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Introduction

A. Purpose of this guidance

The purpose of this document is to provide guidance to Providers on the revised methods of processing Profile Lines within Offers and how to progress Schemes using IMS for the 2015-18 Affordable Homes Programme (AHP).

The scope of this guidance covers the stages from making changes to an Approved and Accepted Offer Profile Line, through to scheme Start on Site milestone and payments. Practical completion payments for 2015-18 AHP schemes can now occur.

This guidance will be updated with any relevant system changes over time. Providers can check the HCA website to see if later versions have been published.


B. User Support

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

For general queries, please contact the appropriate HCA Operating Area Office:

http://www.homesandcommunities.co.uk/inyourarea

C. The Offers System - Navigation and Filtering

i) Accessing the Offers System in IMS

To access the Offers System select Offers > Offers System or select Ctrl + O

The Offer System screen is then displayed:
ii) Offer System screen - Menus
The Offers system has two menus: Open and Window

Open Menu
This menu displays the area of the Offers system the user can access. Initially, this will include:

<table>
<thead>
<tr>
<th>Icon</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partnership</td>
<td>Takes the user into the Partnership Grid List. The user can access the Agreement list from the Partnership List as per the existing bidding functionality;</td>
</tr>
<tr>
<td>Offer</td>
<td>Takes the user into the Offer Grid List</td>
</tr>
<tr>
<td>Offer Line</td>
<td>Takes the user into the Offer Line Grid List. This list will be preceded by a filter screen to allow offer line filtering.</td>
</tr>
<tr>
<td>Profile</td>
<td>Takes the user into the Offer Profile list. This list will be preceded by a filter screen to allow offer line filtering.</td>
</tr>
<tr>
<td>Site</td>
<td>Takes the user into the Site List. This list will be preceded by a filter screen to allow site filtering</td>
</tr>
<tr>
<td>Monitoring</td>
<td>Takes the user into the Offer Monitoring list. This list will be preceded by a filter screen to allow offer line filtering.</td>
</tr>
<tr>
<td>Exit</td>
<td>Exits the user from the Offers system to the main IMS screen</td>
</tr>
</tbody>
</table>
The Window menu

Offer System screen (Window menu view)

This menu allows the user to display any open grids in different formats including Vertical, Horizontal and Cascade style.

The Close All option will close all open grids.

The Window option is a drop down and shows all open grids. The user can move between open grids by selecting the relevant entry from the drop down list (example below).

iii) Offer System Screen - Grid Functionality

The following functionality is offered as part of the Grid:

Buttons on Grid Form - Functionality

Add
This adds a new record.

Filter
Invokes a filter for the grid to query data.

Refresh
Refreshes the grid.

Copy rows to clipboard
Copies the selected grid rows to the clipboard.

Export rows to CSV
Exports the selected grid rows to the CSV.
**Print**

**Exit**
Closes the grid window

**Grid Columns - Functionality**

**Move Column**
The order of grid columns can be changed by pointing to the column header, holding down the left mouse click, and dragging the column to a new position.

**Sort by Column**
The sort order of the Grid data can be changed by pointing to a grid column and clicking in the column header. This will sort the data on the column.

**Grid – Functionality Enhanced**

If the user right clicks any column header, they are presented with a list of column right click options as follows:

**Columns**
Allows the user to exclude columns from the grid. When selected, the list of columns on the grid is displayed. The user can deselect or select a column.

**Sort Ascending**
Sorts the selected column ascending

**Sort Descending**
Sorts the selected column descending

**Group by**
The data in the Grid is grouped by the selected column. To ungroup, set the Group By Box to ON, and drag the Grouped By Column(s) individually from the group by header to the column area.

**Group By Box**
If this is set to ON (by clicking the menu item) the columns the user wishes to group by can be dragged to the section above the grid. To remove the group by, drag the columns back to the column heading area of the grid. To turn the facilities off, click on the Group By Box menu item again.

**Field Chooser**
If a column has been used as a Group By action and the user wishes to return the item to display in the grid, selecting the Field Chooser menu will display all fields that are currently not on the Grid. To return the column to the Grid, simply drag the column from the Field Chooser selection back to the Grid.
Alignment
Changes the alignment of data in the selected column. Options are:

- Left
- Right
- Centre
- By Type

Best Fit
Changes the sizing of the selected column so the width is adjusted to the size of data in the column.

D. IMS Themes
Please note: This guidance has been produced using screen shots of IMS viewed using the Luna Blue theme. To select this theme:

Select Tools menu > Themes > Luna Blue Theme > Save
Step 1 Amending Profiles

Background

Providers must have an approved 2015-18 programme in order to begin the processes within IMS for claiming grant. The Offers system has been improved for the 2015-18 Affordable Homes Programme to reduce the duplication of information required to be input when progressing schemes from the bidding stage to payments.

1.1 Set Scheme and Payment Processing

In order to set up the responsibility for scheme processing the lead partner of a partnership will need to go to the main IMS screen and click on the Bids dropdown menu and select the Partnership and Grant Agreement Documents option.

The provider should then right click on the appropriate 2015-18 programme line and select Scheme & Payment Processing Responsibility.

The provider would then need to specify whether the Partner Lead or the Developing Organisation will be dealing with scheme and payment processing within IMS by clicking on the radio button next to the relevant option.
1.2 Contract Sign Off in IMS

If Providers haven’t yet signed off their contract in IMS they should follow the guide below to do so. Providers will not be able to create schemes if their contract is not signed off electronically.

Firstly, go to the Partnership and Grant Agreement Documents from the Bids dropdown.

Right click on the Providers 2015-18 Partnership then choose Review/Update Contract Types

Right click on the single line displayed and select Review Sign Off.

