

# Warm Homes: Social Housing Fund Wave 3 Challenge Fund Application Questions

## Introduction

Information on how to submit an application to the Warm Homes: Social Housing Fund (WH:SHF) Wave 3 Challenge Fund will be available on the WH:SHF Wave 3 gov.uk page during the week commencing 30th October. This document sets out the complete list of declarations, application questions, and annexes that will need to be submitted, along with specific guidance for how to answer each question. The majority of answers will need to be submitted via a single Microsoft Excel template, which will be made available on the WH:SHF Wave 3 gov.uk page. Where possible, Applicants are encouraged to use this PDF version of the application questions to start planning their answers.

## Question formats

There are five question formats in this document. All questions are mandatory, unless stated otherwise within the individual question.

1. **Declarations**, which will require marking 'Yes' to confirm agreement with a statement.
2. **Short answer questions**, which require 'Yes/No' or short sentence answers, or other discrete pieces of information like contact details.
3. **Tables**, which are to be populated with numerical data and/or other ordered information.
4. **Explanation or narrative questions**, where longer written responses are used to provide detail, reasoning, an explanation of capability, or additional information.
5. **Annexes**, in the form of additional documents, which are attached to the application to either wholly answer a question or provide additional information and evidence to a response.

Some questions are comprised of a combination of formats, e.g. a table plus an accompanying narrative explanation.

## Question types

In addition to the declarations, there are two different types of question, with each determined in relation to how the information will be used/assessed. The question type is indicated for each question.

1. **For information only** – responses to these questions will not be assessed, but will help DESNZ understand necessary information on projects, and therefore support the facilitation of effective delivery. Some of these question responses may also be used to inform a decision to vary the allocation of grant funding in the event the scheme is oversubscribed.

2. **Assessed** – responses to these questions will be assessed to determine whether the Applicant has met the minimum requirements of the scheme and marked with either a ‘Pass’ or ‘Flag’ accordingly.

See section 4.3.2 of the WH:SHF Wave 3 Scheme Guidance for more information on question types.

## Question sections

- **Declarations:** statements Applicants must confirm they understand, accept, and/or will comply with.
- **Applicant details:** information about the Lead Applicant and, for consortium applications, about the consortium and its membership.
- **Strategic fit:** an assessment of how well the application fits with and delivers against the aims and desired outcomes of WH:SHF Wave 3.
- **Delivery forecast:** an assessment of the plan for the project, including proposed costs.
- **Commercial assurance:** an assessment of the feasibility and credibility of commercial agreements and procurement strategy.
- **Delivery assurance:** an assessment of the feasibility and credibility of the project.

## Key terminology

Throughout this document, “Applicants” refers to all eligible Applicants, including Lead Applicants as defined in this section and including consortium members. “Lead Applicant” refers to the consortium lead or single Applicant if not part of a consortium. “Grant Recipient” is used to describe all Applicants and Lead Applicants who have been successful in their application for WH:SHF Wave 3. “Lead Grant Recipient” refers to all Lead Applicants who have been successful in their application for WH:SHF Wave 3.

## Declarations

I have the express authority to fill out this application on behalf of the Lead Applicant, plus all consortium members and any other project partners or suppliers, as applicable.	
The Lead Applicant acknowledges that, if successful, it will be expected to deliver the project as outlined in this application.	
I have read the accompanying WH:SHF Wave 3 Scheme Guidance and other related documents for completing this application (clarification questions report, draft GFA, draft privacy notice, and draft data sharing agreement), and agree to comply with the scheme policy therein.	
To the best of my knowledge, this application is compliant with any commercial agreements it uses.	
The directors of the Lead Applicant do not have a financial interest in any suppliers they plan to use.	
To the best of my knowledge, the proposed project is compliant with the UK Public Contract Regulations 2015, to the extent applicable. However, I confirm	

that all new procurements commencing on or after the 28 <sup>th</sup> October 2024 will comply with the Procurement Act 2023.	
I confirm the VAT position on this application form has been signed off by a relevant financial officer.	
The Lead Applicant will introduce controls designed to ensure that WH:SHF Wave 3 funding will not be blended with other government schemes such as ECO for the funding of the same individual eligible energy efficiency or heating measure.	
The Lead Applicant has consulted their Data Protection Officer and built-in plans to ensure deliverability of data sharing requirements with DESNZ, including the completion of a Data Protection Impact Assessment.	
The Lead Applicant will ensure that residents and delivery partners receive both DESNZ's and project-specific Privacy Notices, outlining how their personal data will be processed within the project and wider programme, in line with the terms of GDPR.	
The Lead Applicant agrees to acknowledge DESNZ's funding in all communications regarding the project, with reference to any branding stipulated by DESNZ, and support collection of case studies, as well as dissemination of case studies subject to DESNZ approval.	
The Lead Applicant acknowledges that DESNZ will contact a sub-sample of project leads, delivery partners and project beneficiaries as part of the independent evaluation of the WH:SHF and will incorporate this as part of their project Privacy Notice.	
The Lead Applicant agrees to collate and transfer data, including personal data, as described in the Data Sharing Agreement, necessary to manage benefits and deliver evaluation of the programme.	
The Lead Applicant agrees to the performance management requirements outlined in the WH:SHF Wave 3 Scheme Guidance.	
The Lead Applicant will ensure projects are carried out to strict safety standards and that all work conducted through WH:SHF Wave 3 will be compliant with all specifications and requirements. Specifications and requirements are set out in PAS2035 and appropriate safety and construction standards, including Construction, Design and Management (CDM) regulations and any statutory requirements for Principal Designs to be appointed.	
The Lead Applicant has read and understands the terms and conditions of the supplied [draft] Grant Funding Agreement.	
The Lead Applicant understands that funding not spent in the required timeframe is not guaranteed and Applicants may have to take on any costs themselves in such instances, as set out in the supplied [draft] Grant Funding Agreement.	
The Lead Applicant confirms that no homes retrofitted through SHDF Wave 2.1 or 2.2 will be retrofitted through WH:SHF Wave 3, even with different measures. N.B. homes treated through the SHDF Demonstrator or Wave 1 are permitted to be retrofitted through WH:SHF Wave 3, as long as they meet the WH:SHF Wave 3 eligibility requirements and low carbon heating is being installed.	
The Lead Applicant confirms that this project will fit wholly with the specifications outlined in the accompanying WH:SHF Wave 3 Scheme Guidance, including: <ul style="list-style-type: none"> <li>All homes treated through this project should be social homes with EPCs D-G (although up to 30% of homes included in the project may be non-social homes where required for infill purposes, and up to 10% of homes included in the project may have starting EPC C+ where required for infill purposes or facilitating the rollout of low carbon heating measures).</li> </ul>	

