Shared Ownership & Affordable Homes Programme 2016 to 2021

Amending Profiles and Scheme Processing in IMS

IMS System Guidance v 1.2

<table>
<thead>
<tr>
<th>Version</th>
<th>Date Issued</th>
<th>Details</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.2</td>
<td>Jan 2018</td>
<td>Homes England update</td>
</tr>
</tbody>
</table>
INTRODUCTION ............................................................................................................. 3
A. PURPOSE OF THIS GUIDANCE .......................................................................................... 3
B. USER SUPPORT ............................................................................................................. 3
C. THE OFFERS SYSTEM - NAVIGATION AND FILTERING .................................................. 3
D. IMS THEMES .................................................................................................................. 7

STEP 1 AMENDING PROFILES............................................................................................ 8
  BACKGROUND .................................................................................................................. 8
  1.1 SET SCHEME AND PAYMENT PROCESSING .............................................................. 8
  1.2 CONTRACT SIGN OFF IN IMS ................................................................................... 9
  1.3 ACCESS TO THE OFFERS SYSTEM ......................................................................... 10
  1.4 OFFER LINE PROFILE FILTER ................................................................................ 11
  1.5 OFFER LINE SUB PRODUCT SCHEDULE – PROFILE LINES ...................................... 12
  1.6 MAINTAIN PROFILE LINE TABS ............................................................................... 13
  1.7 MAINTAIN PROFILE LINE TABS – SCHEME FORECAST ........................................ 16
  1.8 VALIDATING AND SUBMITTING AMENDED PROFILES ........................................ 17
  1.9 AMENDING MILESTONES ....................................................................................... 20

STEP 2 CREATING A SCHEME .......................................................................................... 22
  2.1 CREATE THE FIRM SCHEME FROM THE PROFILE SCHEDULE ............................... 22
  2.2 SUBMISSION OF DEVELOPABLE SCHEME ............................................................. 24
  2.3 REFORECASTING MILESTONES .............................................................................. 27
  2.4 ACHIEVING PLANNING AND ACQUISITION MILESTONES ...................................... 27
  2.5 PROCESSING ACQUISITION TRANCHE PAYMENTS ............................................... 28
  2.6 PROCESSING A START ON SITE PAYMENT ............................................................ 32
  2.7 SEARCHING FOR SCHEMES .................................................................................... 35
    2.7.1 SCHEMES ROUTE ................................................................................................. 35
    2.7.2 OFFER PROFILES ROUTE .................................................................................. 37
  2.8 SCHEME TERMINATIONS ......................................................................................... 37

STEP 3 CREATING FIRM SCHEMES FROM INDICATIVE .................................................. 39
  3.1 MAKING AN INDICATIVE PROFILE FIRM ............................................................... 39

STEP 4 SCHEME REVISIONS ............................................................................................ 45
  4.1 MAKING AMENDMENTS TO A SCHEME AFTER START ON SITE HAS BEEN PAID ... 45

STEP 5 PROCESSING FINAL PAYMENT ............................................................................ 49
  5.1 PROCESSING CHANGES BEFORE PRACTICAL COMPLETION ............................... 49
  5.2 PROCESSING THE PRACTICAL COMPLETION PAYMENT ...................................... 52

APPENDIX 1: MATERIAL AND NON MATERIAL CHANGES ............................................. 56
Introduction

A. Purpose of this guidance

The purpose of this document is to provide guidance to Providers on processing Profile Lines within Offers and how to progress Schemes using IMS for the 2016 to 2021 Shared Ownership and Affordable Homes Programme (SOAHP).

The scope of this guidance covers the stages from making changes to an Approved and Accepted Offer Profile Line, through to claiming Acquisition, Start on Site and Practical completion payments for 2016 to 2021 SOAHP schemes.

This guidance will be updated with any relevant system changes over time. Providers can check the Homes England website to see if further versions have been published. https://www.gov.uk/investment-management-system-guidance-documents

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 Homes England Operating Area Office.