The Provider sign-off is the second of the three stages to be completed and the HCA Provider Management team’s initial sign-off will be shown. Right click on the line and press sign off.

Step Summary:

1.3 Access to the Offers System
1.4 Offer Line Profile Filter
1.5 Offer Line Sub Product Schedule – Profile Lines
1.6 Maintain Profile Line Tabs
1.7 Maintain Profile Line Tabs – Scheme Forecast
1.8 Validating and Submitting Amended Profiles
1.3 Access to the Offers System

Select Offers > Offers System or select Ctrl + O

The following screen is then displayed:

Select the highlighted Profile button displayed above in order to identify the profile line to be used.
1.4 Offer Line Profile Filter

When entering the Profile section, Providers are first presented with the filter window, shown below, to help identify a particular profile line.

![Offer Line Profile Filter Window](image)

In this particular example the Partnership Period selected is 2015-18 which limits the displayed lines to only those from that programme period. Each of the other fields can be utilised to further restrict the results returned upon pressing the OK button. For example the Proposal Type field can be used to select between:

- **All**
  - This will be the default selection. This selection will return all proposal types.
- **Firm**
  - This will return profiles where the offer line is identified as being Firm
- **Indicative**
  - This will return profiles where the offer line has been identified as Indicative for those organisations that were able to bid for Indicative programme.

Any indicative proposals need to be specified as firm schemes before reaching the stages covered in this guidance for creating schemes. Each new scheme input into IMS ready for HCA acceptance as Firm schemes should be done no less than five days before start on site.

Once the desired profile line has been found, providers select it by clicking on the given name in the Offer Line Sub Product Profile column.
1.5 Offer Line Sub Product Schedule – Profile Lines

Once a **Profile Line** has been selected the schedule screen will be displayed as shown below.

This screen has been numbered with some of the key elements explained below.

1. For each offer line which is formed by a single firm scheme, IMS will have automatically created an Approved version 2. This is shown above with the fields highlighted in green. Using the back arrow, providers are able to see version 1 which holds the number of units and funding requested in the bulk. Version 2 displays an empty bulk schedule, the units and funding requested have been automatically moved into the scheme profile line for this particular 22 unit development.

2. The **Proposal Type**: Firm or Indicative. All indicative proposals have to become firm before progressing into schemes. (Although it is worth noting that Indicative proposals will continue to display as such even once Firm schemes are progressed.)

3. The control totals for **Funding Requested** and **Number of Units**. The totals for **Take Up** and **Balance** will move according to the schemes created.

4. Version Arrows. Enables providers to review the current and all previous versions of an Offer Line Profile.

5. Add button to add further profile line(s).

6. Delete button, to delete an entire line, the circumstances of when this option is available is limited depending on the status of the overall Offer Line as well as the particular line being deleted.
Abandon button. Will abandon changes started on a line and return to the latest Approved Version.

Create Firm Scheme button to create the scheme for the line. This option is available only once all relevant information has been validated on the profile line. This includes milestones listed in point 9 below. As much as possible providers should ensure all of the relevant information is accurate and correct in the profile before creating the scheme. Not all elements will be editable once the scheme is created.

Milestone data button. All of the relevant milestones listed under this button have to be completed before a scheme can be created.

1.6 Maintain Profile Line Tabs

Clicking on the description for the scheme profile line will display the Maintain Profile Line screen shown below. This screen opens on the profile tab, which along with the other tabs on this screen, are locked for editing until the Create a new profile line version is pressed (indicated by the black arrow in the screenshot below).

The information in each of the tabs needs to be updated as necessary, if different from the data when bidding, in preparation for creating the scheme.
Providers are then able to check and amend as necessary within each of the tabs for the **Profile Line**. There are a number of areas of note which require additional information to be entered, which were not included when bidding, they are within the **Profile, Equalities, Unit Details, Scheme Costs** and **Quality & Other Analysis** tabs.

On the **Profile** tab the **Modern Methods of Construction** needs to be selected from the dropdown list as appropriate to the scheme.

![Profile tab screenshot](image)

The provider needs to complete the **Equalities** tab in order to progress further with scheme creation.

![Equalities tab screenshot](image)

A **Measure Type** should be selected where appropriate and then an accompanying **Measure Comment** added which explains the extent of the measure on the scheme. Details of the document covering the equalities aspects proposed for the scheme can be listed on the right hand side. Providers must select an option from the **Type of Document** drop down list. If this element is not valid for the scheme, then there is a requirement for an appropriate **Equality Priorities Exception statement** to be selected for the scheme. Providers are also required to add a comment in the box labelled **Provider Comment on exception selected above:** explaining the reason for the exception.
Under the **Unit Details** tab a number of fields require completion. A drop down option has been added called **Number of Storeys per Dwelling**. Select the Unit Details tab, then right-click on appropriate rows of unit types and select Update Unit.

In the **Unit Type Entry** screen, as shown below by the black arrow, a value needs to be selected appropriate to the number of storeys for that particular unit type. For flats it is the number of storeys per dwelling rather than the total number of storeys for the block which should be listed.
Indicated by the two red arrows in the screenshot on the previous page there are two areas which require completion. The **Accessibility** category is required in relation to whether the units meet wheelchair accessible standards. The final area requiring additional information on the units type entry screen is the **Floor Area**. This section gathers further data on the Design Standards met by this unit type.

In the **Scheme Costs** tab the breakdown of the Works and On Costs are required to be added.

Click on the breakdown box and when presented with the differing options double-click to be presented with the categories for each type of cost.
The last of the tabs requiring additional information is the **Quality & Other Analysis** tab. Please complete each of the areas covering the Quality Criteria listed below as appropriate to the scheme.