<ul style="list-style-type: none"> <li>• All homes treated through this project must reach EPC C (except where homes cannot reasonably achieve this level within the cost caps). For more information on the required performance outcomes, please see Section 2.8 of the Wave 3 Guidance.</li> <li>• Applicants will contribute at least 50% of total eligible costs. This excludes any costs incurred on homes accessing the on-gas grid low-carbon heat incentive (where no co-funding is required, and any co-funding that is provided will not count towards the 50% minimum requirement). For more information on the on-gas grid low-carbon heat incentive, please see Section 2.9.1 of the WH:SHF Wave 3 Scheme Guidance.</li> <li>• The annual average fuel bill per home is not expected to increase as a result of the project.</li> <li>• Trustmark registered (or an equivalent body) businesses will be used in line with the installer eligibility requirements, to ensure appropriate installation of measures to appropriate standards and quality.</li> <li>• Admin and Ancillary (A&amp;A) costs should be as low as possible, with grant funding for A&amp;A comprising at most 15% of total grant funding. The total A&amp;A costs will be at most 15% of the total project costs.</li> <li>• Where homes will be upgraded to EPC A or B, grant funding will only be used to fund a maximum of 50% of the eligible costs to reach EPC band C and all other funding will have to come from your own funding.</li> <li>• Installing only energy efficiency and heating measures compatible with the standard assessment procedure (SAP) that will help improve the energy performance of homes, thus excluding heating systems solely fuelled by fossil fuels.</li> </ul>	
<p>The Lead Applicant understands that DESNZ reserves the right to utilise independently sourced evidence on Applicant past performance, including any members of a consortium, when evaluating this application. This evidence is including but not limited to: monitoring or/and final reports; performance statement from Project Director; report by Scheme Administrator; and 3rd party Technical Consultants reports.</p>	
<p>The project team will be sufficiently resourced, including for providing regular monthly data and reporting to DESNZ and, if opting in, for managing the self-conducted evaluation activity (as described in the Delivery Assurance section).</p>	
<p>Please provide an explanation if you have answered “no” to any of the above statements.</p>	

## Applicant details

1.1) <i>For information only</i>	Is this a consortium application?
	<i>A consortium is an application containing more than one social landlord.</i>
1.2)	Name of Lead Applicant and type of body

For information only	Name of the lead, e.g. Local Authority, Combined Authority, registered provider of social housing, or registered charity. Please ensure that names are listed here as they appear in the gov.uk list of registered providers <sup>1</sup> or register of charities <sup>2</sup> .
1.3) For information only	Company number of Lead Applicant (if applicable) If the Lead Applicant is a Housing Association, please include your company number and DUNS number:
1.4) For information only	Charity number of Lead Applicant (if applicable) If the Lead Applicant is a Charity, please include your registered charity number.
1.5) For information only	Registration number with the Regulator of Social Housing (if applicable). If the Lead Applicant is registered with the Regulator of Social Housing, please include your registration number.
1.6) For information only	<p>Is your application subject to UK subsidy control requirements? Please provide a brief description to support this answer.</p> <p>Recipients in the following scenarios are not subject to subsidy control requirements:</p> <ol style="list-style-type: none"> <li>1. Local Authorities or Combined Authorities applying as single Applicants for funding to use on their own social housing stock.</li> <li>2. Consortium applications where all members are a Local Authority or Combined Authority.</li> </ol> <p>Recipients in the following scenarios are subject to subsidy control requirements in accordance with the task of provision of affordable, energy efficient social housing under Services of Public Economic Interest (SPEI):</p> <ol style="list-style-type: none"> <li>1. Private Registered Providers of Social Housing, for example Housing Associations, applying as single Applicants.</li> <li>2. Consortium applications where all members are a Private Registered Provider of Social Housing.</li> <li>3. Consortium applications where the consortium consists of both Private Registered Providers of Social Housing and Local or Combined Authorities.</li> </ol> <p>Recipients in the following scenarios are subject to subsidy control requirements, and will be assessed by DESNZ in accordance with the subsidy Principles set out in Schedule 1 of the Subsidy Control Act (2022):</p> <ol style="list-style-type: none"> <li>1. Non-Registered Providers of Social Housing or Registered Charities applying as single Applicants.</li> <li>2. Consortium applications where at least one member of the consortium is a Non-Registered Provider of Social Housing or a Registered Charity.</li> </ol>

<sup>1</sup> <https://www.gov.uk/government/publications/registered-providers-of-social-housing/list-of-registered-providers-14-april-2022-accessible-version>

<sup>2</sup> <https://register-of-charities.charitycommission.gov.uk/charity-search>

	<p><i>Further information can be found in section 2.16 of the WH:SHF Wave 3 Scheme Guidance. You should undertake independent legal advice if you are unsure of your subsidy control position.</i></p>					
1.7) <i>For information only</i>	<p>[Individual applications only] In any three-year consecutive fiscal period, will you/have you received state support of under £315,000? If the answer is yes, please state the amount of state support received and the purpose for which it was awarded.</p> <p><i>Applicants receiving support of less than £315,000 across three financial years may be exempt from the subsidy provisions of the SCA. Any subsidy awards made that are over £100,000 will be declared on the subsidy transparency database.</i></p> <p><i>Further information on subsidy control can be found in section 2.14 of the WH:SHF Wave 3 Scheme Guidance.</i></p>					
1.8) <i>For information only</i>	<p>[Individual applications from Private Registered Providers of Social housing only] In any three-year consecutive fiscal period, will you/have you received state support of under £725,000? If the answer is yes, please state the amount of state support received and the purpose for which it was awarded.</p> <p><i>If the amount of grant funding received for Wave 3 of the WH:SHF, in addition to the total amount of state support already received across three financial years for the provision of affordable, energy efficiency social housing totals less than £725,000, you will be exempt from subsidy control. Any subsidy awards made that are over £100,000 will be declared on the subsidy transparency database.</i></p> <p><i>Further information on subsidy control can be found in section 2.14 of the WH:SHF Wave 3 Scheme Guidance.</i></p>					
1.9) <i>For information only</i>	<p>[Consortium applications only] Name(s), organisation type, and contact details of all consortium partners in application:</p> <p><i>Consortium partners can be Local Authorities, Combined Authorities, Registered Providers of social housing, Arms-Length Management Organisations or Registered Charities.</i></p> <p><i>Please specify whether each organisation is a Local Authority, Combined Authority, Housing Association or other type of organisation and whether each organisation is a registered provider.</i></p> <p><i>You should also provide an email address for each consortium partner.</i></p> <p><i>The consortium member numbering used for this question should be used for all subsequent questions which require an answer in a table broken down by consortium member.</i></p> <p><i>(Further information on eligible Applicants to WH:SHF Wave 3 can be found in Section 2.1 of the WH:SHF Wave 3 Scheme Guidance).</i></p> <table border="1"> <thead> <tr> <th>Consortium member</th> <th>Organisation name</th> <th>Organisation type</th> <th>Registered provider of</th> <th>Email address</th> </tr> </thead> </table>	Consortium member	Organisation name	Organisation type	Registered provider of	Email address
Consortium member	Organisation name	Organisation type	Registered provider of	Email address		

