# GMS004.3: Risk & Issue Reporting for Grant Recipients

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This guide provides detailed instructions on how Grant Recipients can efficiently create and edit risk and issue reports in the Grant Recipient Portal

#### 1. Disclaimers

This guide uses screenshots and videos from the DESNZ training environment with demonstration data. The Warm Homes Grant Management System (GMS) is continually evolving, so this reflects the system as of July 2025. For the best experience, have GMS open and pause the video as needed to follow along. This guide uses screenshots and videos from the DESNZ training environment with demonstration data. The Warm Homes Grant Management System (GMS) is continually evolving, so this reflects the system as of July 2025. For the best experience, have GMS open and pause the video as needed to follow along.

#### 2. Contents

This guide covers the following topics: 1. Creating & Submitting risk reports via monthly reporting 2. Editing & Submitting risk reports ad hoc 3. Understanding the risk RAG scoring matrix



#### 3. Risk Reporting for Grant Recipients

Submitting Fraud and Error Reports through Monthly Report.



#### 4. Monthly Reports via home page

Firstly, let's get to the right place. We will access the monthly reports through the home page this time.

Department for Energy Security & Net Zero	Warm Homes Broadland and South Nor	s: Grant Recipie	ent Portal Iousing Association	Walcoms, Saffron Williams Booatland and South Norfelk Councils & Saffron Heusing Association (Grant Recipient Lead)	
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You have 0 open Funding D	Grawdown Requests		in p	imburse the funds they were rid.	
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#### 5. Click "Edit Existing"

Since we'll be shining a spotlight on the risk section of the monthly report only. Let's revise the existing report rather than create one from scratch. Just so you know, training videos on populating monthly reports by funding award type are also available.

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Warm Homes: Grant Recipient Portal Exercit Security A Net Zero	Welcome Settron William Brookinen and South Brooking Association Kousing Association (Grant Becipient Land
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A 67 A team 0 fem sciented Update Reference = Baseline Version = Reporting Period Start Reporting Period End Status =	Saffrom 26 nus 2025 at Williams 14 24

# 6. skip ahead

## skipping ahead to the section on risks!

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Cost of measure	es too high					Saffrom	20 Jun 2023 at
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## 7. skip fraud

You'll then land on the fraud and error reporting section of the monthly report. This is explored in its own separate training video. So, for now, let's report no fraud.

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To ensure accuracy be summary of the fraud	fore submitting ye submission	our monthly repor	t, please select a	a record from the R	at to review a	e:	Typic a mets	age
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							Saffron Williams ok, thank you	26 au 2025 a 14:23
	According dates	well Coaless Privacy	Vertical Silomaa Open Government De	umut =3.0, except where	offerwise state	ed	<b>19</b>	

#### 8. Risks for reporting month

The table on screen shows you a list of all risk and issue reports created in the portal within previous and current month. These reports are automatically associated with the monthly report for that time period.

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#### 9. Create new risk by first reviewing

Select a record to view the high level details expanded below the table. You might have noticed that if you'd like to create a new report or declare no further reports, you need to select an existing record first to display the buttons, this is deliberate.

Norm       Neglet Summary       Neglet Median       Personal Measures       Personal Multication         Address of the Mark of Personal Measures       Personal Measures <t< th=""><th>Departme Energy Se &amp; Net Zer</th><th>ant for ecurity To</th><th>Broa</th><th>Marm Ho</th><th>omes: uth Norfol</th><th>Grant R</th><th>ecip Saffror</th><th>ient Po Housing</th><th>Ortal Association</th><th>-</th><th>Satiron Wil Broacland and S Iold Councils &amp; Sa Heusing Associ Geant Recipient 1</th><th>Harms Sourth effront lation Leard)</th></t<>	Departme Energy Se & Net Zer	ant for ecurity To	Broa	Marm Ho	omes: uth Norfol	Grant R	ecip Saffror	ient Po Housing	Ortal Association	-	Satiron Wil Broacland and S Iold Councils & Sa Heusing Associ Geant Recipient 1	Harms Sourth effront lation Leard)
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## 10. Action buttons hidden

It's to encourage you to take a moment to review what's already been submitted in the month before creating new reports or indicating no risk. This way, you can ensure everything is accounted for and help keep records accurate.

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11. Click on "Create New Risk or Issue"

Click on "Create New Risk or Issue"

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## 12. Risk register details

Fill in key fields such as risk category, start date and status. Fields marked with an asterisk are required to move to the next page.

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- Cause and Effect	Effect I' Required) @	

#### 13. Cause and effect

This example report discusses a weather disruption currently affecting England, which is expected to lead to delays in ongoing work.

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## 14. Likelihood and impact

It is highly probable that this issue will have significant consequences if not addressed promptly.

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## **15. Action and contingency plans**

Outline any proposed actions related to the identified risks, as well as your contingency plans.

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Risk Description (* Required) @	
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## **16. Summary and submit**

You can then review the details you just entered in a read-only format before submitting.

Create Risk SHF3-Broadland and South Norfolk Co	Register Record	Dat
Summary of Fraud and Error Record (Read Only)	e e e e e e e e e e e e e e e e e e e	Type a menoage
The following details are a read-only summary of the toks register re	cond related to this areast.	(11460)
Version of the second sec	appropriate actions to address them effoctively	Saffron 27 Jun 2025 at
Risk Catagory Waather	Risk Reporting Period Start Date	Williams 14.36 All constructors have been checked for working at heights safety performance
Rek Description.   Shorm in England causing delays to work	Risk Statua Risk Open <sup>6</sup> Risk Owner	Saffoon 27 non-2015 st Williams 12.52 Installant says that have will remnlaurae the funda they were
~ Cause and Effect	Delivery Partner	Saffreen 26 Aus 2005 at Wittlame 3-4-24 okay thurset Tatri
Cause @	Effect (0)	Saffron 25 las 2025 at Williams 14-23
Severe storm with high winds and heavy rain makes it wreafe or impossible for initiallers to travel or complete	Scheduled installations are postponed, meating backlogs, missed milestones, contractor downtime, and	ex, there your
- Likelihood and Impact		
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- Action and Contingency Plans		
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Integrate weather forecasts into scheduling systems and plan seasonal workloads accordingly. Prioritise indoor	If storms disrupt scheduled work, immediately reschedule outdoor installations and reassign crews to	1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1

#### 17. Return to monthly report page

A new record has been created - number 30, that's what we will look out for. You can then return back to the starting point: the monthly reporting page.