- Building for Life
- Procurement Benefits
- Whole Life Costs
- Decent Homes Standard

1.7 **Maintain Profile Line Tabs – Scheme Forecast**

Under the **Scheme Forecast** tab the provider will be required to adjust the start on site date to be within the current financial year (between April and March) otherwise an error message will be displayed as a scheme cannot be created if the start on site is beyond the current year. Providers are able to adjust all dates under this tab.
Once each tab has been completed, and the provider is satisfied the content is accurate, press on the **Save** button and then the **Close** button to exit this screen.

If there are any discrepancies, that prevent IMS from saving, an error message will be displayed and providers will need to make the appropriate amendments before IMS will allow them to save the data on the screen.

Once saved, IMS will create a new version of the **Offer Line Sub Product schedule**, increasing the version number by one.

In the screenshot below the **Offer Line Sub Product schedule** is now **Version 3** and has an **Overall status** of Changed.
1.8 Validating and Submitting Amended Profiles

Providers are now able to either re-enter the scheme profile line and make further adjustments or attempt to **Validate** and **Submit** the **Offer Line Sub Product schedule** for HCA approval.

Clicking on the **Validate** button (indicated by the black arrow above) will display a list of **Validation Messages** covering any errors or warnings related to that profile line. For example, in the screenshot overleaf there are a series of warnings showing material changes and the initial input of **Equalities** data. These messages are for Providers to consider that they are as intended before submitting.
Any errors will also be displayed here and will require rectifying before the scheme can move into a status of **Valid**.

The above will be displayed once the scheme is validated.

Once the **Submit** button is pressed (shown by the red arrow in the screenshot on pg.19) the **Validation Group Comments** will be displayed which require providers to select the **Edit** button, on the right hand side, and provide a comment related to the change listed.
After appropriate comments have been added and submitted for the validation changes, providers are able to add a comment in the **Request to Change an Approved Bid** screen (see below) before submitting the revised profile record to the HCA. The submission shown on the previous page includes a material change and will require HCA Operating Area sign-off before this profile version can be moved back into an **Approved** status. Non-material changes can be validated without requiring HCA input, as IMS will automatically set the status of the new profile version to **Approved**.

A list of what might constitute Material and Non-Material changes is included at the end of this document in Appendix 1.
Step 2 Creating a Scheme

2.1 Create the Firm Scheme from the Profile Schedule

Once providers are comfortable that all of the data within a profile line is correct they can Create the Firm Scheme by pressing the button indicated by the red arrow in the screen capture below.

The Scheme will open in a new window. Providers complete each of the fields as appropriate to the scheme specified in the profile line.

A number of the fields are pre-completed from the profile; those that cannot be amended are shaded grey. The field Scheme Title will have been entered at bidding stage and fed through from profiles. This can be updated to a more a suitable title for the scheme at this point.
The postcode field needs to be completed using the standard convention in which the Post Office issues postcodes. If the convention is not followed the IMS will prompt a correction before providers will be able to save the data.

IMS will issue a warning message to providers if a postcode is entered which is not yet recognised because it is a new postcode. Checks against the latest post code datasets will be made against all new post codes until they appear in the post code dataset. Providers can enter abridged postcodes, by entering the first element of the postcode up to the space, if the full postcode has not yet been issued.

Once the provider is satisfied that all of the data is correct they need to press the Save button where IMS will issue a message stating that the ‘Data has saved successfully’.

Data saved successfully.

Save  Reset

2.2 Submission of Developable Scheme

After saving the initial scheme page providers are presented with the view shown in the Submission of Developable Scheme screen (screenshot below).

The first screen, which was completed under section 2.1, is called the Update Scheme screen and is shown with a Status of Complete along with the schemes start and end dates. The four other tasks are listed below it and all have a Status of Not Started. Please note that the unique IMS scheme number has been assigned to the scheme after saving the Update Scheme screen and is shown in the header.
Providers can either double click on the completed **Update Scheme** line or on the next stage to be completed, to bring up the **Profile Information** screen.

The details in the **Profile Information** screen have been fed through from the profile and are not available to be edited. This highlights the importance of having accurate information at the **Profiles** stage before progressing to create a scheme. If any data is incorrect the scheme will need to be terminated and the profile line revised.

If all the details are correct the provider needs to click on the **Save** button to activate the next stage. The left hand side of the screen has a shortlist of tasks, which allow providers to click on the next stage, which in this example, is the **Explain Variations** stage.
Any variations on the scheme will require a provider comment for the HCA to consider once the scheme is submitted.

To view full details of the variation select the icon and a new screen will open with the variation details. To enter a comment, type into the Variation Comment box and then select Update.

The final stage for providers is to submit the scheme to the HCA Operating Area for their approval. This stage should be not less than five days before Start on Site.
Once the HCA Operating Area has approved the developable scheme all of the tasks will display as complete. At any time prior to submission the editable data in each of the tasks can be updated. The status of the task will show as **Invalid** if a change on one of the tasks results in a change to another.

<table>
<thead>
<tr>
<th>NAME</th>
<th>START DATE</th>
<th>END DATE</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funder Variation Approval</td>
<td>25/11/2014</td>
<td>25/11/2014</td>
<td>Complete</td>
</tr>
</tbody>
</table>

After start on site has commenced, the provider (if the scheme is eligible) is able to claim a Start on Site (SOS) payment. In the screenshot below, the **SOS Payment** is shown as the next event with its forecast date alongside.

