Empty Homes Programme 2012-15

Scheme Processing in IMS

Version 1.1

<table>
<thead>
<tr>
<th>Version</th>
<th>Date Issued</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.0</td>
<td>27/07/2012</td>
<td>First Issue</td>
</tr>
<tr>
<td>1.1</td>
<td>14/08/2012</td>
<td>Second issue - Amendments to 3.3 Acquisition Milestone achievement</td>
</tr>
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</table>
INTRODUCTION ............................................................................................................. 3

STEP 1 PROVIDER AND HCA SIGN-OFF IMS PARTNERSHIP & GRANT AGREEMENT ...................................................................................................................... 4

1.1 PROVIDER SIGN-OFF .............................................................................................. 4

STEP 2: CREATING A SCHEME .................................................................................... 7

2.1 PROVIDER OPENS A NEW IMS SCHEME RECORD ...................................................... 7

2.2 PROVIDER COMPLETES UNIT DETAILS FOR SCHEME RECORD ................................. 16

2.3 PROVIDER COMPLETES DEVELOPABLE SCHEME TASKS UP TO AND INCLUDING PROVIDER SUBMISSION TASK ........................................................................ 22

2.4 HCA VARIATIONS SIGN-OFF .................................................................................. 32

STEP 3 START ON SITE MILESTONE ACHIEVEMENT ................................................. 34

3.1 PROVIDER RECOGNISES START ON SITE/ OTHER MILESTONE ACHIEVEMENTS .... 34

3.2 PLANNING CONSENT MILESTONE ACHIEVEMENT .................................................... 27

3.3 ACQUISITION MILESTONE ACHIEVEMENT .............................................................. 29

3.4 START ON SITE MILESTONE ACHIEVEMENT .......................................................... 31

3.5 HCA START ON SITE MILESTONE SIGN-OFF .......................................................... 33

STEP 4 GRANT CLAIMS .................................................................................................. 42

4.1 PRACTICAL COMPLETIONS ENTRY .......................................................................... 35

4.2 AMENDING THE GRANT AMOUNT ......................................................................... 36

4.3 CLAIM PROCESSING ............................................................................................... 38

STEP 5 HCA APPROVES GRANT CLAIM AND RELEASES PAYMENT ......................... 47

APPENDIX 1 BUSINESS RULES AND HCA OPERATING AREA CODES 41
Introduction

A. Purpose of this guidance

The purpose of this document is to provide guidance to Providers on the creation and processing of schemes in IMS for the 2012-15 Empty Homes Programme (EHP).

Please note: This is an updated version of the standard Affordable Homes Programme Scheme Processing guidance reflecting changes in IMS that are specific to Empty Homes. As a result the screen shots used are for illustrative purposes only and do not represent the submission of a single Empty Homes Offer.

Please note: The functionality for schemes remains fairly consistent with that previously used in the 2008-11 programme. For the new 2011-15 programme this guide should help partners with creating a scheme, processing a start on site stage and claiming completion grant.

B. Offer Scheduling in IMS

For the 2012-15 Empty Homes Programme (EHP) Offers will be captured via the new Offers application within IMS rather than the Bids system. In order to be able to create schemes within IMS, providers need to have created scheme profile lines within the Offers system. Please use the Offer Scheduling guidance provided on the HCA website to help create the scheme profile lines.

http://www.homesandcommunities.co.uk/ourwork/ims-help

C. IMS Themes

Please note: This guidance has been produced using screen shots of IMS viewed via the Luna Blue theme. To select this theme, select Tools menu > Themes > Luna Blue Theme > Save

E. User Support

For help accessing the IMS system or to report a problem, please contact the helpdesk on 01908 353604

For queries relating to your schemes, please contact the appropriate HCA Operating Area Office: http://www.homesandcommunities.co.uk/inyourarea

F. Related Documents

- 2011-15 Affordable Homes Programme – Framework
- Empty Homes Bidding Guidance
- Affordable Housing Capital Funding Guide
- IMS Help Page – contains IMS Users Guides
Step 1 Provider and HCA Sign-Off IMS Partnership & Grant Agreement

Where a new IMS Agreement has not yet been signed-off, the Provider (Step 1A), HCA Lead Operating Area (Step 1B) and HCA Provider Management team (Step 1C) must sign-off the IMS Agreement in sequence before any HCA grant can be claimed.

The Partnership and Grant Agreement sign-off process only has to be completed once by the Provider and HCA for each IMS Agreement.