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:

Offer System screen (Open menu view)
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>🌐</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>📝</td>
<td>Takes the user into the Offer Grid List</td>
</tr>
<tr>
<td>📊</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>📊</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>🗺</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>🔄</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>☑️</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.
Grid Columns - Functionality

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 2016 to 2021 programme in order to begin the processes within IMS for claiming grant. The Offers system maintains and builds on the improvements from the 2015-18 Affordable Homes Programme to reduce the duplication of information required to be input when progressing schemes from the Offers 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 2016-21 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 Partnership and Grant Agreement Documents 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 Homes England Provider Management team’s initial sign-off will be shown at the top. 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
1.9 Amending Milestones

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 Sub Product Profile Filter - Not Updated](image)

In this particular example the **Partnership Period** is not selected but can be used to limit the displayed lines to only those from a particular programme period, such as **2016-21**. 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 in the initial bid round.

Any indicative proposals need to be specified as firm schemes before reaching the stages covered in this guidance for creating schemes.

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 the key elements explained below.

1. For each offer line which is formed by a single firm scheme, IMS has automatically created an Approved version 2. This is shown above with the fields highlighted in green. Using the back arrow (listed under number 4 below), 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 6 unit development.

2. The **Proposal Type**: Firm or Indicative. All indicative proposals have to become firm before progressing into schemes. (Note: 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 – allows further profile line(s) to be added under this Offer Line.

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. 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.

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 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.
Under the **Unit Details** tab a number of fields require completion. There is a section at the foot of the screen entitled **Miscellaneous Data** and covers the **Building for Life assessment**, **Whole Life Costs** and whether there is a **Communal Area**, these all relate to the entire scheme.

Select the appropriate line of units, right-click on that row and select **Update Unit** in order to amend the unit details.

In the **Unit Type Entry** screen, as shown overleaf, all of the details can be checked and adjusted as appropriate.
In the **Scheme Costs** tab the basis for the Works Costs is required to be added from the dropdown.
1.7 Maintain Profile Line Tabs – Scheme Forecast

Under the **Scheme Forecast** tab the provider can update the acquisition and start on site payment dates (if eligible to receive) and required.

Providers are able to adjust all of the dates under this tab. However, if the intention is to proceed directly to creating the scheme and claiming either acquisition or start on site tranches there is no need to amend the **Planning Consent** and **Acquisition** dates at this point as those stages will have to be achieved in order to claim payment. (see section 2.1). As this is a forecast screen, all dates have to be set as the current day or a future date unless the **Actual** box is checked, meaning a date in the past must be entered. If the Actual button is changed for the Acquisition payment, a date in the past needs to be entered and that payment amount will be added to the Start on Site once the scheme is created.

Once each tab has been completed, and the provider is satisfied the content is accurate, press 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 make further adjustments to this scheme profile line or attempt to **Validate** and **Submit** the **Offer Line Sub Product schedule** for Homes England 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. 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**. If there are **Errors** they can be clicked upon and IMS will take Providers to the area that needs to be rectified.

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.17) the **Validation Group Comments** will be displayed which require providers to select the **Edit Comment** 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 Homes England. The submission shown on the previous page includes a material change and will require Homes England Operating Area sign-off before this profile version can be moved back into an Approved status. Non-material changes can be validated without requiring Homes England 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.
1.9 Amending Milestones

For 2016-21 all milestones are amended in Profiles, even once the scheme has been created. Once again start by clicking on the Create a new profile line version button to be able to edit the Profile line.

As seen below, once in the new profile version, select the **Scheme Forecast** tab in order to be able amend any of the **Milestone Dates**.
In the screenshot below the **Forecast Dates** have been amended, a comment needs to be added towards the top of the screen to explain the reasons behind the changes made.
Step 2 Creating a Scheme

Step Summary:

2.1 Create the Firm Scheme from the Profile Schedule
2.2 Submission of Developable Scheme
2.3 Reforecasting Milestones
2.4 Achieving Planning and Acquisition Milestones
2.5 Processing Acquisition Tranche Payments
2.6 Processing a Start on Site Payment
2.7 Searching for Schemes
2.7.1 Schemes Route
2.7.2 Offer Profiles Route
2.8 Scheme Terminations

2.1 Create the Firm Scheme from the Profile Schedule

Once providers are satisfied that all of the data within a profile line is correct they can **Create the Firm Scheme** by pressing the button in the final column on the right hand side.

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 suitable title if appropriate 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, 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'.
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 three 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 double click on the Profile Information line to bring up the next screen IMS that is showing as not started.
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 in **Offers** before progressing to create a scheme. If any data is incorrect the scheme will need to be terminated and the profile line revised (shown in section 2.7).

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 Homes England to consider once the scheme is submitted.