<table>
<thead>
<tr>
<th>NAME</th>
<th>TYPE</th>
<th>STATUS</th>
<th>FORECAST DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rent Submission of Developable Scheme</td>
<td>Scheme Event</td>
<td>Completed</td>
<td>08/03/2013</td>
</tr>
<tr>
<td>Planning Consent</td>
<td>Payment Event</td>
<td>In progress/Next</td>
<td>01/12/2014</td>
</tr>
<tr>
<td>Acquisition</td>
<td>Payment Event</td>
<td>Future</td>
<td>12/02/2015</td>
</tr>
<tr>
<td>SOS Payment</td>
<td>Payment Event</td>
<td>Future</td>
<td>28/06/2016</td>
</tr>
<tr>
<td>Final Cost Payment</td>
<td>Payment Event</td>
<td>Future</td>
<td></td>
</tr>
<tr>
<td>Practical Completion Entry</td>
<td>Schema Event</td>
<td>Future</td>
<td></td>
</tr>
</tbody>
</table>
2.3 Reforecasting Milestones

Providers are able to amend their scheme milestones, in the below screenshot, Providers should click on the Dates option on the left hand side.

As seen below, under the Dates view the initial display is of the View Forecast Dates table. This table shows the milestone dates which have been fed through from the Profiles stage.

<table>
<thead>
<tr>
<th>NAME</th>
<th>TYPE</th>
<th>STATUS</th>
<th>FORECAST DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rent Submission of Developable Scheme</td>
<td>Scheme Event</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Planning Consent</td>
<td>Non Payment Event</td>
<td>In progress/Next</td>
<td>25/02/2015</td>
</tr>
<tr>
<td>Acquisition</td>
<td>Non Payment Event</td>
<td>Future</td>
<td>03/03/2015</td>
</tr>
<tr>
<td>SDS Payment</td>
<td>Payment Event</td>
<td>Future</td>
<td>26/03/2015</td>
</tr>
<tr>
<td>Final Cost Payment</td>
<td>Payment Event</td>
<td>Future</td>
<td>28/10/2015</td>
</tr>
<tr>
<td>Practical Completion Entry</td>
<td>Scheme Event</td>
<td>Future</td>
<td></td>
</tr>
</tbody>
</table>

View Forecast Dates (APPROVED)

<table>
<thead>
<tr>
<th>NAME</th>
<th>STATUS</th>
<th>APPROVED DATE</th>
<th>PROPOSED DATE</th>
<th>AMOUNT (£)</th>
<th>CHANGE PENDING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning Consent</td>
<td></td>
<td>03/03/2013</td>
<td>03/03/2013</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Acquisition</td>
<td></td>
<td>01/03/2014</td>
<td>01/03/2014</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>SDS Payment</td>
<td></td>
<td>12/03/2013</td>
<td>12/03/2013</td>
<td>£329,480</td>
<td></td>
</tr>
<tr>
<td>Final Payment</td>
<td></td>
<td>28/10/2016</td>
<td>28/10/2016</td>
<td>£100,320</td>
<td></td>
</tr>
</tbody>
</table>

Audit details

<table>
<thead>
<tr>
<th>ACTION</th>
<th>USER</th>
<th>DATE</th>
<th>COMMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funder Approval</td>
<td>Richard Birmingham</td>
<td>23/02/2015 at 14:28</td>
<td>Scheme Approved</td>
</tr>
</tbody>
</table>
In order to amend these milestone dates Providers should click on the **Edit Proposed Dates** option on the left hand side. This enables the **Proposed Date** column to be 'clickable', once selected, a monthly calendar is displayed and can be used to adjust the dates as appropriate.

![Edit Proposed Dates](image)

**Audit details**

<table>
<thead>
<tr>
<th>ACTION</th>
<th>USER</th>
<th>DATE</th>
<th>COMMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Fundraiser</td>
<td>Richard Bingham</td>
<td>23/02/2015 at 14:28</td>
<td>Scheme Approved</td>
</tr>
</tbody>
</table>

![Calendar](image)
Once the forecast dates have been amended they will show as pending changes in the right hand column. Providers can save and submit the changes for HCA approval if required, (small amendments may be approved automatically if they satisfy contractual criteria).

2.4 Achieving Planning and Acquisition Milestones

If either milestone is achieved Providers are able to complete the milestone data for their scheme for Planning Consent and Acquisition before processing the Start on Site Payment. If they are not complete, Providers are able to provide an up-to-date position of where they are at in the process at the point of processing the Start on Site claim. Providers open the scheme milestones and select the Planning Consent stage from the list (shown below) to update that milestone.
Planning Consent and Acquisition milestones open to show two stages. Providers complete the details of the milestone in the **Achievement** screen whilst the second screen in submission of the stage will confirm that milestone as complete.

As can be seen in the screenshot below all of the relevant details of the Planning application process can be completed below.

Once completed and saved the Provider can submit as complete. Both Planning and Acquisition stages do not require HCA approval.
After both Planning and Acquisition stages have been processed by the Provider they will show a status of **Completed**.

<table>
<thead>
<tr>
<th>NAME</th>
<th>TYPE</th>
<th>STATUS</th>
<th>FORECAST DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rent Submission of Developable Scheme</td>
<td>Scheme Event</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Planning Consent</td>
<td>Non Payment Event</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Acquisition</td>
<td>Non Payment Event</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>SOS Payment</td>
<td>Payment Event</td>
<td>In progress/Next</td>
<td></td>
</tr>
<tr>
<td>Final Cost Payment</td>
<td>Payment Event</td>
<td>Future</td>
<td></td>
</tr>
<tr>
<td>Practical Completion Entry</td>
<td>Scheme Event</td>
<td>Future</td>
<td></td>
</tr>
</tbody>
</table>

### 2.5 Processing a Start on Site Payment

The HCA shall pay tranche grant payments within 15 days of receipt of a satisfactory application. The HCA cannot pay tranche payments before start on site has taken place.

