

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.

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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



Department for
Energy Security
& Net Zero

Contents

- Creating & submitting risk reports via monthly reporting
- Editing & submitting risk reports ad hoc
- Understanding the risk RAG scoring matrix

3. Risk Reporting for Grant Recipients

Submitting Fraud and Error Reports through Monthly Report.



Department for
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Creating & submitting risk reports via monthly reporting

4. Monthly Reports via home page

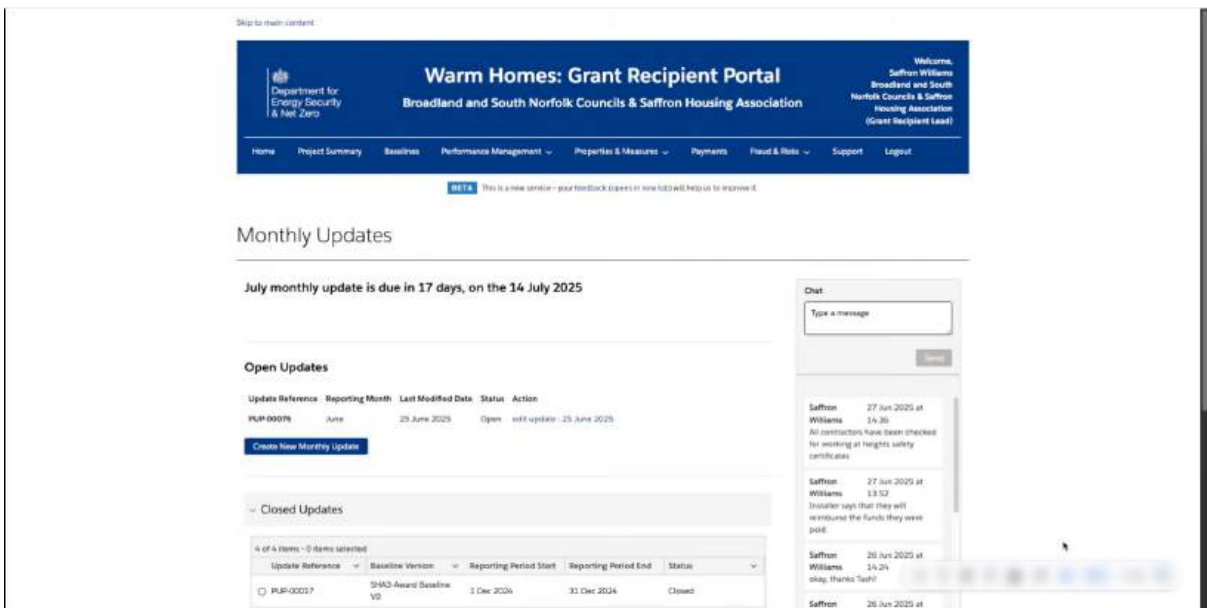
Firstly, let's get to the right place. We will access the monthly reports through the home page this time.

The screenshot shows the 'Warm Homes: Grant Recipient Portal' for Broadland and South Norfolk Councils & Saffron Housing Association. The user is logged in as Saffron Williams. The page displays a notification that the next monthly meeting has not been set and that there is 1 open monthly update. A red arrow points to the 'Go to Monthly Update' link. The page also includes sections for Key Data and Latest Performance Assessment.