If there is an existing Agreement that has been signed-off, Providers should start from Step 2 of this guide.

Please note: This is a system process and is separate from the contractual grant agreement between the Provider and the HCA.

1.1 Provider Sign-Off

Security authority required for Provider sign-off

<table>
<thead>
<tr>
<th>Organisation Type</th>
<th>IMS Security Authority Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Social Landlord</td>
<td>RSL Partnership Sign-Off</td>
</tr>
<tr>
<td>Unregistered Body (NPXXXX)</td>
<td>URB Partnership Sign-Off</td>
</tr>
</tbody>
</table>

From the IMS System Manager screen >Select Bids > Partnership Agreement and Grant Agreement Documents

The Partnership and Grant Agreement record will then be listed:

<table>
<thead>
<tr>
<th>Partner ID</th>
<th>Description</th>
<th>Organisation Code</th>
<th>Organisation Name</th>
<th>Programme Period</th>
<th>Responsible for Scheme &amp; Payment Processing</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>Consortium</td>
<td></td>
<td>Housing Group</td>
<td>2009-10</td>
<td>Partner Lead</td>
</tr>
<tr>
<td>21</td>
<td>Development Consortium</td>
<td></td>
<td>Housing Group</td>
<td>2009-11</td>
<td>Partner Lead</td>
</tr>
<tr>
<td>181</td>
<td>Development Consortium - 2011-15</td>
<td></td>
<td>Housing Group</td>
<td>2011-15</td>
<td>Partner Lead</td>
</tr>
<tr>
<td>1457</td>
<td>Development Consortium - AHP 11-15</td>
<td></td>
<td>Housing Group</td>
<td>2011-15</td>
<td>Partner Lead</td>
</tr>
</tbody>
</table>

Click in the row to highlight the record in the above screen, then right-click to obtain the menu and then select Review/Update Contract Types:
The following screen is displayed:

Upon right clicking on this line, choose the **Review Sign Off** option:

The following **Review Sign Off** screen is displayed:

- The Provider should **Sign Off** their section and add an appropriate sign-off comment;
- Ensure ‘Lead Organisation’ is selected for **Processing of Schemes & Payments done by**;
- Select **Save**.

The Provider Sign off is then complete.
The example screen above shows that the Provider has signed-off the IMS Partnership and Grant Agreement record and the sign-off by the HCA Operating Area and the HCA Provider Management team (“Headquarters”) has been completed.
Step 2: Creating a Scheme

2.1 Provider opens new IMS scheme record

<table>
<thead>
<tr>
<th>Organisation Type</th>
<th>IMS Security Authority Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Providers</td>
<td>RSL Input Schemes</td>
</tr>
<tr>
<td>Unregistered Body (NPXXXX)</td>
<td>URB Input Schemes</td>
</tr>
</tbody>
</table>

From the System Manager screen select Schemes > New Scheme

The following dialogue box is then displayed:

Is this scheme under a 2011-15 Framework Delivery Agreement?  

Yes  No  Cancel

In order to proceed with a scheme within the 2011-15 Framework Delivery Agreement you will need to select ‘Yes’.
The complete list of scheme offer profiles created in the Offers system will be displayed on screen similar to this example:

The following information is then displayed from the Scheme Offer Profile dependent on how much information had been input at that time:

Please select the appropriate offer line and then click on the Create Scheme button as shown with the arrow in the Offer Profile display box above.
**Scheme Address**

**Scheme Title** – Please review the title which will make this scheme record easily identifiable to you. For example, you can use plot number and site name.

**Scheme Address 1** – In the first field please enter street number if known.

**Scheme Address 2** – Enter area/town as appropriate

**Postcode** – Enter Postcode of scheme (must be in valid postcode format as recognised by the Post Office). If a postcode is not entered then when the screen is saved the following message will be generated. If this is a New Build scheme which no postcode has been allocated to yet then please select Yes.

