

WH:SHF Challenge Fund

Stage 3 - Phase Request Submission Walkthrough

June 2026

RISE

Retrofit information,
support & expertise

Funded by



Department for
Energy Security
& Net Zero

Delivered by



Turner & Townsend

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Phase Requests Overview

Phase Requests: Overview

The Phase Request must be submitted and approved before any retrofit installations begin.

Purpose

- To unlock delivery for a specific phase.
- To confirm readiness to begin work, including resident engagement and contractor mobilisation.

Submission and review

- Submitted via the Grant Recipient Portal.
- Reviewed by RISE following a set procedure and guidance.
- Once approved, the phase is unlocked for delivery and drawdown.

Contents

- Confirmation of homes and measures to be delivered.
- Evidence of assessments and resident sign-ups.
- Delivery dates and targets.
- Associated costs and funding requirements.
- Declaration of confidence in delivery, signed by the Grant Recipient (GR).

Phase Requests can now be submitted and approved at any percentage Retrofit Assessment completion, this is no longer a barrier to submission

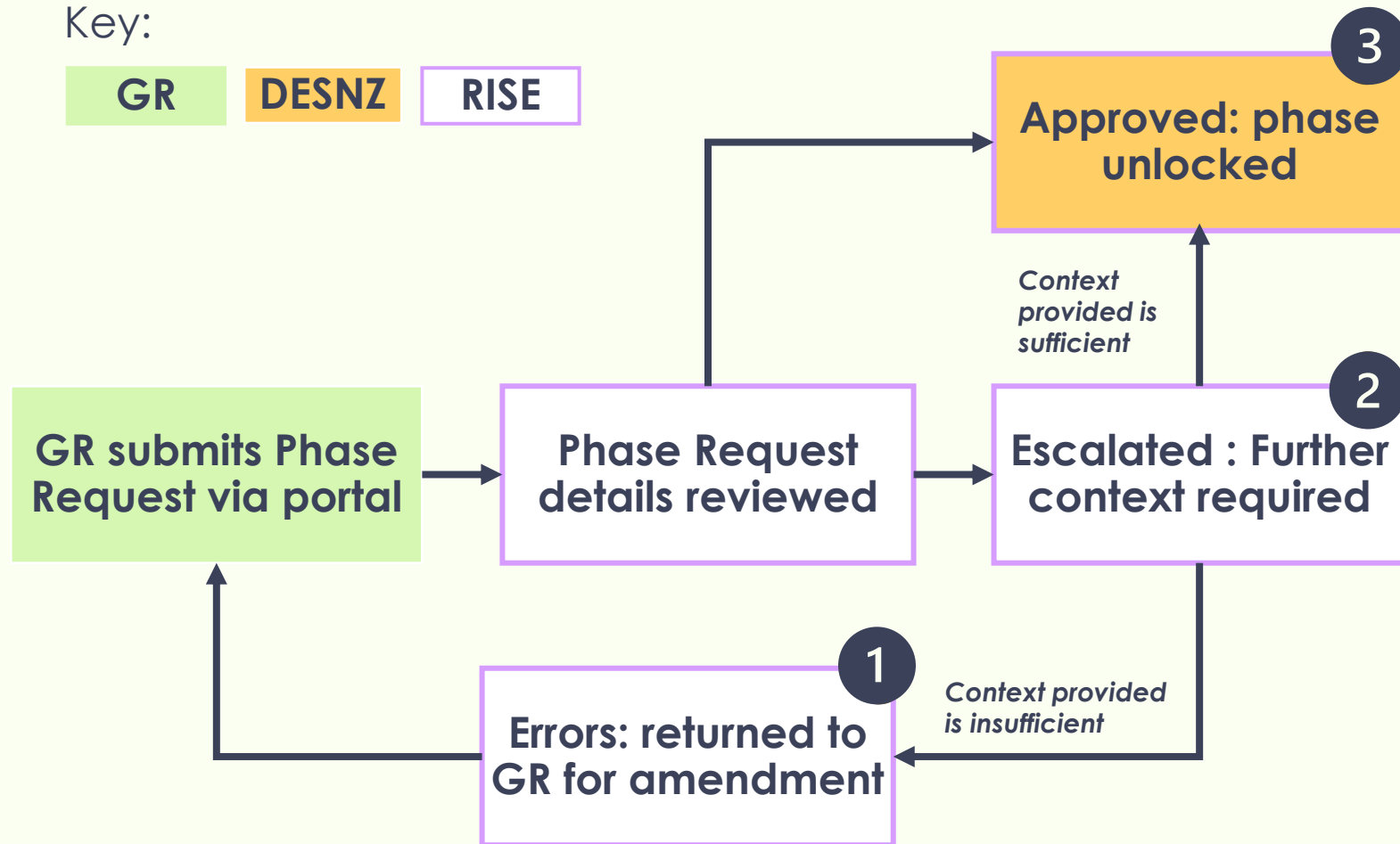
Phase Requests: Process Overview

Key:

GR

DESNZ

RISE



Phase Request outcomes

- 1 **Return to GR, for amendments**
/justifications that may be required prior to Phase Request approval
- 2 **Escalate to DESNZ Scheme Lead**, for situations that may require review and are not likely to benefit from further information /modification.
- 3 **Approve as 'Green'**, for requests where all/most responses in the Phase Request are within acceptable limits and do not need further justification/escalation.

KPI Threshold Changes

KPI 1 & 2 Approval Thresholds

The requirement for a specific percentage completion of KPI 1 (Retrofit Assessments) and KPI 2 (Resident Sign-ups) is no longer a pass/fail determinant for phase approval.

The thresholds for approval have changed meaning it is no longer necessary to achieve 90% KPI 1 and 2 completion for a phase to be approved without additional review.

Phase requests can now be approved outright with a minimum of 50% of homes in the phase achieving KPI 1 & 2.

Phase requests can still be submitted if KPI 1 & 2 are below this 50% threshold but will require further review before approval.