5. Click "Edit Existing"

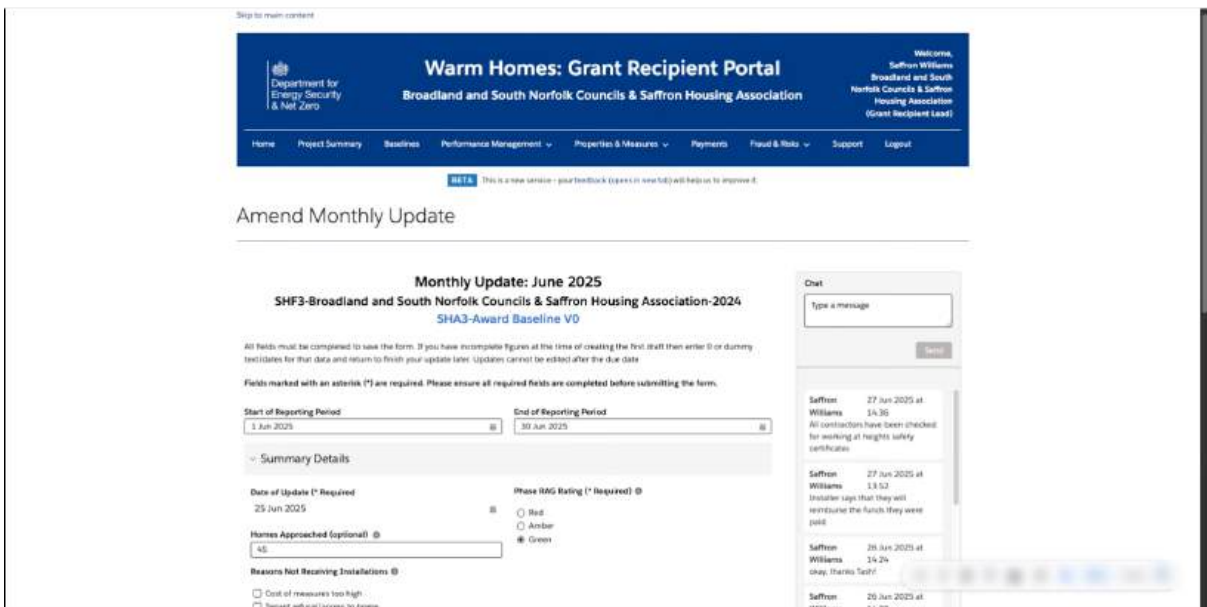
Since we'll be shining a spotlight on the risk section of the monthly report only. Let's revise the existing report rather than create one from scratch. Just

so you know, training videos on populating monthly reports by funding award type are also available.



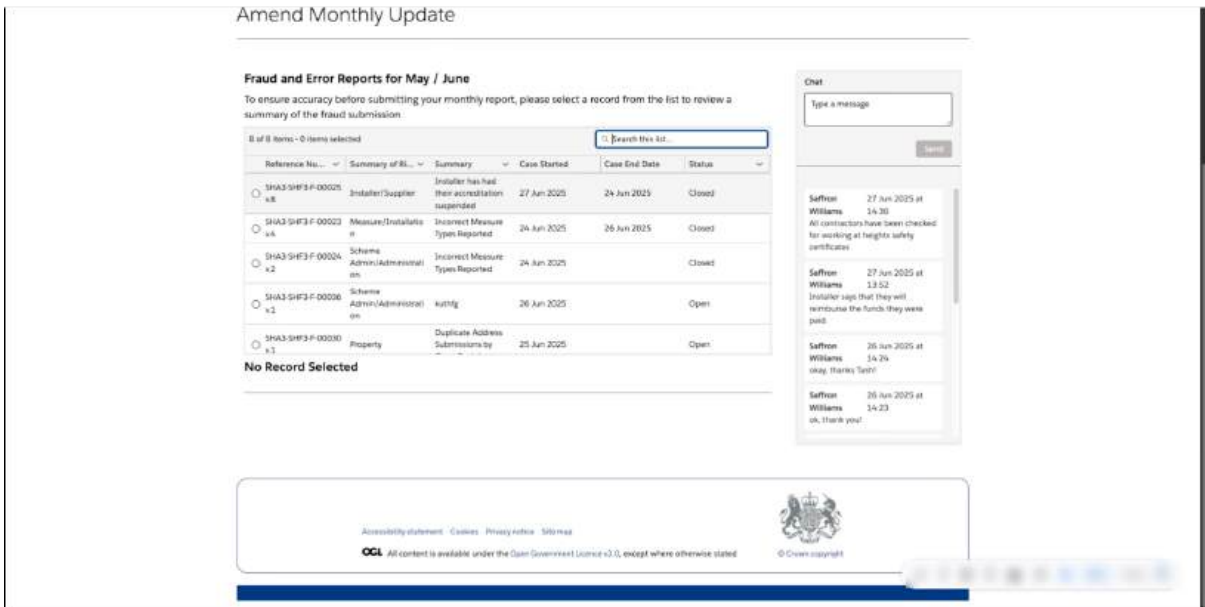
6. skip ahead

skipping ahead to the section on risks!