All unregistered bodies will continue to receive grant in one tranche at the practical completion stage.

To log a SOS payment request, providers must first choose the **SOS Payment** section from the milestones list on the left hand side of the screen and then double click on the first option in the list - **Provider Log Payment**.

Providers must enter the actual start on site date of the scheme under the **Actual Start on Site Date** calendar dropdown option. All of the other information on this screen is pre-filled or will be generated once the payment request has been logged.
If a provider adds a date which is in the future IMS will display the error message below. All actual start on site dates must be either the current day, or in the past.

![Calendar with date selection]

The date must be less than or equal to today's date.

Providers must then click on the Save button. IMS will then set the Current Status to logged and the transaction details, which were blank in the screenshot at the top of this page, will now be automatically populated.
Providers can now submit the payment to the HCA by opening the next task - **Provider Submit Payment**.

On the **Provider Submit Payment** screen the logged payment information from the previous page will be shown along with the submitted date. Providers can complete the **Certifications** section by reviewing the **Certification Statement** for submitting the payment by selecting the checkbox towards the foot of the screen. Once complete, providers should then click on the **Save** button.
## Provider Submit Payment

### Payee Details

<table>
<thead>
<tr>
<th>PROVIDER CODE</th>
<th>PROVIDER NAME</th>
<th>AMOUNT (£)</th>
<th>COMMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Housing</td>
<td>352,402</td>
<td>Scheme Transaction</td>
</tr>
</tbody>
</table>

### Transaction Details

<table>
<thead>
<tr>
<th>TRANSACTION REFERENCE</th>
<th>ACTUAL START ON SITE DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>K185501</td>
<td>25/11/2014</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CURRENT STATUS</th>
<th>SUBMITTED DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Logged</td>
<td>25/11/2014 12:21:09</td>
</tr>
</tbody>
</table>

### Comments

LOG

### Certifications

Certification to appear to the provider at Payment Stage

[Save] [Undo] [Audit]
2.6 Searching for Schemes

There are now two areas where providers can find an existing scheme in IMS:

2.6.1 Schemes Route

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

The condensed Scheme Parameters screen is first displayed. The full search parameters can be found by clicking on the magnifying glass icon (highlighted by the arrow in the screenshot below).

Providers can add the scheme number into the Scheme ID to return that one scheme record. If the scheme number is not known providers can use other parameters to search for the scheme. Once the scheme number or appropriate parameters have been selected, providers then need to click on OK button to return a list of scheme(s) matching that selection.
For example, in the full search parameter window shown below, 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.
2.6.2 Offer Profiles Route

An enhanced feature for the 2015-18 Affordable Homes Programme, is the ability to open up specific schemes by clicking on them under the **Scheme ID** column (highlighted by the arrow in the screenshot below) in the **Offer Line Sub Product Schedule** screen.
Step 3 Scheme Revisions

3.1 Making Amendments to a Scheme after Start on Site Payment has been made

For the 2015-18 programme the vast majority of amendments to schemes are to be made at the Profile level within the Offers system. Clicking on the scheme profile line (as highlighted below) will open the Maintain Profile Line view.

Select the button to Create a new profile line version. This will enable changes to be made to all of the available tabs and fields within those tabs.
Providers are then able to make any amendments across each of the tabs (except for Scheme Forecast which remains at scheme level). If the scheme began early as an accelerated start in the year 2014/15, some information was excluded at that point to simplify and aid processing. This information is now required and providers can input it by creating a new profile version at any point. Final payments on schemes will not be payable until all required fields have been completed.

Once all changes are made providers should save, validate and submit. On validation various messages will be supplied summarising the changes made. In the screenshot below the list covers all the changes to works and on costs on a scheme.

If there are no errors upon validating the following message will be displayed.

If any of the changes made are considered Material then they will be listed as such in the validation message screen. [A list of all Material and non-Material changes are included in the Appendix]
Providers will have to supply a comment to explain the change(s) made, complete validation and submit to the HCA for review and approval.

When submitting the submit change comments box below can be completed by the Provider to Request to Change and Approved Bid and to summarise those changes made.
Following approval, if the changes included anything which was considered material then a revised approval stage will be inserted into the Milestones list, seen below as the fifth entry in the list of milestones.

The revised approval is made up of one screen, Profile Information, which will display the changes made.

- **NAME**: Milestones
  - **Type**: Milestone
  - **Status**: Completed
  - **Forecast Date**: 19/11/2012

- **NAME**: Milestones
  - **Type**: Milestone
  - **Status**: Completed
  - **Forecast Date**: 18/02/2014

- **NAME**: Milestones
  - **Type**: Milestone
  - **Status**: Completed
  - **Forecast Date**: 12/02/2015

- **NAME**: Milestones
  - **Type**: Milestone
  - **Status**: In progress/Next
  - **Forecast Date**: 26/05/2017

### Profile Information

#### Scheme Details
- **Number of Units**: 4
- **Processing Route**: PackageDeal (incl. land)
- **Scheme Profile Line**: 3453
- **Profile Version ID**: 6

#### Scheme Costs
- **Acquisition Cost (€)**: 116,000
- **Works Costs (€)**: 595,833
- **On Cost (€)**: 164,416
- **Total (€)**: 876,249

#### Scheme Funding
- **Total Scheme Costs (€)**: 876,249
- **Capital Contributions (€)**: 851,879
- **Transfer Value (€)**: 0
- **Funding Requested (€)**: 24,370
If all of the changes made are considered non-material then the scheme will be updated with the changes made, but a revised approval stage is not inserted.