To view full details of the variation select the **i** 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 Homes England Operating Area for their approval.
Once the Homes England Operating Area has approved the final stage of Funder Approval, all of the tasks will display as complete.

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

Providers now amend their milestones in Profiles and no longer in Schemes. This has been covered in section 1.9 above.

2.4 Achieving the Planning Milestone

For Providers to be able to claim payments they must first complete the milestone data for their scheme for **Planning Consent**. Providers open the scheme milestones and select the Planning Consent stage from the list (shown below).

```
<table>
<thead>
<tr>
<th>Milestone</th>
<th>Type</th>
<th>Status</th>
<th>Forecast Date</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sale Submission of Developable Scheme</td>
<td>Scheme Event</td>
<td>Completed</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning Consent</td>
<td>Non Payment Event</td>
<td>In Progress/Next</td>
<td>22/01/2018</td>
<td></td>
</tr>
<tr>
<td>Acquisition</td>
<td>Non Payment Event</td>
<td>Future</td>
<td>25/01/2018</td>
<td></td>
</tr>
<tr>
<td>Start On Site</td>
<td>Payment Event</td>
<td>Future</td>
<td>01/03/2018</td>
<td></td>
</tr>
<tr>
<td>Practical Completion</td>
<td>Payment Event</td>
<td>Future</td>
<td>01/02/2019</td>
<td></td>
</tr>
</tbody>
</table>
```

The Planning Consent milestone opens 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.

```
<table>
<thead>
<tr>
<th>Milestone</th>
<th>Start Date</th>
<th>End Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>Planning Achievement Data</td>
<td>Not Started</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Planning Submission</td>
<td>Not Started</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
```

As can be seen in the screenshot overleaf all of the relevant details of the Planning application process can be completed.
Once completed and saved the Provider can submit as complete. The Planning Achievement stage does not require Homes England approval.

Once the Planning Achievement stage has been processed by the Provider it will show a status of **Completed**.

### 2.5 Processing Acquisition Tranche Payments

Homes England shall pay tranche grant payments within 15 days of receipt of a satisfactory application. Homes England can only pay tranche payments before start on site for an **Acquisition payment**.

Unregistered bodies (URB) will continue to receive grant in one tranche at the practical completion stage as per previous programmes. However, if they have successfully applied for Start on Site payments via the Contracting process then they can be eligible for Acquisition tranche payments too.
The Acquisition milestone also opens to show two stages. Providers are required to complete the details of this milestone in the **Achievement** screen, an example is shown below. It is worth noting the message in red below, it states that **only Unconditional Acquisition statuses, in the form of legal interest, will be eligible for the Acquisition Payment.**

Once all of the relevant fields are completed Providers are able to Save and Submit.
If eligible on completion of the Acquisition milestone an Acquisition Payment will be added to the timetable for the scheme.

To log an Acquisition payment request, providers must first choose the Acquisition 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 will have entered the actual acquisition date when signing off the milestone, so this date is not available to be amended at this stage. All of the other information on this screen is pre-filled or will be generated once the payment request has been logged. A log comment can be added but is not a requirement.

Providers 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 Homes England by opening the next task - **Provider Submit Payment**.

On the **Provider Submit Payment** screen, shown above, the logged payment information from the previous page is displayed. 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.
2.6 Processing a Start on Site Payment

Homes England shall pay tranche grant payments within 15 days of receipt of a satisfactory application. Homes England cannot pay Start on Site tranche payments before start on site has taken place.

Unregistered bodies will continue to receive grant in one tranche at the practical completion stage as per previous programmes. However, they can apply for a Start on Site payment by checking the relevant box which is displayed on each individual profile line. These requests will be assessed by Homes England and will let applying providers whether they have been successful.

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.

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 Homes England 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.
2.7 Searching for Schemes