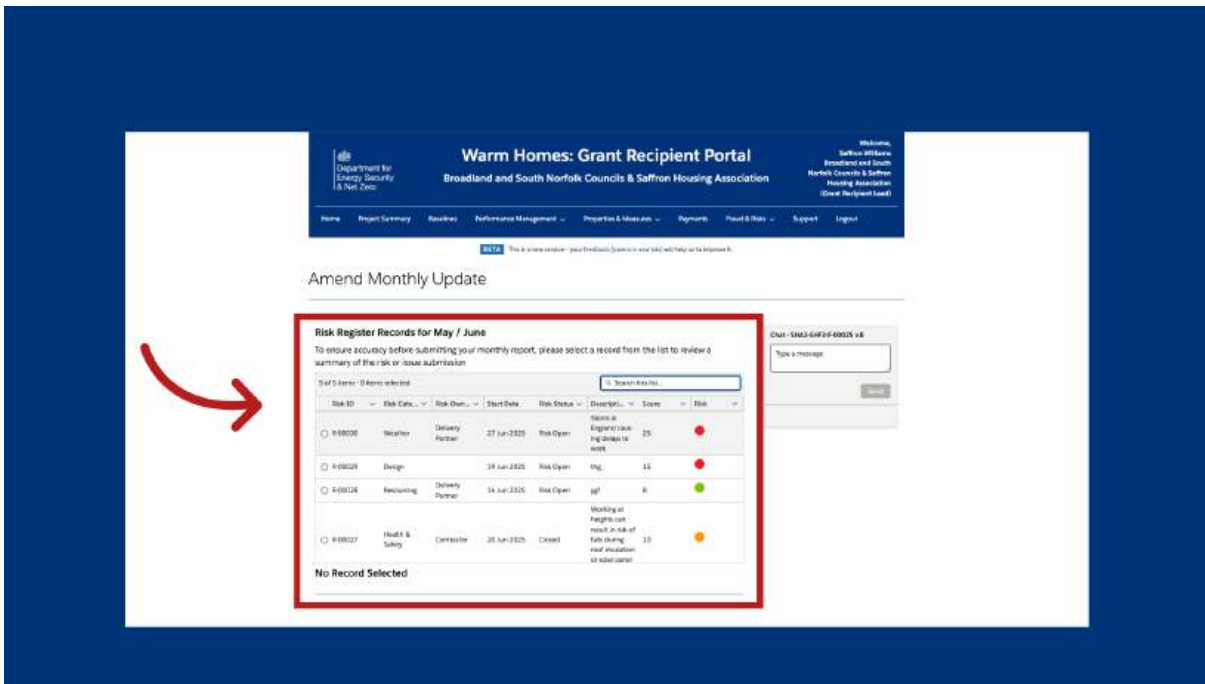
7. skip fraud

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.



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.



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.

The screenshot displays the 'Warm Homes: Grant Recipient Portal' for Broadland and South Norfolk Councils & Saffron Housing Association. The page title is 'Amend Monthly Update'. Below this, the 'Risk Register Records for May / June' section is visible. It includes a search bar and a table of records. The table has columns for 'Record ID', 'Category', 'Status', 'Due Date', 'Risk Level', and 'Details'. Three records are listed: R-00028 (Resourcing, Partner, 16 Jun 2025, Risk Open, 10, Working at heights can result in risk of falls during roof insulation on solar panel installation), R-00027 (Health & Safety, Delivery Partner, 20 Jun 2025, Closed, 10, Several properties are at risk due to contractor issues with Health and Safety), and R-00001 (Tenant, Contractor, 2 Jun 2025, Risk Open, 0, Several properties are at risk due to contractor issues with Health and Safety). A 'No Record Selected' message is shown at the bottom of the table. A chat window is visible on the right side of the page.

Record ID	Category	Status	Due Date	Risk Level	Details
R-00028	Resourcing	Partner	16 Jun 2025	Risk Open	10 Working at heights can result in risk of falls during roof insulation on solar panel installation
R-00027	Health & Safety	Delivery Partner	20 Jun 2025	Closed	10 Several properties are at risk due to contractor issues with Health and Safety
R-00001	Tenant	Contractor	2 Jun 2025	Risk Open	0 Several properties are at risk due to contractor issues with Health and Safety

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.

Risks

Risk ID	Category	Start Date	Status	Priority	Score	Comments
0-08025	Design	18 Jun 2023	Risk Open	High	11	
0-08026	Resource	14 Jun 2023	Risk Open	High	8	
0-08027	Health & Safety	20 Jun 2023	Closed	Low	10	Working at heights can result in risk of falls during roof installation or solar panel installation.

Risk Register Highlight

Risk ID: 0-08027
Status: Closed
Risk Category: Health & Safety
Risk Description: Working at heights can result in risk of falls during roof installation or solar panel installation.
Cause: Lack of proper safety equipment or training for working at heights (e.g., no harnesses, no scaffolding, untrained installers).
Effect: Installer or fitter's fall, leading to serious injury, project delays, regulatory investigation, and reputational damage.