This change has been introduced to encourage early phase requests to avoid future delays.

Filling Out the Phase Request Form

1. Filling Out the Phase Request Form

Question formats:

There are four question formats in the Phase Request form.

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 or additional information.

All questions are mandatory, unless stated otherwise within the individual question.

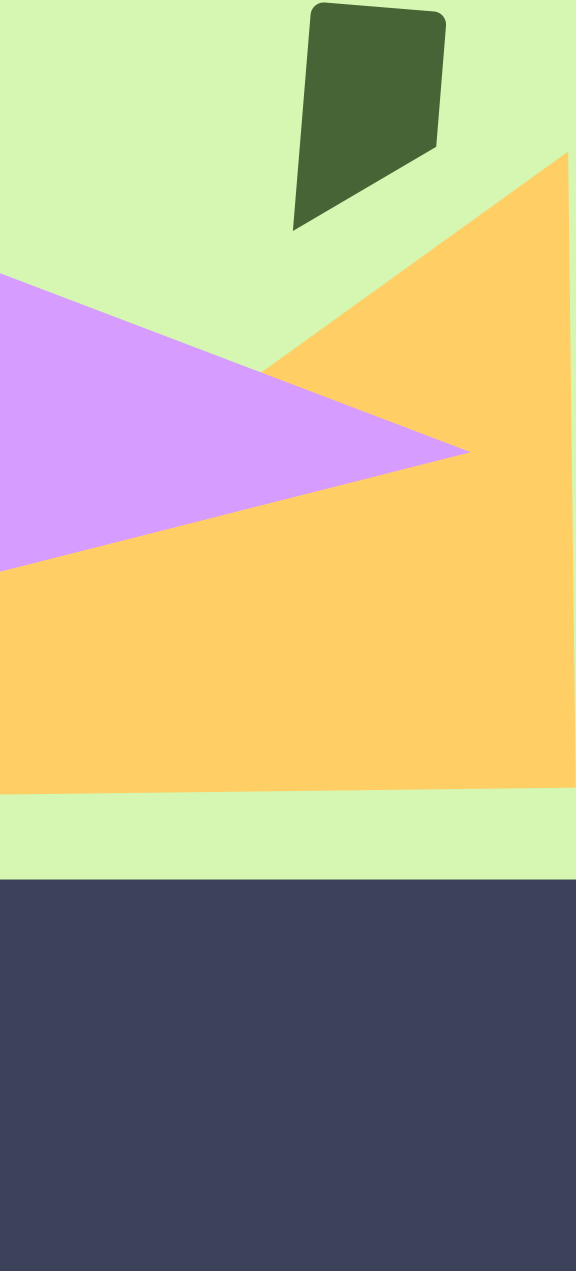
Some questions comprise a combination of formats, e.g. a table plus accompanying narrative explanation.

1.2 Filling Out the Phase Request Form

There are multiple distinct sections in this Phase Request form

Section 1 – Phase Selection	Selecting the corresponding phase from the options for you to populate with information and submit.
Section 2 – Declarations	Short declaration responses and justifications to ensure compliance with the Phase Request process.
Section 3 – Delivery Confidence Assessment	A GR confidence assessment of its ability to complete the phase within the outlined cost, quality and time parameters.
Section 4 – KPIs, Homes & Costs	An update on Key Performance Indicators (KPIs) for the project so far, details about the total homes and Low Carbon Heating (LCH) homes in the phase, and costs being incurred during the phase .
Section 5 – Grant drawdown forecast	A projection of when grant drawdown requests for phase costs will be submitted, and how much they will be for.
Section 6 – Type and condition of homes in the phase	Information to be completed on the planned starting and ending EPC data of homes within this phase, any necessary justification for deviations from scheme guidance, e.g. starting or ending EPCs, and whether any non-social homes are included in the phase.
Section 7 – Measures	The measures that will be installed within this phase and estimates of how much they will cost.

All questions must be answered and should be based on completed retrofit assessments and project designs, rather than forecasts.



Section 1. Phase Selection

Section 1. Phase Selection

Once you have read the guidance page, you will come to the following page where you must select which phase in your project you are submitting.

Phase Request

SHF3 Test

Please select the project phase that this phase request relates to

3 of 3 items • 1 item selected

Phase Name	Start Date	End Date
☒ Phase 1	12 Jan 2026	31 Jul 2026
☐ Phase 2	31 Jul 2026	18 Dec 2026
☐ Phase 3	1 Apr 2027	31 Jan 2028

