

RISE

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Phase Requests in WH:SHF

Quick guide

February 2026

Funded by:



Department for
Energy Security
& Net Zero

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Summary

This quick guide has been prepared to help Challenge Fund Grant Recipients (GRs) understand the purpose, structure, and practical steps involved in developing and submitting Phase Requests (PRs) as part of the Warm Homes: Social Housing Fund (WH:SHF) Wave 3 process. It provides a clear introduction to what PRs are, the key activities required before submission, and the essential components of the form itself, as well as an overview of how PRs are assessed and approved.

The guide is intended as an accessible entry point to the PR process, and those wishing to explore the topic in more depth should refer to the full training materials and detailed guidance available on the RISE website. Readers requiring this document in a more accessible format can contact rise@turntown.co.uk.

What phase requests are

PRs are **formal submissions that allow GRs to outline the specific delivery plans** for each phase of their Warm Homes: Social Housing Fund (WH:SHF) Wave 3 project. They provide more accurate, real-time information than the estimates submitted at application stage, including the number of homes, expected measures, costs, readiness (KPI1 and KPI2), and forecasted grant drawdowns. Once a Phase Request is approved, the GR becomes eligible to draw down the capital funding required for that phase.

What to do before submission

Before submitting a PR, GRs should complete several preparation steps to ensure accuracy, reduce risk, and avoid delays. You should:

- **Complete retrofit assessments and secure all resident sign-ups** for the homes included in the phase, as these form the basis for KPI1 (homes suitable for retrofit) and KPI2 (homes ready for installation).
- **Ensure that the phase start and end dates have been included** in your phasing baseline and meet basic rules, such as being scheduled in the future and matching overall project timelines.
- **Know your costs**, including both capital costs and A&A (ancillary & administration) costs for grant-funded and co-funded measures.
- **Work with your Delivery Support Manager (DSM)** to review draft Phase Requests before formal submission in order to reduce the likelihood of returns or escalations.

- **Check that all measures proposed in the phase are eligible** within Wave 3 scheme guidance and compliant with PAS/MCS requirements.
- **Confirm that projected costs relate only to the phase being submitted** and fall within relevant cost caps and policy thresholds by project close.
- **Ensure that the Phase Request matches your baseline** - for example, if your baseline states that Phase 2 covers 100 homes, your Phase Request must also list 100 homes at submission, with no additions or omissions.

What a phase request includes

The Phase Request form covers several sections, each of which must be completed in full. The table below summarises the key components.

Section	What It Covers	Key Requirements
Declarations	Compliance statements relating to readiness, baselines, and eligibility.	All homes must have retrofit assessments (KPI1) and resident sign-ups (KPI2), or a clear justification for any shortfall.
Delivery Confidence Assessment (DCA)	GR's self-assessment of readiness to deliver the phase.	Must provide clear justification based on factors such as number of homes, complexity, archetypes, supplier arrangements, any associated timeframes if known, and risk.
KPIs, Homes & Costs	KPI status, number of homes, and detailed cost inputs.	Costs must relate only to the phase, align with FY baselines, and avoid large cost-cap or A&A variances.
Grant Drawdown Forecast	Expected schedule of grant funding requests.	Drawdowns must match the phase's total grant funding and must not exceed annual or total allocations.
Homes - Type & Condition	Starting/ending EPC, non-social homes, eligibility.	Justification required for EPC C starters, EPC B/A endings, and non-social home inclusion.
Measures	Measures to be installed, their quantities, and the average cost of a measure per install.	All measures must be PAS/MCS eligible and realistic for archetype and timeline.

What happens after you submit

Once a Phase Request is submitted through the Grant Recipient Portal, it is first checked to confirm that all essential information has been provided and that the submission meets the basic policy and eligibility requirements. If any details are