Should you like to create any new Risk Register records for this report?

[Create New Risk or Issue](#) [No Further Reports](#)

11. Click on "Create New Risk or Issue"

Click on "Create New Risk or Issue"

Risks

Risk ID	Category	Start Date	Status	Priority	Score	Comments
0-08025	Design	18 Jun 2023	Risk Open	High	11	
0-08026	Resource	14 Jun 2023	Risk Open	High	8	
0-08027	Health & Safety	20 Jun 2023	Closed	Low	10	Working at heights can result in risk of falls during roof installation or solar panel installation.

Risk Register Highlight

Risk ID: 0-08027
Status: Closed
Risk Category: Health & Safety
Risk Description: Working at heights can result in risk of falls during roof installation or solar panel installation.
Cause: Lack of proper safety equipment or training for working at heights (e.g., no harnesses, no scaffolding, untrained installers).
Effect: Installer or fitter's fall, leading to serious injury, project delays, regulatory investigation, and reputational damage.

Should you like to create any new Risk Register records for this report?

[Create New Risk or Issue](#) [No Further Reports](#)

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.

Create Risks and Issues Record
SHF3-Broadland and South Norfolk Councils & Saffron Housing Association-2024

Please enter details of any risks or issues related to this award. This information will help us monitor potential challenges and take appropriate actions to address them effectively.

Fields marked with an asterisk (*) are required. Please ensure all required fields are completed before submitting the form.

~ Risk Register Details

Risk Category (* Required) @

- ☐ Access Issues
- ☐ Asbestos
- ☐ Consumer
- ☐ Cost Inflation
- ☐ Covid-19
- ☐ Design
- ☐ Fraud
- ☐ GDPR
- ☐ Health & Safety
- ☐ Other
- ☐ Planning
- ☐ Procurement
- ☐ Quality
- ☐ Resourcing
- ☐ Scope Changes
- ☐ Supply Chain
- ☐ Tenant
- ☐ Timescales
- ☐ Unexpected
- ☐ Weather

Risk Reporting Period Start Date (* Required)

27 Jun 2025

Risk Status (* Required)

☒ Risk Open

☐ Closed

Risk Owner (* Required)

☐ Lead Project Manager

☐ Contractor

☐ Delivery Partner

~ Description

Risk Description (* Required) @

~ Cause and Effect

Cause (* Required) @

Effect (* Required) @

Chat

Type a message

Send

Saffron 27 Jun 2025 at Williams 14:26

All contractors have been checked for working at heights safety certificates

Saffron 27 Jun 2025 at Williams 13:52

Installer says that they will reimburse the funds they were paid.

Saffron 26 Jun 2025 at Williams 14:24

okay, thanks Saff

Saffron 26 Jun 2025 at Williams 14:23

ok, thank you!

13. Cause and effect

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

~ Risk Register Details

Risk Category (* Required) @

- ☐ Access Issues
- ☐ Asbestos
- ☐ Consumer
- ☐ Cost Inflation
- ☐ Covid-19
- ☐ Design
- ☐ Fraud
- ☐ GDPR
- ☐ Health & Safety
- ☐ Other
- ☐ Planning
- ☐ Procurement
- ☐ Quality
- ☐ Resourcing
- ☐ Scope Changes
- ☐ Supply Chain
- ☐ Tenant
- ☐ Timescales
- ☐ Unexpected
- ☒ Weather

Risk Reporting Period Start Date (* Required)

27 Jun 2025

Risk Status (* Required)

☒ Risk Open

☐ Closed

Risk Owner (* Required)

☐ Lead Project Manager

☐ Contractor

☒ Delivery Partner

~ Description

Risk Description (* Required) @

~ Cause and Effect

Cause (* Required) @

Effect (* Required) @

~ Likelihood and Impact

Likelihood (* Required) @

Impact (* Required) @

Chat

Type a message

Send

Saffron 27 Jun 2025 at Williams 14:26

All contractors have been checked for working at heights safety certificates

Saffron 27 Jun 2025 at Williams 13:52

Installer says that they will reimburse the funds they were paid.

Saffron 26 Jun 2025 at Williams 14:24

okay, thanks Saff

Saffron 26 Jun 2025 at Williams 14:23

ok, thank you!

14. Likelihood and impact

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

☐ Resourcing
☐ Scope Changes
☐ Supply Chain
☐ Tenant
☐ Timescales
☐ Uninspected
☒ Weather

Williams 14/23
ok, thank you!