![Incomplete Post Code](image)

**Duplicate Addresses**

For any given scheme address there may be duplicate addresses for schemes with the same postcode, which have previously been opened. If so, the message below will be displayed:

![Duplicate Address Found](image)

If you wish to view the duplicate addresses, select Yes and the following Duplicate Address Details screen will be displayed:

![Duplicate Address Details](image)

<table>
<thead>
<tr>
<th>Scheme No</th>
<th>House Name</th>
<th>Street No</th>
<th>Street</th>
<th>Town</th>
<th>Post Code</th>
<th>Contact</th>
<th>Phone</th>
</tr>
</thead>
<tbody>
<tr>
<td>20</td>
<td>Severn Dr</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>13</td>
<td>Crescent Pl</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phase 1</td>
<td>Park Hall Villa</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>20</td>
<td>Winston Rd</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>82</td>
<td>Plant's Lane</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>30</td>
<td>Thistle Close</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>School Lane</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>25</td>
<td>Woodlands</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>47</td>
<td>Lensdowne Rd</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>11</td>
<td>Bank Crescent</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>48</td>
<td>Breckland</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Check that the scheme address is correct and that a scheme has not already been opened and that any addresses on the list are Duplicate Addresses in other locations. If so, tick the duplicate address check box before saving the Open File screen.

**Note: If a full postcode has not been entered and the provider does not sign off as a duplicate address then a variations approval will be generated to be signed off by the HCA area team covering ‘Duplicate Address Variations’**

**HCA Contact**

An HCA contact must be selected. Left-click in the field and then right-click to see the HCA Contact search screen. This will display a list of HCA contacts for the HCA Operating Area where the scheme is located. Highlight the relevant contact name and select **Save**.

Operating Area Office contact details can be found on the HCA site at [http://www.homesandcommunities.co.uk/inyourarea](http://www.homesandcommunities.co.uk/inyourarea)

**Saving the open scheme task screen**

Once all the above data has been entered, click the save icon in the top left of the screen and the following Save Open Scheme File message will be displayed which confirms the six-digit IMS Scheme number of this scheme (565584 in example below) prefaced by the HCA Area code (84 in the example below): {A complete list of HCA Area Codes is included in the Appendix}

Once the scheme record has been created it is possible to exit the system and return to the scheme later to continue processing.

**After saving the task screen:**

- Select the next Task icon to go to the next task screen;
- Or use the exit application icon to return to the newly–created Task List.

Other key icons in order to move between various screens and progress with the scheme are;

- Select the Previous Task icon to go to the previous task;
- The save button
- Select the scheme event list
- To delete the entire entry of a screen and return to previously completed screen [explained in greater depth overleaf]
At any point whilst progressing through the various screens when entering scheme details into IMS you can ‘trash back’ in order to delete entire screens. This facility can be used to troubleshoot particular issues on earlier screens which need amending and do not require the scheme to be terminated and restarted entirely. At the top of each entry screen there is a trash can icon which when clicked will produce a pop up message asking providers to confirm that all the information on that screen will not be saved and you will go back to the previous screen.
Scheme Task List:

Although the above example screen shows the task list for a rent scheme, all scheme types work according to the same principles, albeit there may be different task screens in the task list for different scheme types.

Each Task represents a screen of data. Each Task must be completed in the order set out in the Task List. The example screen above shows the open scheme task is complete as it has start and end dates. None of the other tasks have been started.

Double-click on a task row in the screen above to view the particular task screen.

Select the close folder icon in the above screen to move up a level to the newly created **scheme event list**.

The example **Scheme Event List** screen below shows the Submission of a Developable Scheme event (this event could be considered broadly equivalent to the Grant Confirmation task which many users of IMS prior to 2011-15 will be familiar with.

Double-click on the Rent Submission of Developable Scheme row shown in the screenshot below to return to the task list for the event.
To find an existing scheme in IMS:

From the System Manager screen;
Select Schemes;
Select Scheme List.

The Scheme Parameters screen will then be displayed.

Add the scheme number into the appropriate field below to return the scheme record.

If the scheme number is not known then use the parameters to search for the scheme. Choose the parameters and then select OK to return a list of schemes matching those parameters. For example, select ‘Rent’ in the Sub Product parameter field to display a list of all Rent schemes for the Provider. Location LA (put cursor in blank field and to access the LA Code search facility) and Operating Area are useful filters that can also be used individually or in combination with other fields in order to refine the search for a particular scheme.
<table>
<thead>
<tr>
<th>Agreement / Project</th>
<th>Sub-Product / Scheme</th>
<th>Other</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partnership Id:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Agreement Id:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Project Id:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Location LA:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Sponsor LA:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Operating Area:</td>
<td>All</td>
<td></td>
</tr>
<tr>
<td>Sub Region:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Growth Point:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Pathfinder Priority Area:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Growth Zone:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Rural Site:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>S103 Agreement:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Growth Support Fund (Affordable Housing):</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Community Land Trust:</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Strategic Site:</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Accessing the Scheme from the Scheme List

Highlight the scheme row for the particular scheme. Then right-click.