### 3.2 Reforecasting Final Payment Event

In order to amend milestone dates Providers access this by right clicking on their scheme name and choosing **Update Scheme Events**. Any movement of payment events should be discussed with either the Providers lead HCA Operating Area or the Operating Area in which the scheme is situated before submitting.
The Milestones screen is presented once again and, as indicated in the screenshot below, Providers should select the Dates option on the left hand side.

The current list of forecast dates is initially displayed and Providers can select the second option **Edit Proposed Dates** in order to reforecast milestone dates.
Providers click on the current forecast date in the **Proposed Date** column and adjust accordingly. Once complete, save and submit.

Once saved, if the proposed date change moves outside of its current month, a warning message, as displayed below, will be shown highlighting that the change will have to be referred to the HCA for approval.

---

**Edit Proposed Dates (APPROVED)**

<table>
<thead>
<tr>
<th>NAME</th>
<th>STATUS</th>
<th>APPROVED DATE</th>
<th>PROPOSED DATE</th>
<th>AMOUNT (£)</th>
<th>CHANGE PENDING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning Consent</td>
<td>Completed</td>
<td>19/11/2012</td>
<td>19/11/2012</td>
<td>£0</td>
<td></td>
</tr>
<tr>
<td>Acquisition</td>
<td>Completed</td>
<td>18/02/2014</td>
<td>18/02/2014</td>
<td>£0</td>
<td></td>
</tr>
<tr>
<td>SSD Payment</td>
<td>Completed</td>
<td>12/02/2015</td>
<td>13/03/2015</td>
<td>£10,278</td>
<td></td>
</tr>
<tr>
<td>Final Payment</td>
<td></td>
<td>26/05/2017</td>
<td>05/05/2015</td>
<td>£6,092</td>
<td></td>
</tr>
<tr>
<td>Occupancy</td>
<td></td>
<td>15/12/2017</td>
<td>15/06/2015</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

**Audit details**

<table>
<thead>
<tr>
<th>ACTION</th>
<th>USER</th>
<th>DATE</th>
<th>COMMENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Funder Approval</td>
<td>Helen Burton</td>
<td>12/02/2015 at 13:51</td>
<td>Scheme Approved</td>
</tr>
</tbody>
</table>

---

Once saved, if the proposed date change moves outside of its current month, a warning message, as displayed below, will be shown highlighting that the change will have to be referred to the HCA for approval.

**Edit Proposed Dates (VALID - READY TO SUBMIT)**

<table>
<thead>
<tr>
<th>NAME</th>
<th>STATUS</th>
<th>APPROVED DATE</th>
<th>PROPOSED DATE</th>
<th>AMOUNT (£)</th>
<th>CHANGE PENDING</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning Consent</td>
<td>Completed</td>
<td>19/11/2012</td>
<td>19/11/2012</td>
<td>£0</td>
<td></td>
</tr>
<tr>
<td>Acquisition</td>
<td>Completed</td>
<td>18/02/2014</td>
<td>18/02/2014</td>
<td>£0</td>
<td></td>
</tr>
<tr>
<td>SSD Payment</td>
<td>Completed</td>
<td>12/02/2015</td>
<td>12/02/2015</td>
<td>£10,278</td>
<td></td>
</tr>
<tr>
<td>Final Payment</td>
<td></td>
<td>26/05/2017</td>
<td>05/05/2015</td>
<td>£6,092</td>
<td></td>
</tr>
<tr>
<td>Occupancy</td>
<td></td>
<td>15/12/2017</td>
<td>15/06/2015</td>
<td>0</td>
<td></td>
</tr>
</tbody>
</table>

**Comments**

---

Warning - Proposed Date for Final Cost has changed and the calendar month and year of May 2015 is different to the calendar month and year of the Approved Date May 2017. This change will be referred to the Funder.
Step 4 Processing Final Payments

4.1 Processing a Practical Completion Entry

When Providers have a scheme which is ready to claim final cost payment grant they should return to the Milestones screen and complete the Practical Completion Entry.

There are two screens for the Provider to complete, Profile Information and then the Provider Submission page.
All of the fields in Profile Information screen are pre-completed except one. The Practical Completion Date needs to be confirmed by clicking on the dropdown and selecting the relevant date.

<table>
<thead>
<tr>
<th>Scheme Details</th>
<th>Scheme Funding</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>NUMBER OF UNITS</strong></td>
<td><strong>TOTAL SCHEME COSTS (£)</strong></td>
</tr>
<tr>
<td>4</td>
<td>876,248</td>
</tr>
<tr>
<td><strong>PROCESSING ROUTE</strong></td>
<td><strong>CAPITAL CONTRIBUTIONS (£)</strong></td>
</tr>
<tr>
<td>Package Deal (inc. land)</td>
<td>851,879</td>
</tr>
<tr>
<td><strong>SCHEME PROFILE LINE</strong></td>
<td><strong>TRANSFER VALUE (£)</strong></td>
</tr>
<tr>
<td>54385</td>
<td>0</td>
</tr>
<tr>
<td><strong>PROFILE VERSION ID</strong></td>
<td><strong>FUNDING REQUESTED (£)</strong></td>
</tr>
<tr>
<td>6</td>
<td>24,370</td>
</tr>
<tr>
<td><strong>Scheme Costs</strong></td>
<td><strong>PRACTICAL COMPLETION DATE</strong></td>
</tr>
<tr>
<td><strong>ACQUISITION COST (£)</strong></td>
<td>Select a date</td>
</tr>
<tr>
<td>116,000</td>
<td></td>
</tr>
<tr>
<td><strong>WORKS COSTS (£)</strong></td>
<td></td>
</tr>
<tr>
<td>595,823</td>
<td></td>
</tr>
<tr>
<td><strong>ON COST (£)</strong></td>
<td></td>
</tr>
<tr>
<td>164,416</td>
<td></td>
</tr>
<tr>
<td><strong>TOTAL (£)</strong></td>
<td></td>
</tr>
<tr>
<td>876,248</td>
<td></td>
</tr>
</tbody>
</table>
If any discrepancies remain at the profile level they will be displayed when attempting to save the Profile Information screen. Providers will need to make the appropriate corrections at the profile level before returning and being able to save this screen.