~ Description

Risk Description (* Required) @
 Storm in England causing delays to work

~ Cause and Effect

Cause (* Required) @
 Severe storm with high winds and heavy rain makes it unsafe or impossible for installers to travel or complete outdoor works (e.g., wall insulation, roof solar panels, scaffolding)

Effect (* Required) @
 Potential installation, contractor downtime, and potential breaches of funding timelines or service level agreements (SLAs)

~ Likelihood and Impact

Likelihood (* Required) @

☐ Very Unlikely
☐ Unlikely
☐ Possible
☐ Likely
☐ Very Likely
☒ Certain

Impact (* Required) @

☐ Very High
☐ High
☐ Medium
☐ Low
☐ Very Low

~ Action and Contingency Plans

Planned Actions (* Required) @

Contingency Plans (* Required) @

Previous Next

15. Action and contingency plans

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

☐ Resourcing
☐ Scope Changes
☐ Supply Chain
☐ Tenant
☐ Timescales
☐ Uninspected
☒ Weather

Williams 14/23
ok, thank you!

~ Description

Risk Description (* Required) @
 Storm in England causing delays to work

~ Cause and Effect

Cause (* Required) @
 Severe storm with high winds and heavy rain makes it unsafe or impossible for installers to travel or complete outdoor works (e.g., wall insulation, roof solar panels, scaffolding)

Effect (* Required) @
 Potential installation, contractor downtime, and potential breaches of funding timelines or service level agreements (SLAs)

~ Likelihood and Impact

Likelihood (* Required) @

☐ Very Unlikely
☐ Unlikely
☐ Possible
☐ Likely
☒ Very Likely
☐ Certain

Impact (* Required) @

☒ Very High
☐ High
☐ Medium
☐ Low
☐ Very Low

~ Action and Contingency Plans

Planned Actions (* Required) @
 Integrate weather forecasts into scheduling systems and plan seasonal workloads accordingly (prioritize indoor)

Contingency Plans (* Required) @

Previous Next

16. Summary and submit

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

Create Risk Register Record

SHF3-Broadland and South Norfolk Councils & Saffron Housing Association-2024

Summary of Fraud and Error Record (Read Only)

The following details are a read only summary of the risk register record related to this award.

This information will help us monitor potential challenges and take appropriate actions to address them effectively.

~ Risk Register Details

Risk Category

Weather

Risk Reporting Period Start Date

27 Jun 2025

Risk Description @

Storm in England causing delays to work

Risk Status

Risk Open

Risk Owner

Delivery Partner

~ Cause and Effect

Cause @

Severe storm with high winds and heavy rain makes it unsafe or impossible for installers to travel or complete

Effect @

Scheduled installations are postponed, creating backlog, missed milestones, contractor downtime, and

~ Likelihood and Impact

Likelihood

Very Likely

Impact

Very High

~ Action and Contingency Plans

Planned Actions @

Integrate weather forecasts into scheduling systems and plan seasonal workloads accordingly. Prioritise indoor

Contingency Plans @

If storms disrupt scheduled work, immediately reschedule outdoor installations and reassign crews to

Chat

Type a message

Send

Saffron 27 Jun 2025 at Williams 14:26

All contractors have been checked for working at heights safety certificates

Saffron 27 Jun 2025 at Williams 13:52

Installer says that they will reimburse the funds they were paid.

Saffron 26 Jun 2025 at Williams 14:24

okay, thanks Saff

Saffron 26 Jun 2025 at Williams 14:23

ok, thank you!

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.

Amend Monthly Update

Risk Register ID: R-00030

Your Risk or Issue case has been created successfully and has been added to the funding award: SHF3-Broadland and South Norfolk Councils & Saffron Housing Association-2024.

Would you like to create any new Risk Register records for this month?

Create New Risk or Issue

No Further Reports

Chat

Type a message

Send

Saffron 27 Jun 2025 at Williams 14:26

All contractors have been checked for working at heights safety certificates

Saffron 27 Jun 2025 at Williams 13:52

Installer says that they will reimburse the funds they were paid.


Saffron 26 Jun 2025 at Williams 14:24

okay, thanks Saff

Saffron 26 Jun 2025 at Williams 14:23

ok, thank you!

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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.