Select View Scheme Events or Update Scheme Events (always select ‘Update’ if you are going to update or change the scheme record).

The Scheme Event List is then displayed showing all of the scheme and payment events for the scheme:

Double-click on any of the event rows in the screen above to access the Task list for that event.
2.2 Provider completes unit details for scheme record

Having created the scheme in section 2.1 Provider's should continue to complete the tasks in the task list in order.

Double-click on the View/Select Unit Details event in the Task List screen:

In this task the Provider is able to breakdown the differing types of unit on their scheme.
The initial message on opening this stage is displayed above. Click on ‘ok’ and then use the new button (shown by the arrow above) to open up the Unit Type Entry box.
Providers complete each of the relevant boxes on this, the Unit Detail, tab. When selecting particular options from the drop-down selections other fields become relevant and ‘unlock’ to enable providers to complete with additional detail.

Fields which are not relevant to the particular unit type or scheme will remain ‘greyed out’ throughout this stage.

For Empty Homes the Works type defaults to “Rehab”.

For Lease length (months) the number of months entered will be validated against the estimated lease length range entered at Offer line level. If the value is not within the lease-length range that was selected at offer-line level a warning message will be displayed, as below.
Providers should click “OK”. If the lease length needs to be amended Providers can return to the Unit Detail screen. If the lease length is correct Providers can proceed and a scheme variation will be raised.

For Affordable Rent products click on the Rent tab and complete the fields as appropriate. The expected market value (£) is the value of the property.

For Affordable Home Ownership click the Shared Ownership tab and complete the fields as appropriate.
The Proposed rent per week must be between £1 and £999 pounds. If the values entered exceed this the following message is shown. Click OK to amend the entry:

```
Error

Proposed rent per week (£): must be between £1 and £999.
```

The proposed rent per week cannot be greater than 3% of unsold equity. If the values entered exceed this the following message is shown. Click OK to amend the entry:

```
Error

Proposed rent per week (£): cannot be greater than 3% of unsold equity value (6490).
```

- Repeat the process of clicking on the New Button for each different size and type of unit until you have the total units for the scheme.
- If the number of units does not equal what was specified in offers profile line then IMS will return an error message such as the one shown below.
The system will check that the total number of units, number of larger homes (3 or beds), average rent per unit, number of affordable rent and social rent agree with the amounts set out in the profile.

Appropriate error messages will be displayed to help correct the disparities, such as the example shown below (for illustration only. S106 units are not part of the Empty Homes programme).

Once the unit details are entered, press the save button and then use the icons below to move to the next screen.
2.3 Provider completes developable scheme tasks up to and including Provider submission task

<table>
<thead>
<tr>
<th>Organisation Type</th>
<th>Action</th>
<th>IMS Security Authority Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Provider</td>
<td>Input Scheme tasks</td>
<td>RSL Input Schemes</td>
</tr>
<tr>
<td>Registered Provider</td>
<td>Input milestone data</td>
<td>RSL Maintain Forecast</td>
</tr>
<tr>
<td>Registered Provider</td>
<td>Provider Submission task</td>
<td>RSL Submit Schemes</td>
</tr>
<tr>
<td>Unregistered Body (NPXXXXX)</td>
<td>Input Scheme tasks</td>
<td>URB Input Schemes</td>
</tr>
<tr>
<td>Unregistered Body (NPXXXXX)</td>
<td>Input milestone data</td>
<td>URB Maintain Forecast</td>
</tr>
<tr>
<td>Unregistered Body (NPXXXXX)</td>
<td>Provider Submission task</td>
<td>URB Submit Schemes</td>
</tr>
</tbody>
</table>

A completed task list is shown below displaying each of the screens which providers work through to complete the entry of the developable scheme.

![Task List](image)

A completed unit details screen is shown overleaf.
The next two screens are the Capital and Revenue Details entry pages. These screens ask for more detail than in 2008/11 and will allow the HCA to understand contributing costs to development.

The Capital Details screen for an off the shelf scheme, therefore, works costs are 0.
Providers need to complete this screen following the prompts given by IMS to ensure that all relevant data for the scheme is entered. Important points to note are:

- Acquisition cost details are entered. For lease & repair schemes if the lease cost is offset against the future rental income enter an acquisition cost of £0.
- Works costs need to be broken down into the various sub-categories and by houses and flats on the scheme, when entered by clicking on the edit button.
- On costs need to be broken down as much as possible and can be entered by clicking on the edit button.
- Capital Income details are entered. Here Providers are asked to specify at scheme level the values (previously entered at Offer level) listed below by clicking the edit button.