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

2.7.1 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 overleaf, 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>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Route</td>
<td>Specialist and Partnership</td>
</tr>
<tr>
<td>Programme Group</td>
<td>Affordable Housing Programme</td>
</tr>
<tr>
<td>Other Programme(s)</td>
<td></td>
</tr>
<tr>
<td>Product Type</td>
<td></td>
</tr>
<tr>
<td>Sub-Product</td>
<td></td>
</tr>
<tr>
<td>Initiative</td>
<td></td>
</tr>
<tr>
<td>Provider Code</td>
<td></td>
</tr>
<tr>
<td>Role</td>
<td></td>
</tr>
<tr>
<td>Scheme No.</td>
<td></td>
</tr>
<tr>
<td>Team</td>
<td></td>
</tr>
<tr>
<td>Partnership Id</td>
<td></td>
</tr>
<tr>
<td>Agreement Id</td>
<td></td>
</tr>
<tr>
<td>Project Id</td>
<td></td>
</tr>
<tr>
<td>Location LA</td>
<td></td>
</tr>
<tr>
<td>Sponsor LA</td>
<td></td>
</tr>
<tr>
<td>Operating Area</td>
<td>All</td>
</tr>
<tr>
<td>Sub Region</td>
<td></td>
</tr>
<tr>
<td>Growth Point</td>
<td></td>
</tr>
<tr>
<td>Pathfinder and Priority Area</td>
<td></td>
</tr>
<tr>
<td>Growth Zone</td>
<td></td>
</tr>
<tr>
<td>Rural Site</td>
<td></td>
</tr>
<tr>
<td>STG Agreement</td>
<td></td>
</tr>
<tr>
<td>Growth Support Fund (Affordable Housing)</td>
<td></td>
</tr>
<tr>
<td>Community Land Trust</td>
<td></td>
</tr>
<tr>
<td>Strategic Site</td>
<td></td>
</tr>
</tbody>
</table>
2.7.2 Offer Profiles Route

Providers are able 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.

2.8 Scheme Terminations

As mentioned in section 2.2 if, after scheme creation but before Acquisition or Start on Site payments have been processed, Providers realise incorrect information is present in the scheme and the Profile line cannot be amended except for forecast dates. Therefore, a scheme termination can be processed which will remove the scheme and the attachment to the Profile line enabling the Provider to create a new profile line version, correct the data and then create another firm scheme.

Providers need to select the Add Milestone option when in the Milestones view of the scheme.

In the Add Milestone view Providers should select the Termination line and click Add.
The termination stage is then added to the Milestone list.

Providers then complete the **Reason for Termination** box giving an explanation behind this change. Once **Save** is selected this will terminate the scheme and will not require Homes England approval.
Step 3 Creating Firm Schemes from Indicative

3.1 Making an Indicative Profile Firm

Where providers have an Indicative profile line they should identify a site, or sites, as early as possible and convert the Profile line from Indicative to Firm. Identify the Indicative line from the list of Sub Product Profiles.

Once the indicative profile line has been selected the Provider will need to create the Firm line and reduce the bulk line as appropriate. The green arrow in the screenshot below is pointing at the button which providers select in order to create the profile line for the identified site.
The shell of the new profile line then opens on the Profile tab and providers should complete each of the tabs as per the guidance in section 1.6 above and that from the original bidding guidance document.

Once the new profile line is saved Providers need to **reduce the bulk** by the amounts entered on the new line. The black arrow in the screenshot on page 39 indicates the profile line which is selected in order to start reducing the bulk. When in the maintain profile line view shown below the provider selects the **Create a new profile line version** button to be able to edit this screen.
In the example below the bulk has been reduced to 0 or deleted across all of the tabs as the new firm scheme has taken up all of the units and funding requested from the indicative bulk line. The bulk should be reduced by the amounts on the firm scheme leaving the balancing amounts if appropriate. Once complete press the **Save** button.

The sub product profile schedule view shown below displays the new firm scheme and the reduced bulk.

---

**Maintain Profile Line**

<table>
<thead>
<tr>
<th>Partnership</th>
<th>Other Line</th>
<th>Profile ID</th>
<th>Comment</th>
</tr>
</thead>
<tbody>
<tr>
<td>13032 LCH7 1821 Partnership</td>
<td>20549 Former Hadlow CC</td>
<td>59322</td>
<td>reduced bulk to 0 as firm scheme new identified</td>
</tr>
</tbody>
</table>

**Profile Schedule View**

<table>
<thead>
<tr>
<th>Year</th>
<th>Quarter Ending</th>
<th>Unit Starts</th>
<th>Unit Completions</th>
<th>Payment for Completions (£)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2018/2019</td>
<td>June</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2018/2019</td>
<td>September</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2018/2019</td>
<td>December</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2019/2020</td>
<td>March</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2019/2020</td>
<td>June</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2019/2020</td>
<td>September</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2019/2020</td>
<td>December</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2020/2021</td>
<td>March</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2020/2021</td>
<td>June</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

