phosphorus in water– *tell us how*

As the delivery team, we are also looking for synergies within the winning cohort. We have produced **learning reports** around projects that are working on similar topics. The first three reports were published and made available to the sector last year on the topics of **Circularity in water, water-efficient communities and wastewater systems. A new report on nature-based solutions is publishing next week (17 June).**



## To recap...



**Available resources**





## Resources for winners

The [Information for Winners page](#) of the website is your go-to page for everything you need to know about Monitoring deadlines, reporting requirements (including report templates and examples), change request processes, Comms information, sharing learning and more. We keep this page updated regularly with changes to processes and templates.

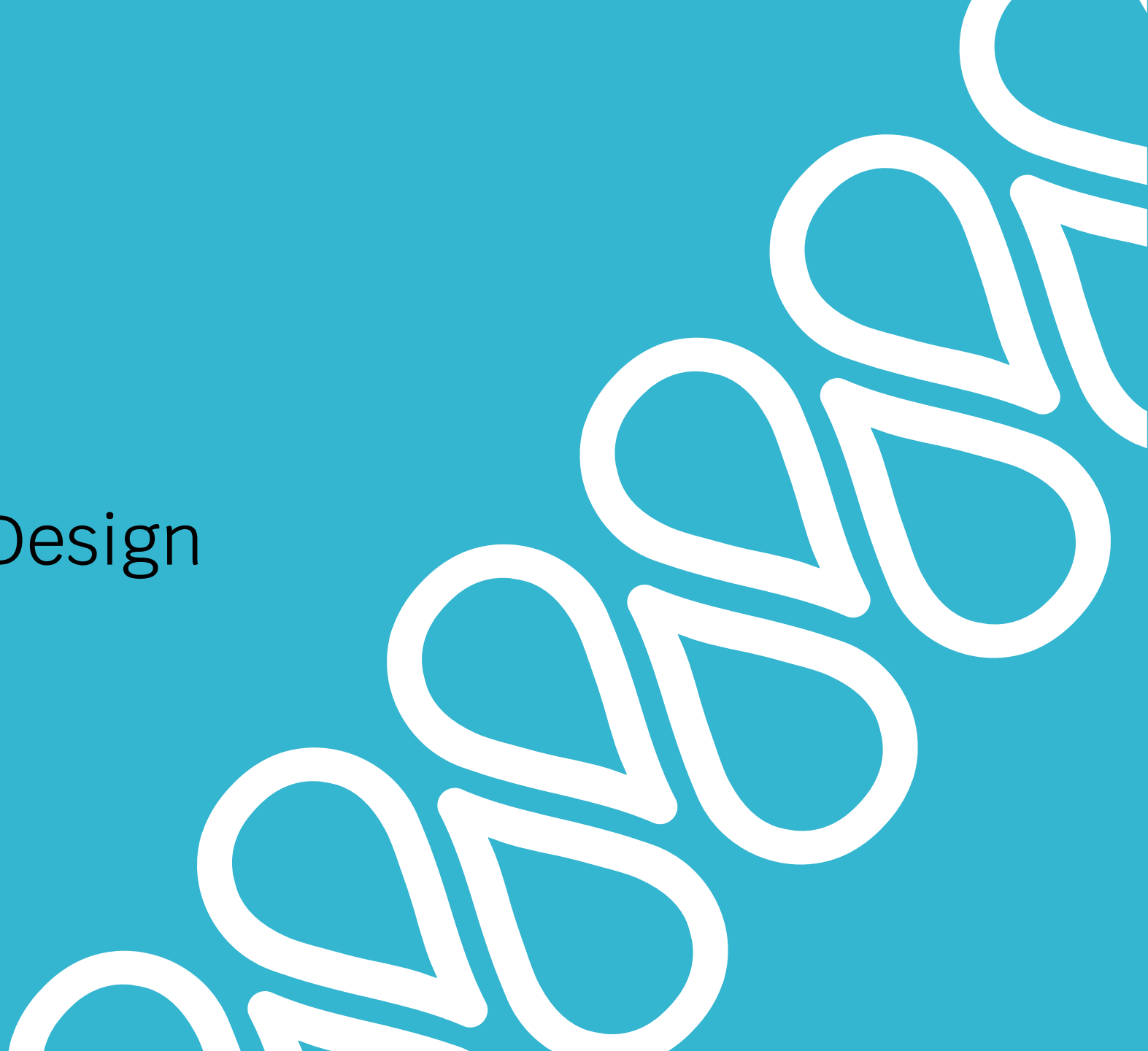
From the Breakthrough 4 Onboarding event, please see the recording for insights from previously funded projects on the following topics:

- [Deep dive: Setting up for success](#) - In conversation with Naina Singh and John Russell (Severn Trent Water) (from 10:10 – 24:00)
- [Deep dive: Final report – format and expectations](#) - In conversation with Helen Patterson (Northumbrian Water) (from 44:03 – 55:00)
- [Deep dive: Sharing learnings](#) - In conversation with Phil Buckingham (Anglian Water) (from 1:24:34 – 1:33:10)



# Looking ahead

## Breakthrough 6 Design





## Have your say on Breakthrough 6

**We are keen to learn from your experience as entrants in Breakthrough 5**

- We are including some questions in the survey at the end of the webinar
- Please make sure you complete that if you are interested in contributing your thoughts to Breakthrough 6 design which will be taking place over the summer

Questions



Thank you!