Once the Capital Detail screen has been completed and saved, providers can move on to the next screen and enter the Revenue details on the scheme. Again, there are important points to ensure are entered:

- Revenue costs are to be entered for the scheme including management and major repairs costs.
- If other revenue costs are entered then providers will be asked to specify the source by using the specify button.
- If there are other revenue sources these will need to be specified too.
There are a number of Business Rules which lie behind the entries made on the Capital and Revenue Detail screens and if these rules are breached a variations stage will be added. [A complete list of the Business Rules is included towards the end of this guidance.]

Development Codes is the next screen and providers will enter the details as required.

Following this, the Milestone Details screen will open.

The Milestones will be copied from the Maintain Profile Line. To record that each milestone has been achieved, providers can right-click on the relevant row.

At the Start on Site milestone, providers, delivering units on a long lease & repair or purchase & repair basis, will be required to enter in details of the related HQI project on the following screen:
Providers should enter the HQI project ID into the relevant field. This will generate the following summary window.

To accept the HQI project press close and then press save on the milestone page.
The next screen is the Housing Quality Indicators.

For schemes being delivered on a lease & repair basis where the lease length is the less than or equal to 15 years Providers will see the following HQI screen:
The HQI scores and HQI certification will be greyed out. All other available fields should be completed and Providers should verify whether the scheme will meet or exceed Decent Homes Standards using the available options in the drop down:

<table>
<thead>
<tr>
<th>Code for sustainable homes:</th>
<th>Quality criteria:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Eco Homes</td>
<td>A - Lifetime Homes Standard</td>
</tr>
<tr>
<td>Methods of modern construction</td>
<td>B - Secured by Design</td>
</tr>
<tr>
<td>Decent Homes Standards</td>
<td>C - Adaptable Roof Space provision</td>
</tr>
<tr>
<td>Decent Homes Standards</td>
<td>D - Considerate Constructors Scheme</td>
</tr>
<tr>
<td>Decent Homes Standards</td>
<td>E - Construction Skills Certification Scheme</td>
</tr>
<tr>
<td>Decent Homes Standards</td>
<td>F - Urban Design Compendium</td>
</tr>
<tr>
<td>Decent Homes Standards</td>
<td>G - CABE Enabling</td>
</tr>
<tr>
<td>Decent Homes Standards</td>
<td>H - Not Applicable</td>
</tr>
</tbody>
</table>

These homes do NOT meet Decent Homes standards
These homes meet Decent Homes standards
These homes exceed Decent Homes standards

For schemes being delivered on a lease & repair basis where the lease length is greater than 15 years or for schemes being delivered on a purchase & repair route Providers will in addition need to complete the Housing Quality Indicator scores and HQI certification.

If these have been entered at the Start on Site milestone they will be copied across to the HQI milestone, as below. Providers should complete the HQI certification.
If while working through the Development Codes, Milestones Details and Housing Quality Indicators screens the Provider amends any of the data from the Offer profile line which requires the HCA to approve the change and is a difference from the contract, then once the task is saved IMS adds an additional variations approval task into the task list.

These material changes will then be signed off by the HCA Contract Manager and discussed at the next quarterly review meeting.

Variations that are subject to additional HCA Operating Area sign-off require the Provider to add a comment to explain the variation in the Provider Submission task.

An example of a message displayed when HCA approval is required is below.
Milestones have been varied and the pop up message display shows that the HCA will need to approve this change.

Below is an example of the variations screen requiring providers to enter a comment for the reasons behind each type of variation. These submissions will be assessed by the HCA.
At the provider submission stage a confirmation message is displayed requiring a response on whether the Local Authority supports the scheme.

**Confirmation required**

Has the developable scheme received the support of the Local Authority?
We acknowledge that this may be verified by the Agency with the Local Authority.

Yes  No

Once the scheme has been submitted the HCA operating area appropriate to the scheme will assess the submission and approve or discuss with the provider as necessary. The next section explains the stages that the HCA complete in order to approve variations and accept the developable scheme.
2.4 HCA Variations Sign-Off
If any variations exist between scheme data and the offers data then additional HCA variations sign-off is required.