		social housing? (Y/N)			
		Consortium lead/member 1			
		Consortium member 2			
		(etc.)			
1.10) <i>For information only</i>	<p>[Consortium applications only] In any three-year consecutive fiscal period, have/will the members of the consortium together receive/have received state support of under £315,000? If the answer is yes, please state the amount of state support received and the purpose for which it was awarded, broken down into each consortium member, including the consortium lead.</p> <p><i>Applicants receiving total support of less than £315,000 across three financial years may be exempt from the subsidy provisions of the SCA. Any subsidy awards made that are over £100,000 will be declared on the subsidy transparency database.</i></p> <p><i>Further information on subsidy control can be found in section 2.14 of the WH:SHF Wave 3 Scheme Guidance.</i></p>				
1.11) <i>For information only</i>	<p>[Consortium applications containing solely Private Registered Providers of Social Housing, or containing only Private Registered Providers of Social Housing and Local or Combined Authorities only] In any three-year consecutive fiscal period, will you/have you received state support of under £725,000? If the answer is yes, please state the amount of state support received and the purpose for which it was awarded.</p> <p><i>If the amount of grant funding received for Wave 3 of the WH:SHF, in addition to the total amount of state support already received across three financial years for the provision of affordable, energy efficiency social housing totals less than £725,000, you will be exempt from subsidy control. Any subsidy awards made that are over £100,000 will be declared on the subsidy transparency database.</i></p> <p><i>Further information on subsidy control can be found in section 2.14 of the WH:SHF Wave 3 Scheme Guidance.</i></p>				
1.12) <i>For information only</i>	<p>[Individual applications only] Please confirm the number of homes owned/managed by your organisation.</p> <p><i>The number provided here will be checked against the number in the Regulator of Social Housing's database for 2022/23. If you are a registered provider/Local Authority and are reporting owning fewer than 1000 homes but are aware that the number in the Regulator of Social Housing's database for 2022/23 will report you as owning more than 1000 homes, please provide an explanation. Alternatively, if you are reporting owning fewer than 1000 homes and are not a registered provider or local authority, we may contact you for further information.</i></p>				
1.13) <i>For inform</i>	<p>[Consortium applications only] Please confirm the number of homes owned/managed by each consortium member, including the consortium lead.</p> <p><i>The number provided here will be checked against the number in the Regulator of Social Housing's database for 2022/23. If you are a registered provider/Local</i></p>				

ation only	Authority and are reporting owning fewer than 1000 homes but are aware that the number in the Regulator of Social Housing's database for 2022/23 will report you as owning more than 1000 homes, please provide an explanation. Alternatively, if you are reporting owning fewer than 1000 homes and are not a registered provider or local authority, we may contact you for further information.
1.14) For information only	Lead Applicant postal address. Address line 1 Address line 2 Town/City Postcode Please also specify the town/city in which the Lead Applicant is located/headquartered, if this is different to the postal address.
1.15) For information only	Lead Applicant region. Please select from: North West, North East, Yorkshire and the Humber, East Midlands, West Midlands, East, London, South East, South West, Nationwide (if Nationwide, please also state the region with the highest stock holding).
1.16) For information only	What region or regions are the homes to be upgraded in this project located in? Please select from: North West, North East, Yorkshire and the Humber, East Midlands, West Midlands, East, London, South East, South West. If multiple regions have been selected, please also state the region with the highest number of homes.
1.17) For information only	Blended funding: are you intending to use funding secured from another government scheme? Yes/No
1.18) For information only	If you answered Yes to the question 1.17, please list the name(s) of the other government scheme(s), followed by the amount of funding you intend to use from it.
1.19) For information only	Name and role of the individual drafting this application: This individual will be considered the main contact. DESNZ will contact this individual if we have any questions or updates on the status of the application.
1.20) For information only	Email address of the individual drafting this application: DESNZ will use this email address to provide confirmation and receipt of the submitted application form. DESNZ will use this email address as the primary source for any updates to the Lead Applicant on the status of their application.
1.21) For information only	Phone number of the individual drafting this application: This information is required in case DESNZ are unable to reach the Applicant by email.
1.22) For information	Please provide the name, phone number and email address of at least one additional contact, for resilience purposes. You may provide contact details for more than one additional contact if helpful.



ation only	
1.23) For information only	<p>Please provide the name and email address of your CEO (or equivalent).</p> <p><i>All working level updates will be sent to the contacts given above and this will only be used if required for escalation purposes.</i></p>
1.24) For information only	<p>If you would like anyone else to be notified of the outcome of this application, please input their email address here:</p> <p><i>For example, if you would like any consortium members to be automatically notified of the outcome of this application, please input their email addresses here.</i></p>
1.25) For information only	<p>Comms and Media Contact:</p> <p><i>Please provide a designated PR and Comms contact for your organisation for media-related enquiries. Please include their name, title and role, email address and phone number.</i></p>
1.26) For information only	<p>Evaluation Contact:</p> <p><i>If you have opted in to undertake optional self-conducted evaluation activities, as described in the Delivery Assurance section of this Application, please provide a designated Evaluation contact for your organisation who will be responsible for managing this. Please include their name, title and role, email address and phone number.</i></p>
1.27) For information only	<p>Public description of project:</p> <p><i>If this application is successful, DESNZ may wish to publicise the results of the scheme which may involve engagement with the media. At the end of the application and assessment process, DESNZ may issue a press release or publish a notice on its website. Applicants should summarise their project goals and ensure the summary is suitable for public disclosure. Applicants could include the following information:</i></p> <ul style="list-style-type: none"> <li>• <i>Project title</i></li> <li>• <i>Lead and consortium members</i></li> <li>• <i>Region</i></li> <li>• <i>Number of homes treated</i></li> <li>• <i>Project cost</i></li> </ul> <p><i>DESNZ reserves the right to amend the description before publication if necessary but will consult the Applicant about any changes.</i></p> <p><i>Single Applicant word limit – 100, consortium Applicant word limit – 200</i></p>
1.28) For information only	<p>Signature:</p> <p><i>This should be the signature of the individual within the Lead Applicant that approved this application for submission, for example the Chief Executive or Head of Finance. Please also include their name, title and role, email and phone number.</i></p>

# Strategic fit

## Measures

2.1) Assessed	Please outline the kinds of energy efficiency and heating measures you intend to install through this project.
	<p><i>Eligible measures are any energy efficiency and heating measures compatible with the Standard Assessment Procedure (SAP) that will help improve the energy performance of homes, excluding heating systems which are solely fuelled by fossil fuels. Applicants are expected to focus on measures that will help lower household energy bills. More information on eligible measures is available in section 2.9 of the WH:SHF Wave 3 Scheme Guidance.</i></p> <p><i>Single Applicant word limit – 200, consortium Applicant word limit – 400.</i></p>