Your Nils or base case has been created successfully and has been added to the funding award. SHS-Broadand and South Norfak Councils	
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	Saffrom 26 Jun 2025 at Williams 34-23 ok, thank you!
3	

#### 18. Review new risk record

This is what the new record looks like within the monthly report. You'll notice its now been assigned a score of 25, and has a red risk rating. More on this a bit later.

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No Record	Selected				an soler benef						
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## **19. Risk Reporting for Grant Recipients**

Editing & submitting risk reports, ad hoc



20. Ad hoc risks

Navigate to Fraud and Risks, then select Risk Reporting to create risks on an ad hoc basis.

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R 00030				Risk Open							
<b>Risk Category</b>				lisk Description	6						

## 21. Risk Ad Hoc - full list

You are now presented with a detailed list of reports pertaining to risk and issues. Unlike within the monthly report, this list is unfiltered, showcasing all cases that have been created over time.

DEA	kepertment nengy Sec i Net Zero	t for unity	Broadl	and and So	ith Norfolk	Councils &	Saffroi	n Housing	Association	•	North	froatland and South IN Councils & Saffron Housing Association Joint Recipient Lead)
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22. Create new at the top of page

Something to note is that the button to create a risk or issue report is located at the top of the screen, not at the bottom, underneath the table, as it is in the monthly report. Additionally, no record needs to be selected to display it.

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#### 23. Edit a closed risk

Now, let's walk through the process of editing an existing risk using number 27

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This risk pertains to health and safety and is currently marked as closed. We will be making a single modification: updating the Risk Owner from Delivery Partner to Contractor.

Edit Risk and Issues - Risk ID: R-00027		Saffron 27 /un 2005 at Williams 14.30 Al contractum have been checked	
Please when details of any risks or issues related to this exercit. This information will help us monitor poly actions to address them effectively.	ential challenges and lake appropriate	for working at heights sufety satisficates	
Fields marked with an asterisk (*) are required. Please ensure all required fields are completed befor	re submitting the form.		
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- Closure Details			
Reason for Ruk Cicium (* Required)	-		
Not closed as sufficient service measures have been implemented. All installers have received contri- fail ament systems are in place, and standard operating procedures now mandate the use of sca field	ed working at heights training, ng anit safety harninisas for all		
~ Description		1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 - 1 -	
Risk Description (* Required)			

#### 25. Review before and after page

After selecting next you'll see a summary page that shows you the values before and after edit.

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26. See "Risk Owner (After Edit)"

## Here is the change

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Edit Risk Register Summary of Bilted Risk Register Record (Read Only) The following details are a need only summary of the risk register record This information will help us menter potential challinges and save a	Record ID: R-00027	Saffeen 22 Lun 2026 at Williams 14-36 Al constructors have been shacked for moniting an implify wilding entitication	
- Risk Register Details (Before and after edit)			
Risk Reporting Period Start Date (Before Edit) 20 Jun 2025	20 Jun 2025	Risk Owner (A	fter Edi
Risk Stelan (Before Edit) Closed	Rak Status (After Ealk) Dissed		
Risk Owner (Before Edit) Delivery Partner	Risk Owner (After Edit) Contractor		
Risk Caregory (Betwe Edit) Health & Safety	Risk Category (After Edit) Health & Safety		
Bisk Description (Beters toll) Wesking at heights can much in risk of fails during roof Insulation or solar panel installation	Nak Description (After Edit) @ Working at heights can result in risk of fails during root insulation or solar panel installation		
- Cause and Effect (Before and after edit)			
Cause (Before Edit) Lock of proper safety equipment or training for working of heights (e.g., no hernesses, no scaffolding, untrained	Cause (After Edit) @ Lack of proper safety equipment or training for working at heights (e.g., no harmouses, no scattlotting, untrained		
Effect (Before Esit) Installer suffers a foll, leading to serious injury, project delays, regulation; investigation, and reputational damage	Effect (After Edit) @ Installer suffers a fail, leading to serious injury, project debys, regulatory investigation, and reputational camage		
- Likelihood and Impact (Before and after edit)		(1-2)=(0,1)	

## 27. review edited risk

Once you declare no further reports to raise, here is the edited record in the main risk list.

Department for Energy Security & Net Zero	Warm Homes: Grant Recipient Porta Broadland and South Norfolk Councils & Saffron Housing Associ	El Setion Willems Broadlard and South Natifiel Councils & South Natifiel Councils & South Housing Association (Crast Recipient Laad)
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#### 28. record 27

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## 29. Risk Reporting for Grant Recipients

Understanding the risk RAG scoring matrix



#### **30. Risk RAG Scoring Matrix**

The scores assigned to each risk record are automatically calculated in the background using the information displayed in the matrix. This process generates both a RAG (Red, Amber, Light Green and Dark Green) colour

indicator and a corresponding score. The calculation relies on two key fields: likelihood and impact.



This guide covered the following topics: Creating & submitting risk reports via monthly reporting Editing & submitting risk reports ad hoc Understanding the risk RAG matrix. Thank you for watching!

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