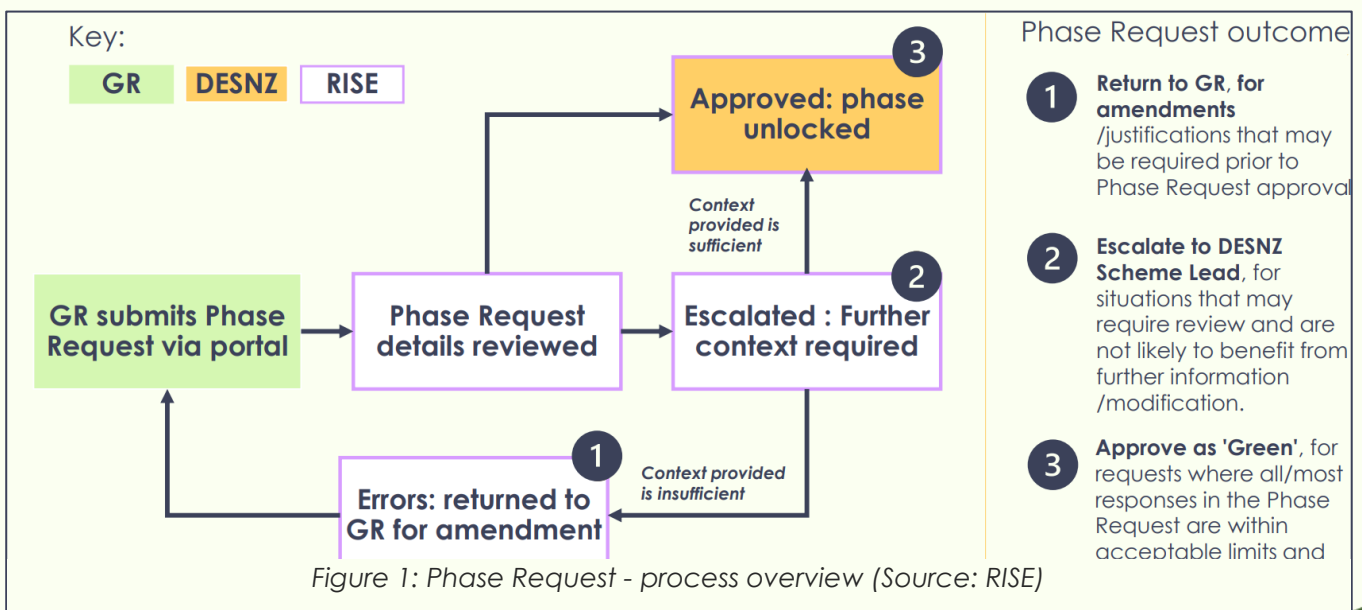
missing or unclear, the request is returned to the Grant Recipient along with guidance on what needs to be corrected before it can progress. After the submission is complete, it undergoes a full assessment and is assigned an initial risk rating based on the clarity of the information provided, policy alignment, and project deliverability. Requests that require further scrutiny or hold higher levels of risk are escalated to the Department for Energy Security and Net Zero (DESNZ) for a final decision.

Once a decision has been made, the Grant Recipient is notified of the outcome. An approved Phase Request unlocks the phase for delivery and enables future drawdown of capital funding.

At this point:

- **The phase details are added to the project baseline** within the Grant Management System, forming the agreed reference point for monitoring delivery.
- **The Grant Recipient can begin delivering the phase**, following the scope and plans set out in the approved request.
- **Grant funding for the phase becomes eligible for drawdown**, in line with scheme rules and financial-year constraints.
- **Progress for the phase is then monitored** through regular monthly reporting, ensuring alignment with the approved baseline and identifying any issues early.

The following simplified process map (see figure 1) illustrates the key steps that occur once a Phase Request is submitted. It highlights how the request is reviewed, when it may be returned for corrections or escalated for further context, and how approval ultimately unlocks delivery of the phase. This visual is designed to give Grant Recipients a clear, high-level view of the assessment journey.



Next steps

At this stage, you should now have a clear understanding of how Phase Requests work and what is required to prepare a strong submission. Your next steps are to:

1. **Start building or refining your phasing baseline**, using accurate and up-to-date project data.
2. **Work with your DSM to review draft requests early** and resolve issues before formal submission.
3. **Check that your KPIs, EPC data, and chosen measures** are complete and reliable to support approval.

For more detailed guidance on preparing and submitting Phase Requests, please refer to our [Grant Recipient Phase Request Walkthrough Guide](#) on the RISE Knowledge Hub.

Relevant resources:

- [Warm Homes: SHF Wave 3 Guidance](#)
- [Grant recipient portal guides](#)



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