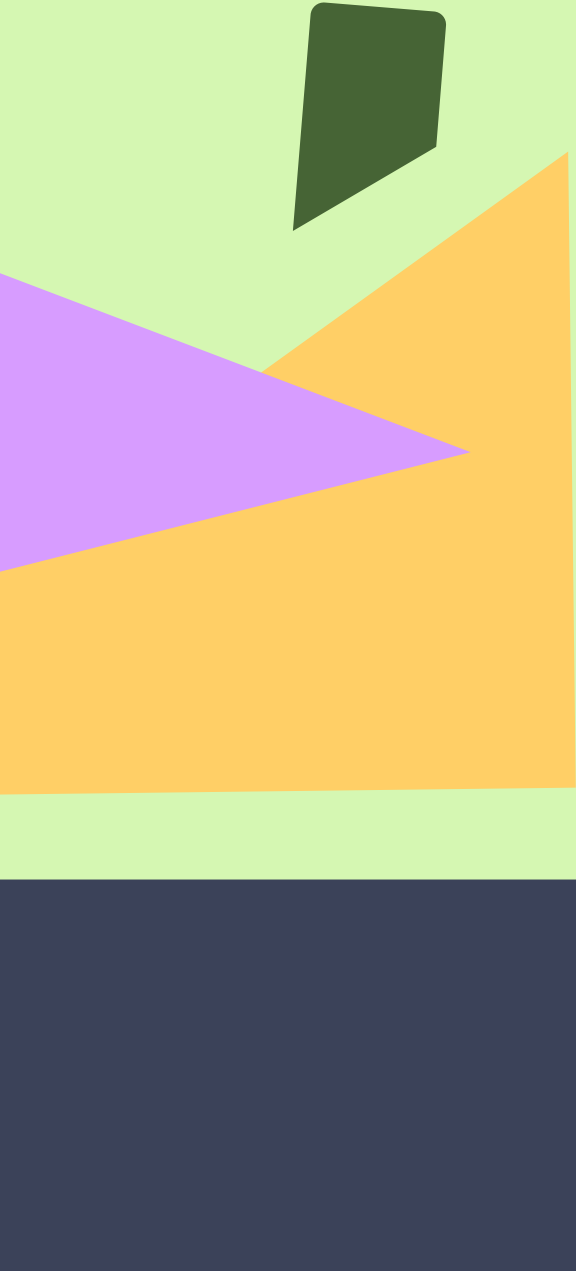
Back

Start Phase Request

Select the phase you are submitting a phase request for.

In this example, the first phase has been selected.

The phases are generated from your phase baseline; start and end dates are already populated and therefore these cannot be amended without altering the baseline.



Section 2. Declarations

Section 2. Declarations

Declarations marked 'Yes' confirm agreement with a statement. These are short declaration responses and justifications to ensure compliance with the Phase Request process.

Declarations

You should note that if, for extraordinary circumstances, if you select 'No' for any of the following statements, reasoning should be provided for doing so. Phase requests omitting reasoning for the selection of 'no' will automatically be rejected.

▼ Declarations

I. I can confirm that all homes included in this phase (across all consortium members) meet KPI 1. This means they are suitable for retrofit, having completed all stages in the PAS 2035 process up to and including the Whole Dwelling Assessment (KPI 1).

☒ Yes
☐ No

II. I can confirm that all homes included in this phase (across all consortium members) meet KPI 2. This means they are ready for installations to start, having completed the Design and Co-ordination stage in the PAS 2035 process and residents have been signed up (KPI2).

☒ Yes
☐ No

III. This phase request aligns with the Phase Request baseline previously submitted and as set out in the GFA.

☐ Yes
☒ No

Please include a justification of why this phase request does not match your previously submitted baseline.

insert justification for why the phase does not align with the previously submitted baseline eg the Phase Request Baseline was amended following a Project Change Request

IV. I acknowledge that this phase request will result in a change to the baseline and I confirm that I have attached an accompanying Project Change Request.

☐ Yes
☐ No

V. If the phase will see greater than 15% of grant funding and/or 15% total funding spend on A&A costs, I confirm I will still be able to comply with the scheme's A&A policy for the overall project.

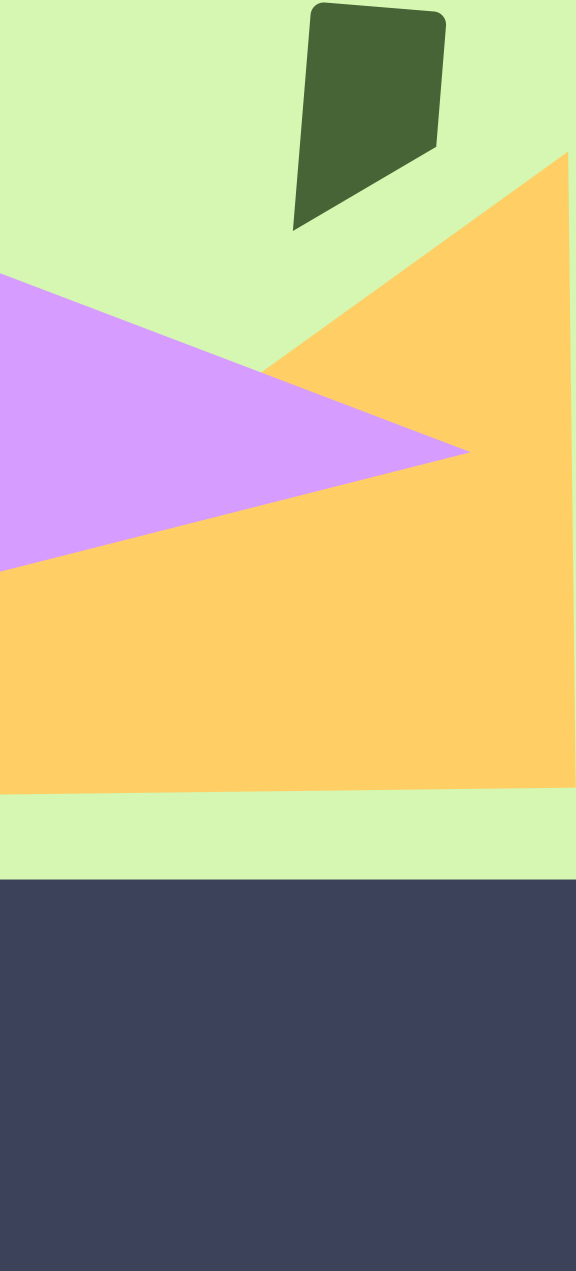
☒ Yes
☐ No

Previous **Next**

Select yes or no for each question in the declarations page.

For some questions, where a 'no' response is given, you will be asked to provide a justification. Provide a detailed justification that could be understood by someone who has no prior knowledge of your project.

Select 'next' to move to the next stage.



Section 3. Delivery Confidence Assessment

Section 3. Delivery Confidence Assessment

Phase Request Form

LOGL-Phase-3

Grant Recipient Phase Delivery Confidence Assessment (DCA)

Please provide your Delivery Confidence Assessment for this phase, choosing one of the following RAG ratings:

Green - Minimal/No risk and highly confident scope of works will be completed within the stipulated time, cost and quality parameters.

Amber/Green - Some risk and fairly confident that the scope of works will be completed within the stipulated time, cost and quality parameters.

Amber - Higher risk and partially confident that the scope of works will be completed within the stipulated time, cost and quality parameters.