Amend Monthly Update

Risk Register Records for May / June

To ensure accuracy before submitting your monthly report, please select a record from the list to review a summary of the risk or issue submission

5 of 5 items - 0 items selected

Risk ID	Risk Category	Risk Owner	Start Date	Risk Status	Description	Score	Risk
8-00030	Weather	Delivery Partner	27 Jun 2025	Risk Open	Storms in England causing delays to work	25	●
8-00029	Design		27 Jun 2025	Risk Open	Fig	15	●
8-00028	Resourcing	Delivery Partner	16 Jun 2025	Risk Open	ygf	8	●
8-00027	Health & Safety	Delivery Partner	20 Jun 2025	Closed	Working at heights can result in risk of falls during roof insulation at solar panel	10	●

No Record Selected

Chat - SHA3-SHF3-F-00025 x18

Type a message

Send

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19. Risk Reporting for Grant Recipients

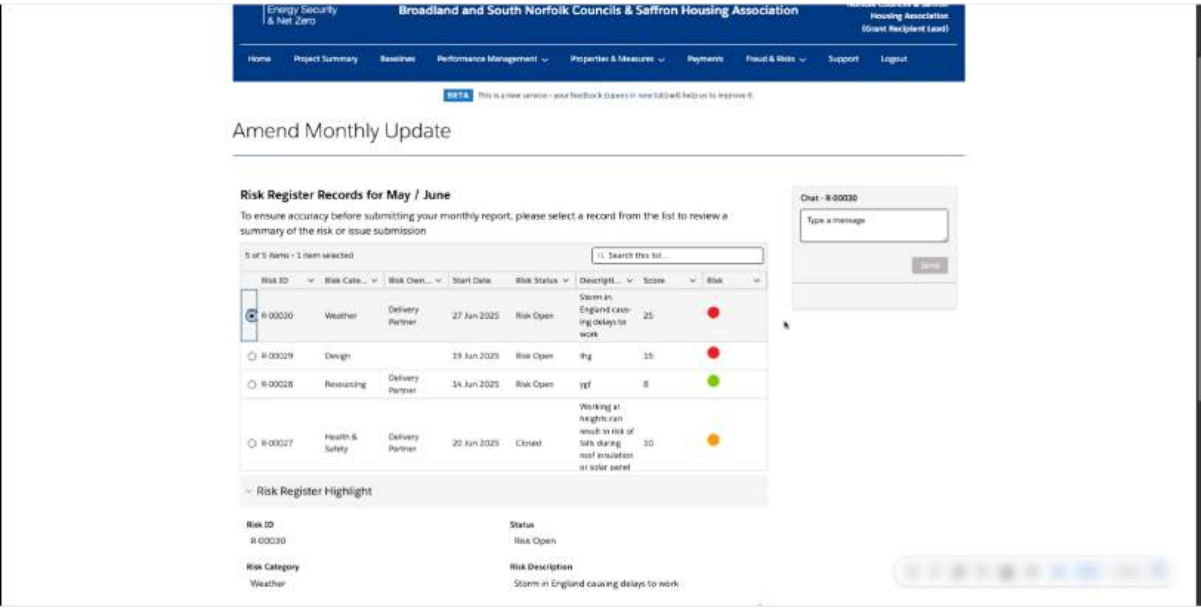
Editing & submitting risk reports, ad hoc