To view the Variations
Access the Variations Approval task screen via the Task List for the appropriate event:

In the example screen above, there are unit and miscellaneous variations for this scheme and the Provider's comments regarding each variation can be viewed.

Clicking on the Misc Variations button will display the miscellaneous variations screen. In the example screen below there are Cost and Grant variations:
Double-click on the **Cost Variations row** to view the **Cost Variances**:

<table>
<thead>
<tr>
<th></th>
<th>CURRENT</th>
<th>PREVIOUS</th>
<th>DIFFERENCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Acquisition Costs</td>
<td>360,000</td>
<td>360,000</td>
<td>0</td>
</tr>
<tr>
<td>Works Costs</td>
<td>2,143,305</td>
<td>2,145,000</td>
<td>-1,705</td>
</tr>
<tr>
<td>On Costs</td>
<td>241,225</td>
<td>241,225</td>
<td>0</td>
</tr>
</tbody>
</table>

Repeat the process for each set of variations in order to assess the level of change.

**Approving the Variations**

If the variations are acceptable, add a comment in the HCA comment field and then select the save icon in the top left of the Variations Approval task screen.

The following Save message will be displayed.

![Save message](image)
Step 3 Start on Site Milestone Achievement

3.1 Provider Recognising Start on Site

Under the Empty Homes Framework Delivery Agreement for 2012/15 Providers will receive grant payment for schemes upon completion. Providers are required to put schemes onto IMS within 10 days of starting on site if not earlier.

Depending on the processing route IMS will generate scheme milestones so that planning, acquisition and start on site dates can be entered.

Lease & Repair:
- Planning Consent (Optional)
- Acquisition – Providers should enter the date when secure legal interest in the property is taken
- Start on Site
- Final Cost

Purchase & Repair:
- Planning Consent (Optional)
- Acquisition
- Start on Site
- Final Cost
- Occupancy

This screenshot shows the scheme milestone maintenance list enabling providers to enter achievement at the relevant stages.

When inputting forecast dates for each of the stages shown above the forecast dates cannot be set in the past. All forecast dates have to be future dates as you cannot forecast into the past. When completing the milestone achievement screens shown over the next pages of this guidance you are able to input the correct dates within these screens.
3.2 Planning Consent Milestone achievement
In the Milestone Maintenance screen click in the row to highlight the Planning Consent milestone record, right-click and select Milestone Achievement.

The following Planning Consent Milestone Achievement window is then displayed:

- **Has Detailed Planning Approval been granted?** Must be set to ‘yes’
- **Describe Type of Approval Granted:** Please enter description (min. 20 characters)
- **Resolution to / Planning approval granted on:** Today’s date or earlier date must be entered

Select **Save** in the bottom-right of the screen to save the data in this screen.
Select **Submit** in the bottom left of the screen to submit the milestone achievement data. Select ‘Yes’ in the message box below to submit the data.

The Milestone Maintenance screen will then reflect that the Planning Consent Milestone has been achieved as there will be a date in the Milestone Achievement Date column for that milestone.

### Scheme Milestones

<table>
<thead>
<tr>
<th>Milestone</th>
<th>Optional Payment Applicable</th>
<th>Approved Forecast Date</th>
<th>Revised Forecast Date</th>
<th>Milestone Achievement Date</th>
<th>Payment Release Date</th>
<th>Amount</th>
<th>%</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning Consent</td>
<td></td>
<td>13 Dec 2011</td>
<td></td>
<td>13 Dec 2011</td>
<td></td>
<td>0</td>
<td>0.00</td>
</tr>
<tr>
<td>Acquisition</td>
<td></td>
<td>04 Jan 2012</td>
<td>04 Jan 2012</td>
<td></td>
<td></td>
<td>0</td>
<td>0.00</td>
</tr>
<tr>
<td>Start on Site</td>
<td></td>
<td>05 Jan 2012</td>
<td>05 Jan 2012</td>
<td></td>
<td></td>
<td>0</td>
<td>0.00</td>
</tr>
<tr>
<td>Final Cost</td>
<td></td>
<td>20 Dec 2012</td>
<td>20 Dec 2012</td>
<td></td>
<td></td>
<td>201,410</td>
<td>100.00</td>
</tr>
</tbody>
</table>

**3.3 Acquisition Milestone achievement**

In the Milestone Maintenance screen click in the row to highlight the Acquisition milestone record, right-click and select **Milestone Achievement**.

The following Acquisition Milestone Achievement screen will then be displayed:
• **Has Acquisition occurred?** Must be set to ‘yes’.