## Project outcomes

2.2) Assessed	[For individual Applicants only] Total number of homes to be upgraded.
	<p><i>This total should include all homes to be upgraded through this project, including any non-social or EPC C+ homes. Wave 3 applications must include a minimum of 100 eligible social housing properties at EPC band D-G per project, apart from in the case of small social housing landlords.</i></p> <p><i>Small social housing landlords (defined for this purpose as those who own or manage fewer than 1000 homes) can apply with fewer than 100 homes. Therefore, for such landlords, there is no minimum application size. We expect such landlords to try to reach 100 homes, or to actively consider joining a consortium given the benefits this can bring, where this is not possible. However, we will accept bids below 100 homes if neither of these options are possible.</i></p> <p><i>There is also no minimum project size for consortia consisting exclusively of small landlords.</i></p> <p><i>Non-social homes can be included on an infill basis. An application can include up to 30% non-social homes. The maximum proportion of non-social homes within a particular block/terrace is 70%.</i></p> <p><i>Homes at or above EPC band C can be included on an infill basis, or where installing low carbon heating measures. An application can include up to 10% of EPC C+ homes.</i></p> <p><i>Please note this information will form part of the application baseline of this project against which it will be monitored.</i></p>
2.3) Assessed	[For consortium Applicants only] Total number of homes to be upgraded, broken down by consortium member, including the consortium lead.
	<i>This total should include all homes to be upgraded through this project, including any non-social or EPC C+ homes. Wave 3 applications must include</i>

*a minimum of 100 eligible social housing properties at EPC band D-G per project, apart from in the case of small social housing landlords.*

*Small social housing landlords (defined for this purpose as those who own or manage fewer than 1000 homes) can apply with fewer than 100 homes. Therefore, for such landlords, there is no minimum application size. We expect such landlords to try to reach 100 homes, or to actively consider joining a consortium given the benefits this can bring, where this is not possible. However, we will accept applications below 100 homes if neither of these options are possible.*

*There is also no minimum project size for consortium consisting exclusively of small landlords.*

*Non-social homes can be included on an infill basis. An application can include up to 30% non-social homes. The maximum proportion of non-social homes within a particular block/terrace is 70%.*

*Homes at or above EPC band C can be included on an infill basis, or where installing low carbon heating measures. An application can include up to 10% of EPC C+ homes.*

*Please note this information will form part of the application baseline of this project against which it will be monitored.*

	Total number of homes to be upgraded
Entire project	
Consortium lead/member 1	
Consortium member 2	
(etc.)	

2.4)  
Assessed

[For individual Applicants only] Please provide an estimate of the total number of homes to be upgraded to EPC C.

*All homes should be upgraded to EPC C, except for homes starting at EPC E-G which cannot reasonably achieve this within the cost cap structure.*

*If you believe some homes will not be upgraded to EPC C, please use clear modelling to explain why this will not be possible within the cost cap structure.*

*Please note this initially estimated information will not form part of the application baseline of this project against which it will be monitored. Instead,*

	<p><i>a detailed baseline will be set at Phase Request stage for number of homes: upgraded to EPC C; upgraded to EPC A or B; and not reaching EPC C.</i></p> <p><i>Word limit – 200.</i></p>										
2.5) Assessed	<p>[For consortium Applicants only] Please provide an estimate of the total number of homes to be upgraded to EPC C, broken down by consortium member, including the consortium lead.</p> <p><i>All homes should be upgraded to EPC C, except for homes starting at EPC E-G which cannot reasonably achieve this within the cost cap structure.</i></p> <p><i>If you believe some homes will not be upgraded to EPC C, please use clear modelling to explain why this will not be possible within the cost cap structure.</i></p> <p><i>Please note this initially estimated information will <u>not</u> form part of the application baseline of this project against which it will be monitored. Instead, a detailed baseline will be set at Phase Request stage for number of homes: upgraded to EPC C; upgraded to EPC A or B; and not reaching EPC C.</i></p> <table border="1"> <thead> <tr> <th></th> <th>Number of homes upgraded to EPC C</th> </tr> </thead> <tbody> <tr> <td>Entire project</td> <td></td> </tr> <tr> <td>Consortium lead/member 1</td> <td></td> </tr> <tr> <td>Consortium member 2</td> <td></td> </tr> <tr> <td>(etc.)</td> <td></td> </tr> </tbody> </table> <p><i>Word limit – 400.</i></p>		Number of homes upgraded to EPC C	Entire project		Consortium lead/member 1		Consortium member 2		(etc.)	
	Number of homes upgraded to EPC C										
Entire project											
Consortium lead/member 1											
Consortium member 2											
(etc.)											

### Estimated type and starting condition of stock

2.6 a) Assessed	<p>[For individual Applicants only] Type and condition of stock to be upgraded.</p> <p><i>At this stage, Applicants are not expected to know exactly which homes will be upgraded. However, please provide this information to the best of your knowledge, given current plans and currently held stock data.</i></p> <p><i>Please note, a maximum of 10% of properties included in the project may be EPC C+, and only where they are required for infill purposes or facilitating the rollout of low carbon heating measures. For more information on eligible properties, please see Section 2.3 of the Wave 3 Scheme Guidance.</i></p> <p><i>This information will <u>not</u> form part of the application baseline of this project against which it will be monitored.</i></p>
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			No. of homes																					
	Starting EPC	A																						
		B																						
		C																						
		D																						
		E																						
		F																						
		G																						
	Wall type	Solid wall																						
		Cavity wall																						
	Property type	Terraced																						
		Semi-detached																						
		Detached																						
Bungalow																								
Low rise flat (1-2 storey)																								
Medium rise flat (3-5 storey)																								
High rise flat (6+ storey)																								
Other																								
2.6 b) <i>For information only</i>	If you have included any homes in the 'Other' field, please break this figure down according to the different other property types, specifying what each of them are.																							
2.7 a) <i>Assessed</i>	<p>[For consortium Applicants only] Type and condition of stock to be upgraded, broken down by consortium member, including the consortium lead.</p> <p><i>At this stage, Applicants are not expected to know exactly which homes will be upgraded. However, please provide this information to the best of your knowledge, given current plans and currently held stock data.</i></p> <p><i>Please note, a maximum of 10% of properties included in the project may be EPC C+, and only where they are required for infill purposes or facilitating the rollout of low carbon heating measures. For more information on eligible properties, please see Section 2.3 of the Wave 3 Scheme Guidance.</i></p> <p><i>This information will <u>not</u> form part of the application baseline of this project against which it will be monitored.</i></p>																							
	<table border="1"> <tr> <td colspan="2">Consortium member name</td> <td></td> <td></td> </tr> <tr> <td colspan="2"></td> <td colspan="2">No. of homes</td> </tr> <tr> <td rowspan="4">Starting EPC</td> <td>A</td> <td></td> <td></td> </tr> <tr> <td>B</td> <td></td> <td></td> </tr> <tr> <td>C</td> <td></td> <td></td> </tr> <tr> <td>D</td> <td></td> <td></td> </tr> </table>			Consortium member name						No. of homes		Starting EPC	A			B			C			D		
Consortium member name																								
		No. of homes																						
Starting EPC	A																							
	B																							
	C																							
	D																							