Red - Significantly high risk and very low confidence that the scope of works will be completed within the stipulated time, cost and quality parameters.

▼ Grant Recipient Phase Delivery Confidence Assessment (DCA)

Phase Delivery Confidence Assessment

☐ Green
☐ Amber/Green
☐ Amber
☐ Red

Justification of DCA RAG Rating

Previous

Next

Incorporate information relating to your declarations (if applicable).

For example, if you have 100% sign-ups and assessments, and a contractor on board, this will contribute to a green RAG.

It is important to provide an honest assessment of your confidence in being able to deliver this phase in full.

However, a red rating DCA can still be approved. Justify the actions you are taking to improve upon this rating and how the phase will still be fulfilled.

For example; if your project timeline is expected to elapse the phase timeline, explain how you may be incorporating extra resources to mitigate this.

Section 3.1 Delivery Confidence Assessment - Example

Grant Recipient Phase Delivery Confidence Assessment (DCA)

Please provide your Delivery Confidence Assessment for this phase, choosing one of the following RAG ratings:

Green - Minimal/No risk and highly confident scope of works will be completed within the stipulated time, cost and quality parameters.

Amber/Green - Some risk and fairly confident that the scope of works will be completed within the stipulated time, cost and quality parameters.

Amber - Higher risk and partially confident that the scope of works will be completed within the stipulated time, cost and quality parameters.

Red - Significantly high risk and very low confidence that the scope of works will be completed within the stipulated time, cost and quality parameters.

✓ Grant Recipient Phase Delivery Confidence Assessment (DCA)

Phase Delivery Confidence Assessment

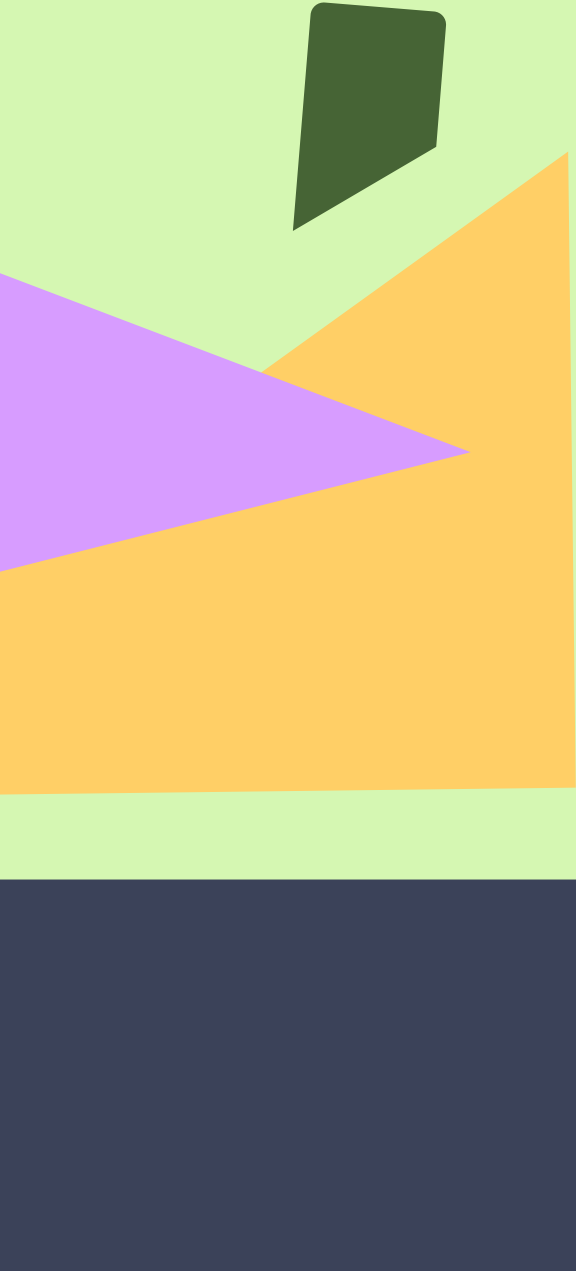
- ☒ Green
- ☐ Amber/Green
- ☐ Amber
- ☐ Red

Justification of DCA RAG Rating

All properties have had Retrofit Assessments carried out and been assessed in relation to qualifying measures to install to achieve the target EPC C rating. Our delivery partner [X] has been procured and have already mobilised on site. All tenants have been signed up, and they are ready to commence installs once this Phase Request has been approved.

This example highlights a good detailed response. The DCA shows that tenants are signed up, the retrofit assessments are all complete and work is ready to commence on site.

In cases where this isn't applicable (where you may not have 100% of KPI 1 and/or 2), the DCA needs to include information explaining why KPI 1 and/or 2 isn't met – and what actions you are taking to ensure they will be completed. Include as much information as you can.



Section 4. KPIs, Homes and Costs

Section 4 KPIs, Homes and Costs

Before beginning section 4, it is useful to remind yourself of the cost cap structure for WH:SHF Challenge Fund. The table below outlines the maximum grant costs and minimum co-funding contribution across the base cost cap, off-gas grid Low Carbon Heat (LCH) uplift and on-gas grid LCH incentive.

Grant funding overview per property

Cost cap	Max. grant	Min. co-funding requirement	Total per property
Base cost cap	£7,500	£7,500	£15,000
Off-Gas Grid LCH Cost Cap Uplift	£15,000	£15,000	£30,000
On-Gas Grid LCH Incentive Offer (Max. 10% of total properties)	£20,000	£0	£20,000

Averaging cost caps:

GR can average out cost caps between homes using the base cost cap and the off-gas LCH uplift. But properties receiving the on-gas LCH offer cannot. For example, if you have three properties where one is using the base cost cap, one is the off-gas uplift, and the final property is accessing the on-gas offer, the cost cap for these properties will be £65,000 – but the on-gas property cannot exceed £20,000. While the other properties can equal £45,000 between them.