• **Acquisition contracts completed on:** Today’s date or earlier date must be entered. – Providers should enter the date when secure legal interest in the property is taken

• **Please provide detail of acquisition:** One of these categories must be selected. For properties that are being brought back into use using the lease & repair process route select the second option:

  - **Unconditional acquisition of long leasehold interest**

  The reference to “long” leasehold is not of material interest at this point.

Select **Save** in the bottom-right of the screen to save the data in this screen.

Select **Submit** in the bottom left of the screen to submit the milestone achievement data.

The following confirmation message will be displayed. Select ‘Yes’.
3.4 Start on Site Milestone achievement
In the Milestone Maintenance screen click in the row to highlight the Start on Site milestone record, right-click and select Milestone Achievement.

The following Start on Site Milestone Achievement screen is then displayed;

- **Actual Start on Site:** Start on Site date must be entered
- **HQI Project ID:** Enter HQI Project Id

Providers must undertake a full HQI assessment on this site before drawing down funding. This is done by inputting and approving a HQI project for this site in IMS.

Please note: IMS compares the scores input at bid stage with the scores from the HQI project which is linked to at SOS milestone achievement stage. If there is any difference in the scores then milestone achievement will be subject to additional sign-off by the HCA Operating Area.

Select **Submit** in the above screen to submit the milestone achievement data. (*greyed out* in screenshot above as a relevant HQI number has not been entered)

If any variation in HQI scores between SOS Milestone and bid, additional HCA Operating Area sign-off is required.
When submitting the final elements for a developable scheme, providers will be presented with the following message to be confirmed before submission to the HCA is possible.

```
We hereby certify that the developable scheme:
- is consistent with the Programme Offer;
- is in our opinion (acting reasonably) deliverable in accordance with the Firm Scheme Delivery Timetable and the Submitted Standards;

and that the Grant Recipient:
- possesses a Secure Legal Interest in the Site; and
- has obtained all Consents necessary for the lawful development of the Developable Scheme to the Submitted Standards as are then required.
```

Once the start on site milestone has been entered and all of the relevant screens are complete your scheme should look something like this;
3.5 HCA Sign-Off

If any variations exist between scheme data and the offers data then additional HCA variations sign-off will be required.

To view the Variations

Access the Variations Approval task screen via the Task List for the appropriate event as displayed in section 2.4 above.

Approving the Variations

If the variations are acceptable, add a comment in the HCA comment field and then select the save icon in the top left of the Variations Approval task screen.

The following Save message will be displayed.
As was mentioned earlier in the 2011-15 programme a number of Business Rules lie behind some of the core data on the Capital and Revenue screens and IMS will identify any variations which breach these rules. [The complete list of rules is at the end of this guidance.]

The variation box is shown below.

An example of a screen of various breaches is shown overleaf. The HCA can consider any breaches that occur in this screen and liaise with providers in order to progress with the scheme.

Once all of the variations have been approved the HCA will then be presented with the following message to ensure that the Developable Scheme to be approved continues to present value for money with the providers contract terms.
Step 4 Grant Claims

<table>
<thead>
<tr>
<th>Organisation Type</th>
<th>Action</th>
<th>IMS Security Authority Required</th>
</tr>
</thead>
<tbody>
<tr>
<td>Registered Provider</td>
<td>Log payment claim</td>
<td>RSL Input Payments</td>
</tr>
<tr>
<td>Registered Provider</td>
<td>Submit payment claim</td>
<td>RSL Submit Payments</td>
</tr>
<tr>
<td>Unregistered Body (NPXXXX)</td>
<td>Log payment claim</td>
<td>URB Input Payments</td>
</tr>
<tr>
<td>Unregistered Body (NPXXXX)</td>
<td>Submit payment claim</td>
<td>URB Submit Payments</td>
</tr>
</tbody>
</table>

4.1 Practical Completion Entry
Once the developable scheme has been approved by the HCA the provider will be presented with the following screen when accessing their scheme.

In order to begin the process for claiming the grant payment attributable to the scheme, providers will need to complete the Practical Completion Entry stage.

Many of the screens within this stage are consistent with the screens completed as part of submitting the developable scheme. IMS allows providers to copy these screens forward to save on inputting the same information again.
Once each of the screens have been completed, the last screen before submitting to the HCA asks providers to certify that their scheme has reached practical completion.