		E			
		F			
		G			
	Wall type	Solid wall			
		Cavity wall			
	Property type	Terraced			
		Semi-detached			
		Detached			
		Bungalow			
		Low rise flat (1-2 storey)			
		Medium rise flat (3-5 storey)			
High rise flat (6+ storey)					
Other					
2.7 b) <i>For information only</i>	If you have included any homes in the 'Other' field, please break this figure down according to the different other property types, specifying what each of them are.				
2.8) <i>Assessed</i>	How have you arrived at the stock assessment set out above?				
	<p><i>This should include:</i></p> <ul style="list-style-type: none"> <li>- How you have arrived at your initial identification of the homes to be upgraded.</li> <li>- The data on which the assessment of stock condition has been based.</li> <li>- The amount of confidence you thus have in the assessment of stock condition provided.</li> </ul> <p><i>Single Applicant word limit – 300, consortium Applicant word limit – 500.</i></p>				

## Resident engagement

2.9) <i>Assessed</i>	Please provide a comprehensive plan detailing your approach to considering the needs of residents and overall resident engagement.				
	<p><i>DESNZ expects Applicants to detail all resident interaction relevant to the WH:SHF, including engagement/planning carried out prior to application submission.</i></p> <p><i>Applicants should detail the methods and materials to be used for resident engagement. Applicants should describe how they will secure buy in from residents on both the proposed retrofit approach to the home and entry to the home to undertake any necessary surveys and to carry out works. DESNZ expects resident engagement to go beyond leafleting and cold calling, which DESNZ does not consider to be sufficient methods of resident engagement when implemented in isolation. Residents should have access to a communications platform where they can have questions answered and</i></p>				

	<p><i>concerns resolved with the Landlord.</i></p> <p><i>Applicants should also demonstrate that individual vulnerabilities and resident concerns have been considered with explicit reference to protected characteristics listed under the Equality Act 2010. Applicants should demonstrate that they have considered resident comfort, wellbeing and satisfaction both during and post works, and provide a follow up plan including how you will educate residents around new measures and technologies after works have been completed.</i></p> <p><i>Single Applicant word limit – 600, consortium Applicant word limit – 1,000</i></p>
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## Consortium strategy

2.10) Assessed	<p>[For consortium Applicants only] Please outline why you have brought this consortium together.</p> <p><i>You should include the strategic purpose of this consortium and what you are aiming to achieve as a consortium.</i></p> <p><i>Word limit - 350</i></p>
2.11) Assessed	<p>Will the consortium lead arrange for legally binding agreements between the consortium lead and all members, as per the requirements outlined in the WH:SHF Wave 3 Scheme Guidance?</p> <p>Yes/No</p>
2.12) Assessed	<p>Will the consortium lead conduct appropriate due diligence on the organisations and sub-projects within the consortium, as per the WH:SHF Wave 3 Scheme Guidance?</p> <p>Yes/No</p>

## Delivery forecast

### Project timelines and phasing

3.1) Assessed	<p>Please provide an initial high-level project plan as Annex A.</p> <p><i>You must consider key project activities and their approximate timings, including:</i></p> <ul style="list-style-type: none"> <li>• <i>Project planning and set up, including project team establishment</i></li> <li>• <i>All necessary procurement activity</i></li> <li>• <i>All resident engagement before, during and after works have been completed</i></li> <li>• <i>The steps needed for project design and coordination (including PAS 2035 risk assessments, planning permissions and building surveys)</i></li> <li>• <i>Installation and post-installation activities and handover</i></li> </ul> <p><i>Applicants are not expected to be able to set out all activities to be undertaken in detail at this stage. However, all key activities should be covered and placed on an approximate timeline, and the activities to be undertaken in the mobilisation period, defined as the period between</i></p>
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	<p><i>notification of grant award and submission of the first Phase Request, should be set out in additional detail.</i></p> <p><i>Your plan should also reflect the submission of Phase Requests as set out in question 3.3.</i></p> <p><i>If you are currently delivering on Wave 2.1 or 2.2 of SHDF, please include any activities that will be undertaken on that project during this delivery window as part of this plan.</i></p> <p><i>Consortium Applicants should provide a detailed plan for the delivery of the entire project, broken down by consortium member where possible.</i></p> <p><i>Plans should be created in Microsoft Project, Excel or similar software. Plans should list tasks line by line, including forecast start and end dates, durations and owners. The plan should clearly show dependencies between tasks.</i></p>
<p>3.2) Assessed</p>	<p>Please outline your proposed approach to the phasing of your project and explain why this reflects a sensible delivery plan.</p> <p><i>The Challenge Fund has been designed to facilitate the phased approach to delivery taken by many organisations, with detailed information on the homes included within a phase required only once the Grant Recipient is ready to start delivery of that phase.</i></p> <p><i>One or more submissions of a Phase Request must therefore be made during delivery, covering all or a proportion of the homes within a project, and providing further detail of the retrofit work to be undertaken in that phase. The project will then be delivered on this phased basis – with each phase covering up to the end of installation and lodgement of measures on the homes in that phase. Phases may be delivered concurrently.</i></p> <p><i>Projects should not be broken down into phases arbitrarily but only where this reflects a sensible delivery plan.</i></p> <p><i>We expect that projects will not have more than 10 phases or less than 10% of homes in any one phase and reserve the right to reject applications going outside of this. If you are proposing more than 10 phases or any phases including fewer than 10% of homes, you must specifically address why you think this is necessary for this project.</i></p> <p><i>When deciding if or how your project will be phased you may wish to consider factors such as location of homes to be upgraded, property types, local procurement environments or differences between consortium members, including the consortium lead.</i></p> <p><i>For further information on Phase Requests, please see section 4.3.3 of the WH:SHF Wave 3 Scheme Guidance.</i></p> <p><i>Single Applicant word limit – 350, consortium Applicant word limit – 600.</i></p>



3.3) Assessed	Please set out when your project will submit each Phase Request, the start and end quarter of the financial year (FY) for delivery of each phase, and the number of homes that will be included in each phase.			
	<i>Delivery of a phase ends when all KPIs have been achieved for all homes in the phase.</i>			
	<i>We expect that projects will not have more than 10 phases or less than 10% of homes in any one phase and reserve the right to reject applications going outside of this. If you are proposing more than 10 phases or any phases including fewer than 10% of homes, you must specifically address why you think this is necessary for this project in question 3.2.</i>			
	<i>Please note, the information provided here will form part of the application baseline of the project, against which it will be monitored.</i>			
	Phase number			
In which quarter of which FY will the Phase Request be submitted				
In which quarter of which FY will delivery end (i.e. all KPIs have been achieved for all homes in the phase)				
How many homes are included in this phase				

## Project costs

3.4) Assessed	[For individual Applicants only] Project costs.
	<p><i>Please note that all costs are assumed to be <b>inclusive of any non-recoverable VAT</b>.</i></p> <p><i>Please input the total number of homes to be upgraded, the number of homes accessing the off-gas grid low carbon heating cost cap uplift and the number of homes accessing the on gas grid low carbon heating incentive offer.</i></p>

Please note that a maximum of 10% of the homes included in the application are eligible for the on gas grid low carbon heating incentive offer.

Please also input the co-funding contribution of the project, split into capital and admin and ancillary costs. The overall co-funding contribution must be a minimum of 50% of eligible project costs, excluding any costs incurred on homes accessing the on gas grid low-carbon heat incentive offer (where no co-funding is required, and any co-funding that is provided will not count towards the 50% minimum requirement).