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Energy Security
& Net Zero

Editing & submitting risk reports ad hoc

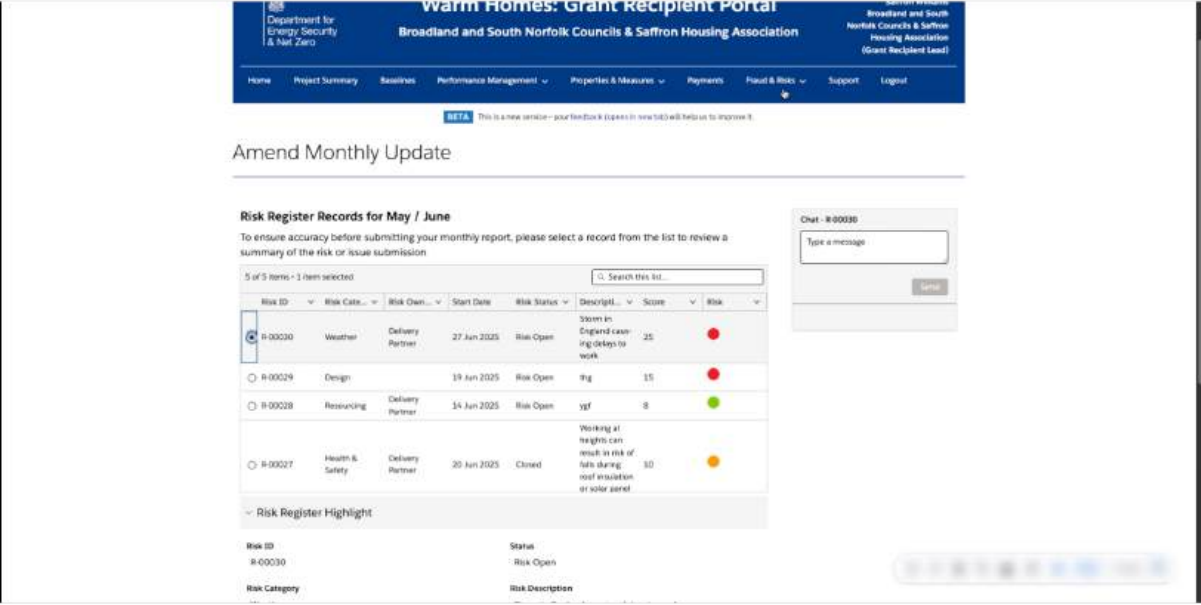
20. Ad hoc risks

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



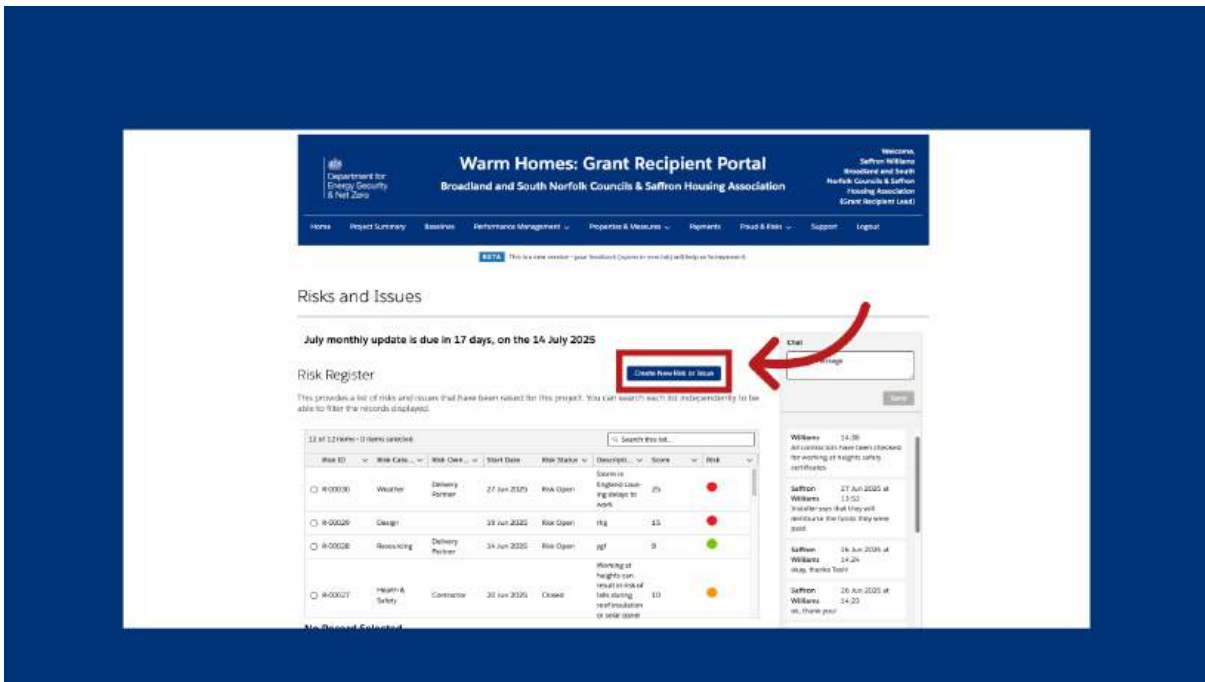
21. Risk Ad Hoc - full list

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.