Take a look at our Phase Request Planning Tool (excel) [here](#)

Section 4.1 KPIs, homes and costs

Scenario	No. homes	Cost cap	Maximum Capital Grant (85% of total grant)	Maximum Capital Co-fund	Maximum A&A Grant (15% of total grant)	Maximum A&A Co-funding	Maximum Total Grant (Capital Grant + A&A Grant)
Base cost cap	30	£7,500	£225,000	£225,000	-	-	-
Off-gas	10	£15,000	£150,000	£150,000	-	-	-
On-gas	10	£20,000	£200,000	£0	-	-	-
Totals	100		£575,000	£375,000	£101,470.59	£101,470.59	£676,470.59

This section refers to costs for **this phase only**, not total costs for each financial year. In this example, 30 homes are accessing the base cost cap, 10 are accessing on-gas, and 10 are accessing off-gas. The table below details how the cost breakdown can be calculated, assuming the max. cost caps are being accessed.

Helpful calculation:

The policy requires that no more than 15% of grant and co-funding be assigned to A&A. Do the following calculations to ensure you adhere to the policy.

1. **Max. grant funded A&A ÷ total grant costs for this phase = x%**
2. **Max co-funded A&A ÷ max. co funded costs for this phase = x%**

If either of the % exceed 15%, you will be required to provide a justification for this, and the phase request will receive a higher risk rating.

Clarification question #77 includes an example of A&A costs for LCH homes.

Section 4.2 KPIs, Homes and Costs

✓ Homes in this phase

Total number of homes to be upgraded in phase

50

No. of homes accessing the off-gas grid LCH cost cap uplift in phase

10

No. of homes accessing the on-gas grid LCH incentive offer in phase

10

Include figures **for this phase only**

In this example, the phase being submitted has 50 homes (total)

- 10 of which are accessing off-gas grid LCH uplift
- 10 of which are accessing on-gas grid LCH incentive

✓ Phase Costs - FY 2025/2026

Confirm the financial year in which this phase sits, to ensure you submit figures in the correct section.

GRANT

CO-FUNDING

PHASE TOTALS

Grant funded capital costs

£575,000

Co-funded capital costs

£375,000

Total capital costs

£950,000

Grant funded A&A costs

£101,470

Co-funded A&A costs

£101,471

Total A&A costs

£202,941

Total grant funding

£676,470

Total co-funding contribution

£476,471

Total phase costs for this FY

£1,152,941

50% minimum co-funding is required for most homes. This means that for every £1 of grant funding, at least £1 must be contributed by the applicant by project end. However, this can vary during individual phase requests. On-gas LCH homes do not require co-funding

Section 4.3 KPIs, Homes and Costs

✓ Phase Costs - FY 2025/2026

GRANT	CO-FUNDING	PHASE TOTALS
Grant funded capital costs £575,000	Co-funded capital costs £375,000	Total capital costs £950,000
Grant funded A&A costs £101,470	Co-funded A&A costs £101,471	Total A&A costs £202,941
Total grant funding £676,470	Total co-funding contribution £476,471	Total phase costs for this FY £1,152,941
Grant funded capital costs on off-gas LCH homes £150,000	Co-funded capital costs on off-gas LCH homes £150,000	Total LCH off-gas (this phase) £300,000
Grant funded capital costs on on-gas LCH homes £200,000		Total LCH on-gas (this phase) £200,000

See [clarification question #77](#) for a worked example of LCH A&A costs.

Keeping to the example of 50 properties, 10 off-gas and 10 on-gas:

Using the funding table as a guide, in this example we have completed this section under the assumption that we are allocating the maximum cost cap for LCH:

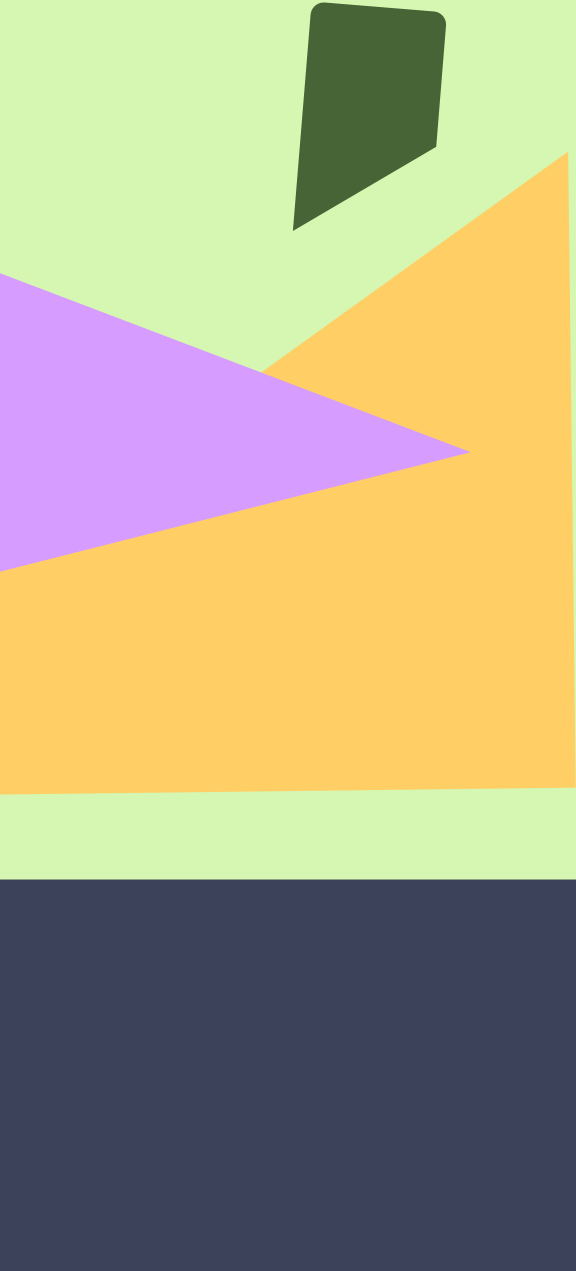
1. For the **grant funded** LCH homes, 10 properties are accessing the **off-gas** grid uplift (£15k per property).
2. For the **Co-funded** LCH costs, only 10 properties are eligible for co-funding, therefore £150,000 is entered for the 50:50 split to match.
3. 10 are accessing the **on-gas** grid incentive (£20k per property). This gives a total of £200,000.