The table will auto populate with the total number of homes to be upgraded, and the maximum grant funding the project is eligible for, split into capital and admin and ancillary costs, as well as the total co-funding contribution and the maximum overall project costs.

Please note, this information will form part of the application baseline of this project against which it will be monitored.

Total number of homes to be upgraded	
Number of homes accessing the off gas grid low carbon heating cost cap uplift	
Number of homes accessing the on gas grid low carbon heating incentive offer	
Maximum grant funded capital costs	
Maximum grant funded A&A costs	
Maximum total grant funding	
Co-funding capital costs	
Co-funding A&A costs	
Proposed co-funding total contribution	
Maximum total project costs	

3.5)  
Assessed

[For consortium Applicants only] Project costs.

Please input into the table below the total number of homes to be upgraded, the number of homes accessing the off-gas grid low carbon heating cost cap uplift and the number of homes accessing the on gas grid low carbon heating incentive offer, split by consortium member, including the consortium lead.

Please note that a maximum of 10% of the homes included in the application are eligible for the on gas grid low carbon heating incentive offer.

Please also input the co-funding contribution of the project, split by consortium member, including the consortium lead, and into capital and admin & ancillary costs.

The overall co-funding contribution must be a minimum of 50% of eligible project costs, excluding any costs incurred on homes accessing the on gas

*grid low-carbon heat incentive offer (where no co-funding is required, and any co-funding that is provided will not count towards the 50% minimum requirement).*

*The table will auto populate with the total number of homes to be upgraded, and the maximum grant funding the project is eligible for, split into capital and admin and ancillary costs, as well as the total co-funding contribution and the maximum overall project costs.*

	Consortium lead/member 1	Consortium member 2	(etc.)	Total
Total number of homes to be upgraded				
Number of homes accessing the off gas grid low carbon heating cost cap uplift				
Number of homes accessing the on gas grid low carbon heating incentive offer				
Maximum grant funded capital costs				
Maximum grant funded A&A costs				
Maximum total grant funding				
Co-funding capital costs				
Co-funding A&A costs				
Co-funding total contribution				
Maximum total project costs				

3.6)  
Assessed

Sources of proposed co-funding contribution.

Supporting evidence of secured co-funding, and of any secured blended funding to be utilised, should be attached as Annex B.

*Applicants should outline the source of funds for co-funding.*

*Applicants should also outline any blended funding to be utilised, noting that it is permitted to use funding from other government schemes to support works on the same homes but that funding from multiple government schemes cannot be used to fund the same individual measure twice. In addition, if funding from other government schemes will be used on this project, it will sit outside of the grant/co-funding structure and cannot be counted towards the 50% co-funding requirement. For more information, please see Section 2.12 of the WH:SHF Wave 3 Scheme Guidance.*

	<p><i>Applicants must provide evidence of secured co-funding such as board sign off, minutes from meetings or letters of commitment, as Annex B. Applicants are required to provide evidence that co-funding has been signed off at CFO level. The co-funding value shown in evidence should match the value input to the question above on co-funding contribution.</i></p> <p><i>Single Applicant word limit – 200, consortium Applicant word limit – 400. Guideline annex length: single Applicant – up to 5 pages, consortium Applicant – up to 8 pages.</i></p>
3.7)	Breakdown of costs by financial year.

Assessed

a. How many months of grant funding does your project require? If it requires the full three years, please write 36.

Months of grant funding required	
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b. Please provide a breakdown of your total project spend by financial year (FY), split into grant funding and co-funding (including any co-funding to be spent in FY 24/25 and/or 28/29).

Lead Applicants should aim to align their grant funding spend with the WH:SHF Wave 3 grant profile of 1/3 of the total grant funding amount allocated for each of the three financial years of the project (i.e. 33.3%/33.3%/33.3%). DESNZ will allow for some flexibility to projects on a case-by-case basis and Lead Applicants should provide as accurate, sensible and deliverable a forecast as possible. Lead Applicants should plan their spend based on these percentages in each financial year of the project, utilising co-funding alongside this throughout delivery to support the project spend profile as a whole.

Unlike grant funding, co-funding can also be spent in FY 24/25 and FY 28-29. However, at least 10% of the total co-funding contribution must be spent in each of FY 25/26, FY 26/27 and FY 27/28, and a maximum of 50% of the total co-funding contribution can be spent in FY28/29.

Grant Recipients are allowed to spend co-funding in FY24/25 after scheme launch, as long as their co-funding spend in subsequent years follows the above rules.

Please note this information will form part of the application baseline of this project against which it will be monitored.

	FY 24/25	FY 25/26	FY 26/27	FY 27/28	FY 28/29
Grant funding					
Co-funding					
Total					

c. If you have proposed a grant spend profile which deviates from 1/3 per FY, please provide a justification for this.

Single Applicant word limit – 200, consortium Applicant word limit – 400

3.8) Assessed

How would you approach cost variation over the lifetime of the project?

- This may include:
- Any potential/plans for using organisational contingency funding. Please note, costs applied for as part of the WH:SHF application should be realistic costs for delivery of the project in the current

	<p><i>environment. By contingency funding in this question, DESNZ means Applicant funding available in addition to these realistic levels as included elsewhere in this application form.</i></p> <ul style="list-style-type: none"> <li>• <i>If there are unexpected cost increases beyond those levels applied for, and insufficient availability of any contingency funding, how Applicants would approach considering the suitability of the measure mix and number of homes to be retrofitted, while still bearing in mind the key WH:SHF principle of upgrading homes to EPC C at scale.</i></li> <li>• <i>Any provisions that you have in existing contracts or mechanisms that you will include in contracts that will be procured to address cost variation.</i></li> <li>• <i>How lower costs than those outlined at this stage would be approached, including any considerations on delivery of additional homes.</i></li> <li>• <i>How you would approach additional funds becoming available, including any consideration on delivery of additional homes.</i></li> </ul> <p><i>Single Applicant word limit – 250, consortium Applicant word limit – 500</i></p>
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## Commercial assurance

<p>4.1) Assessed</p>	<p>Please describe in detail your commercial/procurement strategy to support the delivery of the project, including any already established contractual agreements (or supplier arrangements) where applicable.</p> <p><i>This could include procurement timelines, market engagement strategies, contract route, contract management and performance plans, pricing model, evaluation/award criteria, and any other relevant information.</i></p> <p><i>Single Applicant word limit – 400, consortium Applicant word limit – 800</i></p>
<p>4.2) Assessed</p>	<p>Please provide details about your suppliers [For consortium Applicants, this should be broken down by consortium member, including the Lead Applicant].</p> <p><i>This information should be for the time period which corresponds with your first Phase Request.</i></p> <p><i>When completing the table, if new procurements are required and these are not known at the time of application, Applicants should provide an indication of planned contracts to be placed to deliver the grant funding (e.g. by value, type). If you only know the areas/types of suppliers you will need but don't know who these suppliers will be, please write N/A in the supplier name column. Details not known at the time of application should be itemised in the risk and issues register, along with planned actions and milestone dates for resolution in the project plan.</i></p> <p><i>Further detail on suppliers for subsequent project phases will be required in each Phase Request submission.</i></p>