4.2 Amending the Grant Amount

One of final screens when completing the Practical Completion Entry stage is a proposed payment override. This screen enables either the provider or the HCA to amend the payment amount to a lower amount. A lower amount could be established for a number of reasons, for example, due to the scheme not fulfilling the expected level within the Code for Sustainable Homes, or the number of people housed reducing.

Initially, the screen appears as below with the original figure for the scheme.
The provider through the regular communication with their lead operating area should ideally agree the change beforehand and input it at this stage. Otherwise, this will be performed once this stage is submitted to the HCA. The screen may then look as below.

Once all of the stages are complete and the various messages confirmed the following appears which informs providers that they will now need to submit the final cost grant claim.
4.3 Claim Processing

From the scheme menu, right click and select **Forecast Payments Tranches**:

The following Grant Tranche Draw Down Schedule screen appears:

Click in the row to highlight the payment record (example below shows Final Payment on an 2008-11 scheme), right-click and select Log/Review/Recommend Claim:
The Log/Review claim screen will then be displayed.

If the save button is not available in the screen place the cursor in the RSL Comments box to activate the screen.

Select the save icon in the top left of the screen to log the claim.

Select the Submit button to submit the claim. Dependent on the way the provider administrator has set up their access permissions, submitting the claim may be a two stage process with one person logging the claim and another user submitting.
Step 5 HCA Approves Grant Claim and Releases Payment

From the scheme menu, select **Forecast Payment Tranches**:

- Update Scheme Events
- View Scheme Events
- Linked Schemes
- **Forecast Payments Tranches**
- Scheme Log Comments
- Amend Basic Details
- Staircasing History
- Redemption History
- Maintain Scheme Milestones
- HQ Amend Forecast
- HQ SHIN Facilities....
- Maintain PCS Project
- Initiative Contribution
- HomeBuy Direct Kickstart Modelling
- Intermediate Rating
- View Project

In the Grant Tranche Draw Down Schedule screen, highlight the logged payment, right-click and select **Authorise for Payment**

- Fully Explain Status Message...
- Log/Review/Recommend Claim
- **Authorise For Payment**
- More...
APPENDIX 1

Business Rules

<table>
<thead>
<tr>
<th>Rule</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Land value should be ≤ total scheme cost * 50/100</td>
</tr>
<tr>
<td>2</td>
<td>Main works costs should be ≥ total works cost * 60/100</td>
</tr>
<tr>
<td>3</td>
<td>Infrastructure, abnormal &amp; s.106 costs should be ≤ total works cost *30/100</td>
</tr>
<tr>
<td>4</td>
<td>Associated works costs should be ≤ total works cost *20/100</td>
</tr>
<tr>
<td>5</td>
<td>On-costs should be ≤ total scheme cost *20/100</td>
</tr>
<tr>
<td>6</td>
<td>Total scheme costs / number of units should be ≥ national limit</td>
</tr>
<tr>
<td>7</td>
<td>Total scheme costs / number of units should be ≤ national limit</td>
</tr>
<tr>
<td>8</td>
<td>Social Housing Assistance should be ≤ total scheme cost * 30/100 (sales schemes only)</td>
</tr>
<tr>
<td>9</td>
<td>Social Housing Assistance should be ≤ total scheme cost * 60/100 (rent schemes only)</td>
</tr>
<tr>
<td>10</td>
<td>Social Housing Assistance should be ≤ total scheme cost * 50/100 (sales schemes only)</td>
</tr>
<tr>
<td>11</td>
<td>Social Housing Assistance should be ≤ total scheme cost * 75/100 (rent schemes only)</td>
</tr>
<tr>
<td>12</td>
<td>Absolute (Surplus / Deficit) should be ≤ total scheme cost * 5/100</td>
</tr>
<tr>
<td>13</td>
<td>Management cost pa should be ≤ gross rent * 40/100</td>
</tr>
<tr>
<td>14</td>
<td>(Major repairs costs + ongoing repairs costs + other revenue costs) should be ≤ gross rent * 30/100</td>
</tr>
</tbody>
</table>

HCA Operating Area Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Region</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>London</td>
</tr>
<tr>
<td>81</td>
<td>East and South East</td>
</tr>
<tr>
<td>82</td>
<td>Midlands</td>
</tr>
<tr>
<td>83</td>
<td>North East, Yorkshire and The Humber</td>
</tr>
<tr>
<td>84</td>
<td>North West</td>
</tr>
<tr>
<td>85</td>
<td>South and South West</td>
</tr>
</tbody>
</table>