**Offer Line Sub Product Schedule**

<table>
<thead>
<tr>
<th>Partnership</th>
<th>Offer</th>
<th>Other Line</th>
<th>Sub Product</th>
<th>Proposal Type</th>
</tr>
</thead>
<tbody>
<tr>
<td>13032 LCH7 1821 Partnership</td>
<td>1702 Text Offer Name</td>
<td>20549 Former Hadlow CC</td>
<td>23445 Help to Buy - Shared Ownership</td>
<td>Indicative</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Funding Requested (£)</th>
<th>Control</th>
<th>Take Up</th>
<th>Balance</th>
</tr>
</thead>
<tbody>
<tr>
<td>750,000</td>
<td>0</td>
<td>750,000</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Number of units</th>
</tr>
</thead>
<tbody>
<tr>
<td>50</td>
</tr>
<tr>
<td>0</td>
</tr>
<tr>
<td>50</td>
</tr>
</tbody>
</table>

---

Amending Profile Lines and Scheme Processing in IMS v1.2
Once satisfied with the changes the Provider should validate and submit those changes to Homes England for review.

The Operating Area have reviewed and approved the submission above and the profile line is now showing an overall status of Approved. Once the provider is satisfied that the profile line is correct and the scheme is ready to progress they should press the **Create Firm Scheme** button on the right hand side alongside the profile line, indicated by the black arrow below.
The Provider will then work through the Create Scheme and developable scheme stage covered in section 2.1 on page 23.

Once the provider has worked through each of the stages and submitted to Homes England the scheme will be displayed as below.
The profile line view once the Firm Scheme has been submitted to Homes England is shown below. It is worth noting that the proposal type remains as **indicative** after Firm schemes are created, this is to signify the original submission route and will remain this way.

The screenshot below shows the profile line view once the firm scheme submission has been approved by Homes England.
Step 4 Scheme Revisions

4.1 Making Amendments to a Scheme after Payments have been made

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 and particularly for Scheme Forecast which was updated at scheme level in the previous programme.

Once all changes are made providers should save, validate and submit. On validation, messages will be displayed which summarise the changes made. In the screenshot overleaf the list summarised various changes to works and on costs on a scheme.
If there are no errors upon validating the following message will be displayed.

![Validation Message](image)

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*

![Validation Message](image)

Providers will have to supply a comment to explain the change(s) made, complete validation and submit to Homes England 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.

### Profile Information

#### Scheme Details

- **Number of Units**: 4
- **Processing Route**: Package Deal (inc. land)
- **Scheme Profile Line**: 5438
- **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.
Step 5 Processing Final Payments

5.1 Processing changes before Practical Completion

Once Start on Site is paid, the scheme view will appear as shown below. The Practical Completion is the final stage with an active status.

If providers need to make amendments to their scheme before claiming final cost payment they should return to the Offer Profile screen and complete a new profile line version. In the Offers window choose the Offer Profile and then click on the scheme profile line showing the appropriate Scheme ID.
Providers are able to make any changes to the schemes which have occurred over the period from starting on site through to completion.
Once any changes to the profile line have been made these are validated and submitted to Homes England for review.

Upon validating, any errors and warnings will be displayed for action or review as appropriate. In the screenshot below a series of warnings are displayed for the provider to review before the profile line changes are validated.
Once all of the changes have been made to the profile line and submitted to Homes England, the Operating Area will review and approve if appropriate. The provider is then in a position to be able to claim their **Practical Completion** payment.

### 5.2 Processing the Practical Completion payment

In the scheme view the **Milestones** list will appear as above still with the **Practical Completion** stage as the only active status.
Within the **Practical Completion** stage there are two screens for the provider to complete: **Provider Log Payment** and **Provider Submit Payment**.

In the **Provider Log Payment** screen the **Actual Practical Completion Date** needs to be selected using the calendar dropdown and selecting the relevant date. The other field to complete is the **Log Comment** where a comment can be added alongside the submission. Once both are added, providers should press the **Save** button.
Once the Provider Log Payment screen has been saved the Provider Submit Payment stage becomes accessible.

The Provider Submit Payment screen has the actual practical completion date and log comment pre-filled in from the Provider Log Payment screen. There are two certifications which require boxes to be checked before the Save button can be pressed. Providers should review the text before proceeding.
Once both stages are completed by the provider, the next stage is for Homes England approval.

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