This section is asking for **capital costs**, so do not incorporate A&A in these sections.

The co-funding for LCH in this example is only applicable to the 10 properties receiving the **off-gas** uplift, therefore the 50/50 split is reinstated, resulting in **£150,000 co-funding for this scenario**.

Remember: co-funding for LCH can be carried out over multiple phases so long as the 50% minimum is met by project end.

LCH Scenario	Max. Grant (per property)	Min. required co-funding (per property)	Total (per property)
Off-gas grid LCH Cost Cap Uplift	£15,000	£15,000	£30,000
On-Gas Grid LCH Incentive Offer (max. 10% of total project properties)	£20,000	£0	£20,000



Section 5. Splitting Phase Costs Across FYs

Section 5. Phase Costs

The form will also ask you to show how costs for the phase are allocated across each financial year.

Where your phase straddles financial years, follow the same process as the previous slides, considering how costs will be split between financial years.

If the phase is forecast to start in one financial year and end in another, costs must be split out by the year they will be incurred. Find an example of this on the next slide.

It is important to note, **a value must be entered in every cell**, so in instances where you do not have any spend, enter **0**.

▼ Homes in this phase

Total number of homes to be upgraded in phase

50

No. of homes accessing the off-gas grid LCH cost cap uplift in phase

10

No. of homes accessing the on-gas grid LCH incentive offer in phase

10

▼ Phase Costs - FY 2025/2026

GRANT	CO-FUNDING	PHASE TOTALS
Grant funded capital costs	Co-funded capital costs	Total capital costs
£575,000	£375,000	£950,000
Grant funded A&A costs	Co-funded A&A costs	Total A&A costs
£101,470	£101,471	£202,941
Total grant funding	Total co-funding contribution	Total phase costs for this FY
£676,470	£476,471	£1,152,941
Grant funded capital costs on off-gas LCH homes	Co-funded capital costs on off-gas LCH homes	Total LCH off-gas (this phase)
£150,000	£150,000	£300,000
Grant funded capital costs on on-gas LCH homes		Total LCH on-gas (this phase)
£200,000		£200,000

▼ Phase Costs - FY 2026/2027

GRANT	CO-FUNDING	PHASE TOTALS
Grant funded capital costs	Co-funded capital costs	Total capital costs
Grant funded A&A costs	Co-funded A&A costs	Total A&A costs
Total grant funding	Total co-funding contribution	Total phase costs for this FY
Grant funded capital costs on off-gas LCH homes	Co-funded capital costs on off-gas LCH homes	Total LCH off-gas (this phase)
Grant funded capital costs on on-gas LCH homes		Total LCH on-gas (this phase)

▼ Phase Costs - FY 2027/2028

Section 5.1 Phase Costs

Using the same example, we have modelled the phase to straddle financial years 2025/26, 2026/27 and 2027/28

The total phase costs remain the same but they are now split across three different financial years. Be mindful of your funding allocations within each financial year. Financial year grant and co-funding totals are baselined figures, and can only be changed via a PCR.

▼ Homes in this phase

Total number of homes to be upgraded in phase	No. of homes accessing the off-gas grid LCH cost cap uplift in phase	No. of homes accessing the on-gas grid LCH incentive offer in phase
50	10	10

▼ Phase Costs - FY 2025/2026

GRANT	CO-FUNDING	PHASE TOTALS
Grant funded capital costs	Co-funded capital costs	Total capital costs
£575,000	£375,000	£950,000
Grant funded A&A costs	Co-funded A&A costs	Total A&A costs
£101,470	£101,471	£202,941
Total grant funding	Total co-funding contribution	Total phase costs for this FY
£676,470	£476,471	£1,152,941
Grant funded capital costs on off-gas LCH homes	Co-funded capital costs on off-gas LCH homes	Total LCH off-gas (this phase)
£150,000	£150,000	£300,000
Grant funded capital costs on on-gas LCH homes		Total LCH on-gas (this phase)
£200,000		£200,000