Once the Profile Information screen has been successfully saved Providers move onto the Provider Submission screen.
Providers review the **Certifications** listed and tick towards the top right to indicate compliance.

---

**Provider Submission** *(COMPLETE)*

**Certifications**

We hereby certify that:

1. The Firm Scheme:
   - is in its opinion (acting reasonably) deliverable in accordance with the Firm Scheme Delivery Timetable and is consistent with the Submitted Standards;
   - comprises no Public Sector Subsidy beyond that identified in the Firm Scheme Details.

2. The Grant Recipient:
   - possesses a Secure Legal Interest in the Site;
   - has obtained all Consents necessary for the lawful development and/or Rehabilitation of the Firm Scheme to the Submitted Standards and for the delivery of the Firm Scheme in accordance with the Firm Scheme Details as are then required;
   - has complied with all applicable requirements of the Capital Funding Guide in relation to the Firm Scheme;
   - confirms that all confirmations and certifications made or to be made in IMS in relation to the Firm Scheme have been, are or will be correct in all material respects;
   - is a Registered Provider and retains its status as an Investment Partner;
   - represents and warrants to the Agency that no Withholding Event has occurred or arisen.

3. At Start up Site:
   - The start on site date has been reached and that such date is no later than that submitted in IMS.

4. At Practical Completion:
   - the Firm Scheme has been procured, designed, constructed and delivered in accordance with the requirements of this Agreement;
   - the Firm Scheme has reached Practical Completion;
   - the grant recipient has obtained all Consents necessary for the lawful development of the Firm Scheme in accordance with the Firm Scheme Details and to the Submitted Standards as are then required or to the extent that they are not obtained that the Grant Recipient has taken all necessary steps to obtain them, is waiting only for the Relevant Authority to issue them and is not aware (having made all reasonable enquiries) of any reason why such Consents will not be given or issued;
   - the Firm Scheme is covered by the terms of a current Help to Buy Agency Agreement (where applicable).

Submitted by

Submitted date
27 Apr 2015 at 1433
Number of submissions
1

Data saved successfully.

Submit Un-submit

---

The next stage is for HCA approval as the funder. Once this has been done the Practical Completion Entry milestone will show as completed.

---

**Milestones**

<table>
<thead>
<tr>
<th>NAME</th>
<th>TYPE</th>
<th>STATUS</th>
<th>FORECAST DATE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sale Submission of Developable Scheme</td>
<td>Scheme Event</td>
<td>Completed</td>
<td>19/11/2012</td>
</tr>
<tr>
<td>Planning Consent</td>
<td>Non Payment Event</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Acquisition</td>
<td>Non Payment Event</td>
<td>Completed</td>
<td>18/02/2014</td>
</tr>
<tr>
<td>SOS Payment</td>
<td>Payment Event</td>
<td>Completed</td>
<td>12/02/2015</td>
</tr>
<tr>
<td>Sale Revised Submission of Developable Scheme</td>
<td>Scheme Event</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Practical Completion Entry</td>
<td>Scheme Event</td>
<td>Completed</td>
<td></td>
</tr>
<tr>
<td>Final Cost Payment</td>
<td>Payment Event</td>
<td>In progress/Next</td>
<td>05/05/2015</td>
</tr>
<tr>
<td>Initial Sales &amp; Occupancy</td>
<td>Scheme Event</td>
<td>Future</td>
<td></td>
</tr>
</tbody>
</table>

Process Milestone  Add Milestone  Delete Milestone
4.2 Final Payment

The **Final Cost Payment** process closely follows that at Start on Site stage described in section 2.5. Providers open up the Final Cost Payment task and begin with logging the payment.

<table>
<thead>
<tr>
<th>NAME</th>
<th>START DATE</th>
<th>END DATE</th>
<th>STATUS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provider Log Payment</td>
<td></td>
<td></td>
<td>Not Started</td>
</tr>
<tr>
<td>Provider Submit Payment</td>
<td></td>
<td></td>
<td>Not Started</td>
</tr>
<tr>
<td>Funder Log Payment</td>
<td></td>
<td></td>
<td>Not Started</td>
</tr>
<tr>
<td>Funder Authorise Payment</td>
<td></td>
<td></td>
<td>Not Started</td>
</tr>
</tbody>
</table>

The completion date has already been entered during the Practical Completion Entry. Providers can add a comment if necessary and the save the screen.
Provider Submit Payment is the final screen before the payment is lodged with the HCA for review and approval. A final certification is to be reviewed and checked off before being able to save.

If the submission is being logged with the HCA before the forecast month a material change is generated and a comment is required to explain that variation.

Material Change

The forecast month for the payment (May 2015) is not equal to the month in which you are requesting payment (April 2015) and this represents a request to change your approved bid. Please ensure you have recorded an appropriate comment (on the log task) to explain the reason for change.
Appendix 1 – Material and Non-Material Changes

Material Changes

- The proposed total funding requested for all lines in this version is different to the approved funding requested at profile level.
  