	<table border="1"> <thead> <tr> <th></th> <th>Consortium lead/member 1</th> <th>Consortium member 2</th> <th>(etc.)</th> </tr> </thead> <tbody> <tr> <td>Supplier name</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Supplier role</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Contract value</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Contract start date</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Contract end date</td> <td></td> <td></td> <td></td> </tr> <tr> <td>Trustmark registered?</td> <td></td> <td></td> <td></td> </tr> <tr> <td>PAS 2035 registered?</td> <td></td> <td></td> <td></td> </tr> <tr> <td>MCS registered?</td> <td></td> <td></td> <td></td> </tr> </tbody> </table>		Consortium lead/member 1	Consortium member 2	(etc.)	Supplier name				Supplier role				Contract value				Contract start date				Contract end date				Trustmark registered?				PAS 2035 registered?				MCS registered?			
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PAS 2035 registered?																																					
MCS registered?																																					
4.3) Assessed	<p>As part of your commercial/procurement strategy, Applicants should describe how they will support the delivery of HM Government policies with a focus on Social Value, supporting SMEs, Prompt Payment, Modern Slavery and Carbon Reduction Plans.</p> <p><i>Please describe how your commercial/procurement strategy for this grant funding will incorporate aspects of Social Value, supporting SMEs, Prompt Payment, Modern Slavery and Carbon Reduction Plans. This should include any related commitments and/or plans to demonstrate your capability and capacity to deliver against these aspects.</i></p> <p><i>Single Applicant word limit – 200, consortium Applicant word limit – 400</i></p>																																				

## Delivery assurance

### Project management

5.1) Assessed	<p>Please provide a risk and issues register (and explain how you will address the risks/issues listed) as Annex C.</p> <p><i>The risk and issue register must address each of the following risks, including proposed mitigations and ratings:</i></p> <ul style="list-style-type: none"> <li>- Residents refuse works being carried out on their homes.</li> <li>- Planning permission from the relevant department is not received in time.</li> <li>- Properties that are assumed to be eligible at application stage are found to be ineligible (EPC C or above).</li> <li>- Leaseholders within mixed blocks refuse to allow works for infill homes.</li> <li>- Specific materials and supplies are not available in time.</li> <li>- Contracts, for retrofit coordinators or other necessary resources, are not in place in time to support delivery, due to delayed procurements, changing requirements or lack of supply chain capacity.</li> <li>- Project team members and/or suppliers dropping out of the project, and how you will approach change management in these scenarios.</li> <li>- There is variation between costs during delivery compared to those assumed at application stage.</li> </ul>
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	<p>- <i>Complex to decarbonise homes pose unforeseen challenges.</i></p> <p>- <i>The project is unable to find the proposed number of suitable homes in the timescale required.</i></p> <p><i>Project specific risks should also be included and assessed.</i></p> <p><i>Consortium Applicants should aim to capture risks and issues for the whole project, but are encouraged to still include specific risks that apply only to specific consortium members, including the consortium lead, making clear where this is the case.</i></p>
<p>5.2) Assessed</p>	<p>Please explain how you will manage this project to deliver to time, quality and cost.</p> <p><i>Your answer must include any Project Management methodologies, systems, and practices you plan to use.</i></p> <p><i>Your answer must reference at least two of the following: project planning and scheduling, governance and controls, budget management, data and reporting, and risk and issue management (including fraud, error and other non-compliance risk management and reporting).</i></p> <p><i>The internal governance process for handling cost variances within your project should be outlined here but details on specific approaches taken to addressing cost variation should be covered in your answer to question 3.9.</i></p> <p><i>You should also explain how you will manage spend within the WH:SHF spend profiles of 33.3% grant spend in FY 25/26, 33.3% grant spend in FY 26/27 and 33.3% grant spend in FY 27/28.</i></p> <p><i>Single Applicant word limit – 700, consortium Applicant word limit – 1,200</i></p>
<p>5.3) Assessed</p>	<p>Please explain your confidence in delivering this project.</p> <p>Where possible, this should be done through the provision of evidence of successful delivery of a past construction and/or energy efficiency project of a similar size, scale and complexity to the project proposed in this application.</p> <p>Consortium Applicants must ensure that they also detail their confidence in delivering this project in this consortium. Where possible, this should be done through provision of evidence of successful delivery of a past project (energy efficiency or otherwise) delivered in this consortium (or in a consortium of similar if not identical members).</p> <p>Evidence should be submitted as Annex D.</p> <p><i>Applicants should provide a clear narrative, supported by evidence as to their confidence in delivering this project.</i></p> <p><i>Applicants should structure their answer around a single primary past project example, to which the majority of supporting evidence should relate.</i></p>



*Where relevant, this example can include learning from challenges and/or less successful delivery.*

*This evidence should be drawn from a previous SHDF project. Where this is not possible, you should use evidence from a wider government scheme, or, where necessary, any other past construction and/or energy efficiency project of a similar size, scale and complexity to the project proposed in this application.*

*If the Lead Applicant (or one or more consortium members, where applying as a consortium) is also applying to upgrade different homes through a separate Strategic Partnership project, you must explain your confidence that both projects will be deliverable simultaneously.*

*Evidence of successful delivery should include the following:*

- An overview of the project and its objectives, and robust evidence of delivery performance including but not limited to: KPIs and milestones achieved; measures completed in line with original project; Budget/Value for Money (VfM), and benefits achieved.*
- Use of case studies; references from past projects; monitoring or/and final reports, and evaluation undertaken by independent actors.*

*If your answer addresses challenges faced and/or less successful delivery, you should explain why these problems arose, ideally including evidence to corroborate any mitigating factors such as events beyond your control. You should then reference how lessons have been learned by the organisation and the specific steps you have put/are putting in place to avoid these challenges occurring again, including in relation to your proposed project.*

*Consortium Applicants should provide a clear narrative as to their confidence in delivering in this consortium, supported by evidence as per the aforementioned guidance. This should also include the specific contribution of individual consortium members as far as possible within the word limit. Evidence of successful collaboration between consortium members, including the consortium lead, should also be provided.*

*If consortium Applicants have faced collaboration challenges in a past project, you should explain why these problems arose, the lessons learned by all organisations involved, and the steps you are putting in place to avoid them occurring again.*

*If applying as a new consortium, evidence of successful project delivery and collaboration in, ideally, other similar consortia, should be provided for as many individual consortium members as possible. This must include the consortium lead, including, where possible, its previous successful leadership of a consortium.*

*If you are unable to answer this question with an example, you should outline the processes that have been put in place to ensure you are equipped to deliver this project, and may cross reference to other responses given within this application form.*

	<p><i>Single Applicant word limit – 700, consortium Applicant word limit – 1,400</i></p> <p><i>Guideline annex length: single Applicant – up to 3 page, consortium – up to 7 pages</i></p>
5.4) Assessed	<p>[For consortium Applicants only] How do you plan to manage the delivery of the project across consortium members, including the consortium lead?</p> <p><i>You must refer to the governance structure that will be put in place, as well as data reporting and data sharing agreements, ways of working, and any flexible approaches to project outcomes you will apply. Please also discuss the differing supply chains and contractors used across the projects within the consortium.</i></p> <p><i>You should also discuss your approach to change management in the result of a member of the consortium pulling out of the project.</i></p> <p><i>Word limit – 600</i></p>