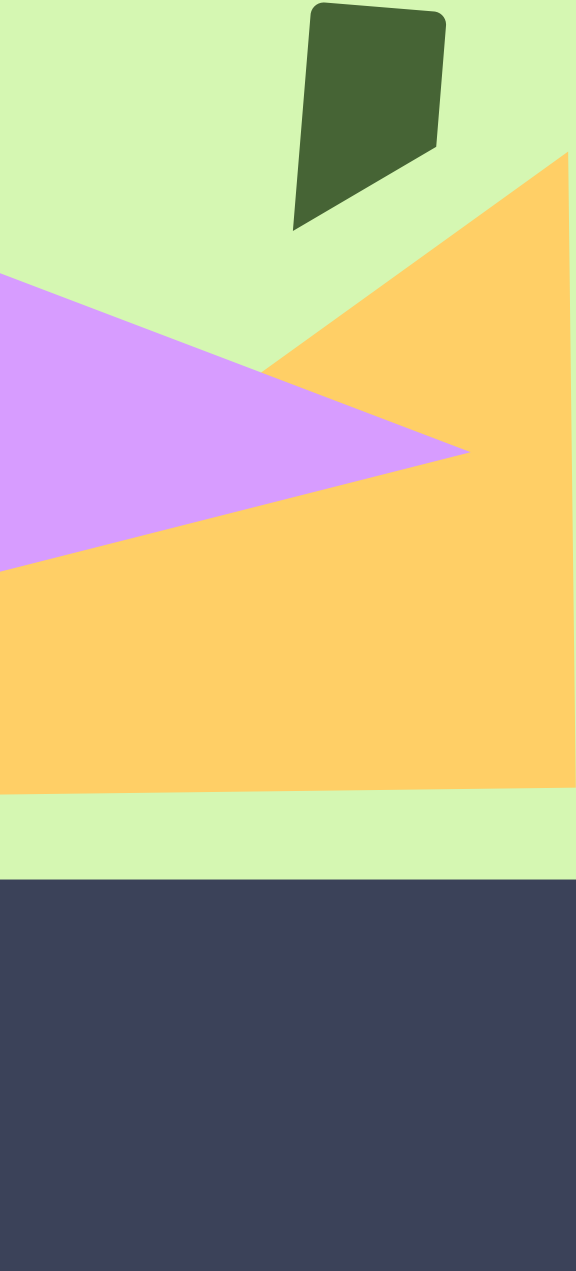
▼ Phase Costs - FY 2026/2027

GRANT	CO-FUNDING	PHASE TOTALS
Grant funded capital costs	Co-funded capital costs	Total capital costs
Grant funded A&A costs	Co-funded A&A costs	Total A&A costs
Total grant funding	Total co-funding contribution	Total phase costs for this FY
Grant funded capital costs on off-gas LCH homes	Co-funded capital costs on off-gas LCH homes	Total LCH off-gas (this phase)
Grant funded capital costs on on-gas LCH homes		Total LCH on-gas (this phase)

▼ Phase Costs - FY 2027/2028

GRANT	CO-FUNDING	PHASE TOTALS
Grant funded capital costs	Co-funded capital costs	Total capital costs
Grant funded A&A costs	Co-funded A&A costs	Total A&A costs
Total co-funding contribution	Total grant funding	Total phase costs for this FY
Grant funded capital costs on on-gas LCH homes	Co-funded capital costs on off-gas LCH homes	Total LCH off-gas (this phase)
Grant funded capital costs on off-gas LCH homes		Total LCH on-gas (this phase)

Take a look at our Phase Request Planning Tool (excel) here



Section 6. Grant Drawdown Forecast

Section 6. Grant drawdown forecast

Remember: If you have drawn down 20% of your grant before submitting a phase, factor this into your phases in FY1.

Date drawdown request to be submitted 31 Oct 2025	Total Amount £50,000
Remove	
Date drawdown request to be submitted 20 Nov 2025	Total Amount £50,000
Remove	
Date drawdown request to be submitted 15 Jan 2026	Total Amount £150,000
Remove	
+ Add	

Be aware of the final date you can submit a drawdown to still receive funds by the end of the FY.

For FY 25/26, the last drawdown date is 15/01/2026.

If you are planning for more than one drawdown within this phase, use the 'add' button to add another drawdown date and amount.

Useful Calculation:

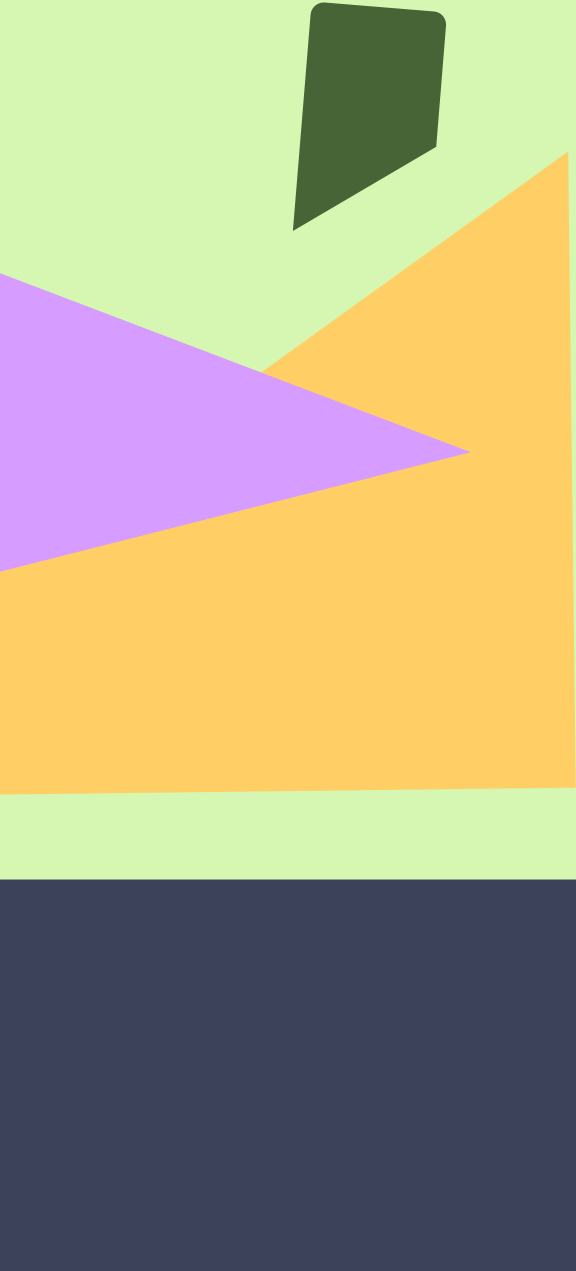
Sum up the drawdown values and ensure the total matches your total grant funding for this phase (see KPIs, homes and costs).

This section details when you plan to request funding for the phase.

This helps DESNZ know when to expect drawdown requests and release funds.

Please do the following:

- Enter the date and amount for each drawdown.
- Make sure the total amount across all drawdowns does not exceed your phase grant funding (including A&A).
- Each drawdown should cover spending expected up to and including the following month.
- Your drawdown forecast must stay within your total grant allocation for the FY.