  This variation will only appear if the user is proposing a change to the total funding requested for the profile line.

- The proposed total number of units for all lines in this version is different to the approved number of units at profile level.
  
  This variation will only appear if the user is proposing a change to the total funding requested for the profile line.

- The proposed capital contribution entry for Providers Own Resources in this version is different to the equivalent line in the approved version.
  
  This variation will identify where the provider has adjusted the capital contribution entry for Providers Own Resources.

- The proposed capital contribution entry for Income from Providers Own Resources in this version is different to the equivalent line in the approved version.
  
  This change will identify where the provider has adjusted the capital contribution entry for Income from Providers Own Resources.

- The proposed capital contribution entry for Other Public Subsidy – Grant Funded in this version is different to the equivalent line in the approved version.
  
  This variation identifies where the provider has adjusted the capital contribution entry for Other Public Subsidy – Grant Funded.

- The proposed capital contribution entry for Subsidy from other Public Body in this version is different to the equivalent line in the approved version.
  
  This variation identifies where the provider has adjusted the capital contribution entry for Subsidy from other Public Body.

- The proposed subsidy in the form of public land in this version is different to the equivalent line in the approved version.
  
  This will identify where the provider has adjusted the OPS in the form of free land.

- The proposed number of supported units for all lines in this version is different to the number of supported units for all lines in the approved version.
  
  This variation identifies where the provider is proposing a different number of supported units. The provider has a contractual obligation to deliver the level of
supported units bid for or, where the HCA agrees a change, the level of approved supported units for the profile.

- The proposed monthly profile of unit starts on site in this version is different to the monthly profile of unit starts on site in the approved version.

  The provider has a contractual obligation to deliver to the approved delivery schedule for unit starts.

- The proposed monthly profile of payments for starts on site in this version is different to the monthly profile of payments for starts on site in the approved version.

  The provider has a contractual obligation to deliver to the approved delivery schedule for start on site payments.

- The proposed monthly profile of unit completions in this version is different to the monthly profile of unit completions in the approved version.

  The provider has a contractual obligation to deliver to the approved delivery schedule for unit completions.

- The proposed monthly profile of payment for completions in this version is different to the monthly profile of payment for completions in the approved version.

  The provider has a contractual obligation to deliver to the approved delivery schedule for completion payments.

- The proposed number of rural units for this version is different to the number of rural units in the approved version.

  This can only happen when the site is changed on an existing firm scheme line (or a new firm scheme line is created in an indicative proposal) and the number of rural units is different to the rural units prior to the change.
Non-Material Changes

- A new scheme profile line has been created in this version.

  All new lines will need to go through a funder referral and approval process. Once the scheme receives approval it will only be referred if subsequent changes to its parent profile in a later version require funder sign off.

- The proposed capital contributions total for all lines in this version is different to the capital contribution total in lines in the approved version.

  There is an expectation the capital contributions recorded at bid stage for both firm and indicative proposals will remain the same. Therefore, when a new firm scheme line is introduced in an indicative profile, the capital contributions on the bulk line will need be reduced to make headroom for the capital contributions to be included on the firm scheme line. Where the total capital contributions are increased or decreased as part of such a change, a variation will appear. This will also be the case when the provider changes the capital contributions total on a firm scheme line under a firm proposal and the capital contributions change.

- The proposed capital contributions entries for all lines in this version are different to the capital contribution entries in the approved version (note excludes Providers Own Resources and OPS – Grant lines as these are separate tests).

  This variation identifies where, although the capital contributions totals are still in balance, the provider has adjusted individual capital contribution entries.

- The proposed total scheme cost for all lines in this version is different to the total scheme costs for all lines in the approved version.

  There is an expectation the total scheme costs recorded at bid stage for both firm and indicative proposals will remain the same. Therefore, when a new firm scheme line is introduced in an indicative profile, the total scheme costs on the bulk line will need to be reduced to make headroom for the total scheme costs to be included on the firm scheme line. Where the total scheme costs are increased or decreased as part of such a change, a variation will appear. This will also be the case when the provider changes the total scheme costs on a firm scheme line under a firm proposal and the total scheme costs change.

- The proposed acquisition cost for all lines in this version is different to the acquisition cost for all lines in the approved version.

  This change will identify where, although the scheme costs are still in balance, the provider has adjusted the acquisition cost and offset against another scheme cost entry (works or on-costs)

- The proposed works cost for all lines in this version is different to the proposed works cost for all lines in the approved version.
This variation will identify where, although the scheme costs are still in balance, the provider has adjusted the works cost and offset against another scheme cost entry (acquisition or on-costs).

- The proposed on-costs for all lines in this version are different to the proposed on-costs for all lines in the approved version.

  This will identify where, although the scheme costs are still in balance, the provider has adjusted the on-costs and offset against another scheme cost entry (acquisition or works cost).

- The proposed unit data for firm scheme line (NNNNN) is different to the unit data in the approved version of this scheme line.

  This will identify those cases where the unit data has been changed for a specific scheme line.

- The proposed site for line <NNNNN> is different to the site recorded on the approved version.

  This will identify changes made to the site.

- The proposed processing route for firm scheme line (NNNNN) is different to the processing route in the approved version for this scheme line.

  Processing route changes are allowable but only between Acquisition and Works and Package Deal. This will identify where the provider is proposing a change from either of these routes.

- The unit lease length for a Lease and Repair unit for a new scheme line is not consistent with Lease Length supplied when the proposal was bid for.

  This message will only appear when a new firm scheme line is being created for the first time under a profile created from an indicative offer line and the line was indicated as Lease and Repair.