## Evaluation

5.5) <i>For information only</i>	<p>To manage public spend and assess whether Wave 3 has delivered as intended and achieved intended outcomes, DESNZ will appoint an independent evaluation partner to deliver the overarching evaluation of Wave 3. As part of this, Grant Recipients in the Challenge Fund route have the opportunity to opt in to delivering self-conducted evaluation activities. Self-conducted evaluation activity is split into two groups: Group A and Group B. Support from DESNZ's independent evaluation partner will be provided.</p> <p>Group A is likely to contain three sets of outcome indicators, which Grant Recipients can collect quantitative data on and report against, according to a methodology set out by DESNZ. These outcome indicators are expected to include social housing landlord capacity and capability development, supply chain capacity and capability development, and resident outcomes.</p> <p>Group B will contain a longlist of broad evaluation topics on a range of themes. Grant Recipients may choose to undertake additional data collection, analysis and reporting, of their own design, on any of these topics where relevant to their project contexts and in support of their research interests.</p> <p>Please indicate if you wish to opt in.</p> <p><i>Applicants should refer to Section 5.8.5 of the WH:SHF Wave 3 Scheme Guidance for further details of self-conducted evaluation activities.</i></p> <p><i>Applicants should note that opting in to conducting self-conducted evaluation is not a binding commitment and can be confirmed after funding is awarded. This is required to enable DESNZ and their appointed</i></p>
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	<p><i>independent evaluation partner to ascertain potential levels of support needed to deliver these activities.</i></p> <ul style="list-style-type: none"> <li>- Yes, we are interested in undertaking self-conducted evaluation activity in <u>Group A and Group B</u></li> <li>- Yes, we are interested in undertaking self-conducted evaluation activity in <u>Group A only</u></li> <li>- Yes, we are interested in undertaking self-conducted evaluation activity in <u>Group B only</u></li> <li>- No, we are not interested in undertaking optional self-conducted evaluation activity</li> </ul>
<p>5.6) <i>Only if answered 'yes' to the question above. For information only.</i></p>	<p>Please indicate which, if any, of the following research and evaluation methods your organisation has conducted or commissioned in the last two years.</p> <p><i>Please tick all that apply.</i></p> <p><i>If applying as a consortium, only the Lead Applicant is required to provide evidence of previous evaluation undertaken. Consortium partners do not need to provide evidence.</i></p> <p><i>Research and evaluation activities do not need to relate to previous WH:SHF Waves or relevant BEIS/DESNZ grant schemes. These could have been carried out by in-house research teams or commissioned to an external research consultant.</i></p> <p><i>This is required to enable DESNZ and their appointed independent evaluation partner to provide tailored support to Grant Recipients who deliver self-conducted evaluation data collection, analysis and reporting activities.</i></p> <ul style="list-style-type: none"> <li>1. Surveys/questionnaires <ul style="list-style-type: none"> <li>2. With residents</li> <li>3. With other participants (please specify)</li> </ul> </li> <li>1. In-depth interviews <ul style="list-style-type: none"> <li>1. With residents</li> <li>2. With other participants (please specify)</li> </ul> </li> <li>1. Focus groups <ul style="list-style-type: none"> <li>2. With residents</li> <li>3. With other participants (please specify)</li> </ul> </li> <li>1. Case studies</li> <li>2. Secondary data analysis</li> <li>3. Use of monitoring sensors and diagnostics (e.g. smart meters, SMETERS)</li> <li>4. Analysis of fuel bill savings (this can include modelling)</li> <li>5. Development of a logic model or theory of change</li> <li>6. Other research methods – please specify</li> </ul>
<p>5.7) <i>Only if answered 'yes' to the question above. For information only.</i></p>	<p>If undertaking the self-conducted evaluation activity, will you have sufficient resource to do so?</p> <p>Yes/No</p>

<p>5.8) <i>Only if answered 'yes' to the question above. For information only.</i></p>	<p>If undertaking the self-conducted evaluation activity, and appointing an external contractor to undertake any related activities, will you ensure that its work adheres to the Market Research Society (MRS) code of conduct, where its provisions are relevant?</p>
<p>5.9) <i>For information only</i></p>	<p>Yes/No</p> <hr/> <p>Do you have plans to evaluate the progress and impact of your project independently of/ in addition to the independently commissioned DESNZ evaluation and any self-conducted evaluation activities described above?</p> <p><i>If yes, please give a brief overview of how you will evaluate your project, including:</i></p> <ol style="list-style-type: none"> <li>1. <i>The research aims</i></li> <li>2. <i>The research timeframe</i></li> <li>3. <i>If you plan to carry out primary data collection, the type of data collection (survey, interviews etc.), and with whom</i></li> </ol> <p><i>If you intend to commission your evaluation to a third-party (such as a university or research institution), please refer to this in your response.</i></p> <p><i>Please note that there is no requirement for grant award recipients to conduct independent monitoring or evaluation of their projects beyond compliance with the requirements set out in Section 5.8.3 of the WH:SHF Wave 3 Scheme Guidance.</i></p> <p><i>For further information on DESNZ's independently commissioned evaluation, please refer to Section 5.6 of the WH:SHF Wave 3 Scheme Guidance.</i></p> <p><i>For further information on self-conducted evaluation activities, please refer to Section 5.8.5 of the WH:SHF Wave 3 Scheme Guidance.</i></p> <p><i>Single Applicant word limit – 300, consortium Applicant word limit – 600</i></p>

## Annexes

Please state whether the following annexes are included in your application.

All annexes are mandatory for all applications. Failure to submit an annex could result in the rejection of an application.

Annexes should be used to provide further information, such as screenshots of modelling or evidence of quotes, to further illustrate the written justification provided within this document. Applicants should not use the annex as a way of negating the word count.

A guideline annex length has been provided in the table below for each annex. There is no upper limit on annex lengths, however DESNZ expects Applicants to keep annexes as concise as possible and only include the information requested. DESNZ will take a proportionate approach

to the assessment of annexes exceeding the guideline length, and annexes that exceed the guideline length provided may not be assessed in full.

Consortium Applicants should abide by the guidelines to consortia when supplying annexes: the responses in the application form should focus on the consortium lead’s approach, with high level information about the approach taken by other consortium members. Questions 3.1 and 5.1 have specific guidance for consortium Applicants, which differs to this approach and should be noted.

<b>Annex A:</b> Initial high-level project plan	
<b>Annex B:</b> Supporting evidence of secured co-funding, and of any secured blended funding to be utilised <i>Guideline annex length: single Applicant – up to 5 pages, consortium – up to 8 pages</i>	
<b>Annex C:</b> Risk and issues register	
<b>Annex D:</b> Evidence to demonstrate your confidence in delivering this project <i>Guideline annex length: single Applicant – up to 3 pages, consortium – up to 7 pages</i>	