Section 7. Type and Condition of Homes in this Phase

Section 7. Type and condition of homes in the phase

▼ Starting EPC - Number of Homes at each EPC grade

A	B	C	D
0	0	0	40
E	F	G	
10	0	0	

▼ Ending EPC - Number of Homes at each EPC grade

A	B	C	D
0	0	50	0
E	F	G	
0	0	0	

Number of non-social homes included in this phase

0

If you have included any homes that either start at EPC C+ or any ending below EPC C, and/or any non-social homes, please provide a justification as to why they are permissible, as per the policies outlined in the Scheme Guidance. If you have included any non-social homes, please also confirm that these do not exceed the maximum limit of 70% of homes within a single block/terrace. If you have listed any non-infill homes with ending EPCs of B or A, please provide assurances that no grant funding is being used for additional measures after an EPC of C has been achieved. Please also confirm that any spend on measures after a property has already reached EPC C is not being included as part of your co-funding figures.

x

By ticking here you confirm that your properties achieving EPC A or B are aligned with the above guidance. Please note that we may request evidence of this, including in the form of retrofit assessments, RdSAP modelling and cost data. Please note that DESNZ's approval of this Phase Request is not confirmation that we have reviewed and confirmed the evidence. We reserve the right to request and review this evidence retrospectively after a Phase Request is approved.

☒ I confirm my properties are aligned with the above guidance.

Previous Next

Include the total number of non-social homes in this phase

Use this section to justify the inclusion of; any homes that start at EPC C or above, any homes that end at above EPC C, and any non-social homes.

In this section, you need to:

- List how many homes in the phase start and end at each EPC band
- Make sure the EPC categories sum up to total homes in the phase

The policy requires that homes should start below EPC C and finish at EPC C.

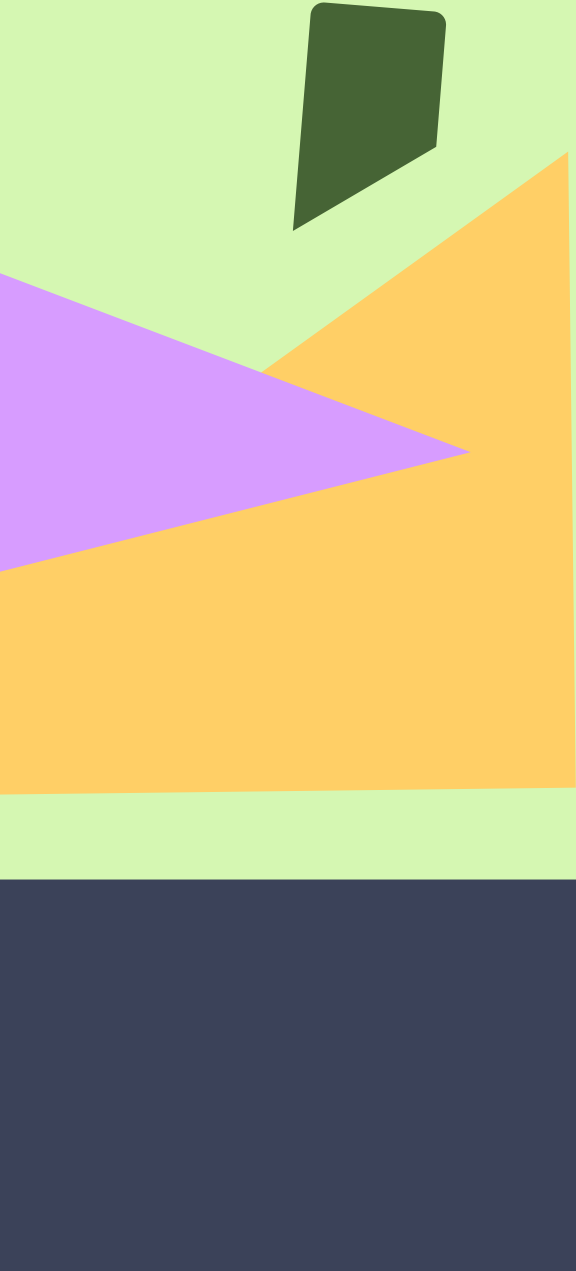
Exceptions must follow the rules in section 2.4.1 of the scheme guidance.

If your phase includes:

- Homes starting at EPC C or higher.
- Homes ending at EPC B or higher.

You must provide a clear and detailed justification in the box provided.

You must also include the number of non-social homes in the phase and provide a justification.



Section 8. Measures

Section 8. Measures

In this section, list all measures you will install in this phase only.

Measure Type	Number of Installations	Cost to install per this measure
--None--	5	£3,000
--None--		
Air Source Heat Pump		
Battery Storage Systems		
Biomass		
Cavity Wall Insulation		
Communal Heat Network		
Digital/Smart Controls		
District Heat Network		
Double Glazing		

not in the drop down list?

Previous Next

Select each measure from the drop-down list.

Enter:

- The **number of homes** receiving the measure
- The **cost per installation** (average not total)

Example: you plan to install **five cavity wall insulations** at **£15,000 total**:

- Select **Cavity Wall Insulation** from the drop-down.
- Enter **5** in “**Number of installations**”
- Enter **£3,000** in “**Cost to install measure**”

Section 8.1 Measures

Adding Additional Measures

Measure Type	Number of Installations	Cost to install measure
--None--		
Remove		
+ Add		

To add measures, click the **“Add”** button and repeat the process for each measure you plan to install in this phase.

Do you need to request additional measures not in the drop down list?

☒ Yes
 ☐ No

Custom Measure Name	Number of Installations	Cost to install measure
Low energy lighting		
Remove		
+ Add		

If a measure is not listed in the menu:

- Select **“Yes”** under Additional Measures.
- Enter
 - **“Custom measure name”**
 - **“Number of installations”**
 - **“Cost per installation”**

Phase Request: Resources

- Stage 1: Introduction to Phase Requests
- Stage 2: GR Phase Planning Toolkit Walkthrough
- Stage 4: Monitoring Your Phases
- Phase Request Planning Tool (excel)

Return to the Phase Request page for the next stage

Email: RISE@turntown.co.uk

Website: [Home](#) | [Retrofit Information, Support and Expertise \(riseretrofit.org.uk\)](#)

RISE | Retrofit information,
support & expertise

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