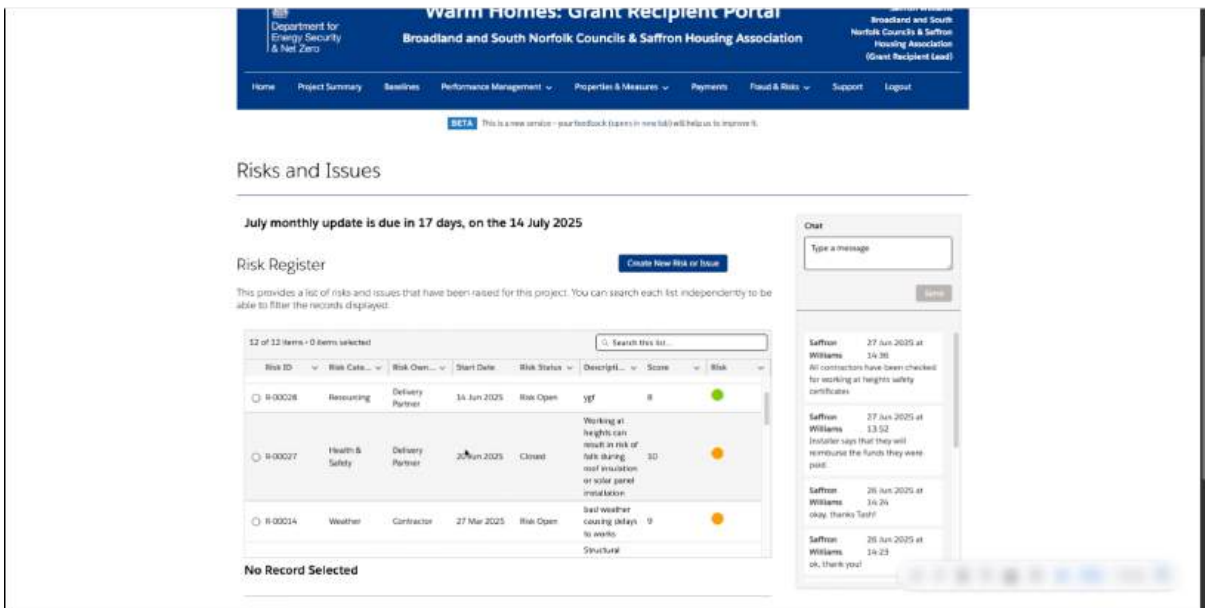
22. Create new at the top of page

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.



23. Edit a closed risk

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



24. Edit risk

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

Please enter details of any risks or issues related to this award. This information will help us monitor potential challenges and take appropriate actions to address them effectively.

Fields marked with an asterisk (*) are required. Please ensure all required fields are completed before submitting the form.

- Risk Register Details

Risk Category (*) Required @ <input type="radio"/> Access Issues <input type="radio"/> Asbestos <input type="radio"/> Commercial <input type="radio"/> Cost Inflation <input type="radio"/> Covid-19 <input type="radio"/> Design <input type="radio"/> Fraud <input type="radio"/> GDPR <input checked="" type="radio"/> Health & Safety <input type="radio"/> Other <input type="radio"/> Planning <input type="radio"/> Procurement <input type="radio"/> Quality <input type="radio"/> Resourcing <input type="radio"/> Scope Changes <input type="radio"/> Supply Chain <input type="radio"/> Tenant <input type="radio"/> Timescales <input type="radio"/> Uninspected <input type="radio"/> Weather	Risk Reporting Period Start Date (*) Required <input type="text" value="20 Jun 2025"/>
	Risk Status (*) Required <input type="radio"/> Back Open <input checked="" type="radio"/> Closed Risk Owner (*) Required <input type="radio"/> Lead Project Manager <input type="radio"/> Contractor <input checked="" type="radio"/> Delivery Partner

- Closure Details

Reason for Risk Closure (*) Required


Risk closed as sufficient control measures have been implemented. All installers have received certified working at heights training, fall arrest systems are in place, and standard operating procedures now mandate the use of safe working and safety harnesses for all

- Description

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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Warm Homes: Grant Recipient Portal

Broadland and South Norfolk Councils & Saffron Housing Association

Welcome,
Saffron Williams
Broadland and South
Norfolk Councils & Saffron
Housing Association
(Grant Recipient Lead)

[Home](#)
[Project Summary](#)
[Baselines](#)
[Performance Management](#)
[Properties & Measures](#)
[Payments](#)
[Fraud & Risks](#)
[Support](#)
[Logout](#)

BETA This is a new service – your feedback (opens in new tab) will help us to improve it.

Risks and Issues

July monthly update is due in 17 days, on the 14 July 2025

Risk Register

This provides a list of risks and issues that have been raised for this project. You can search each list independently to be able to filter the records displayed.

[Create New Risk or Issue](#)

Chat - 8-00027

Type a message


Send


Saffron 27 Jun 2025 at 14:26

Williams 14:26

All contractors have been checked for existing at heights safety certificates

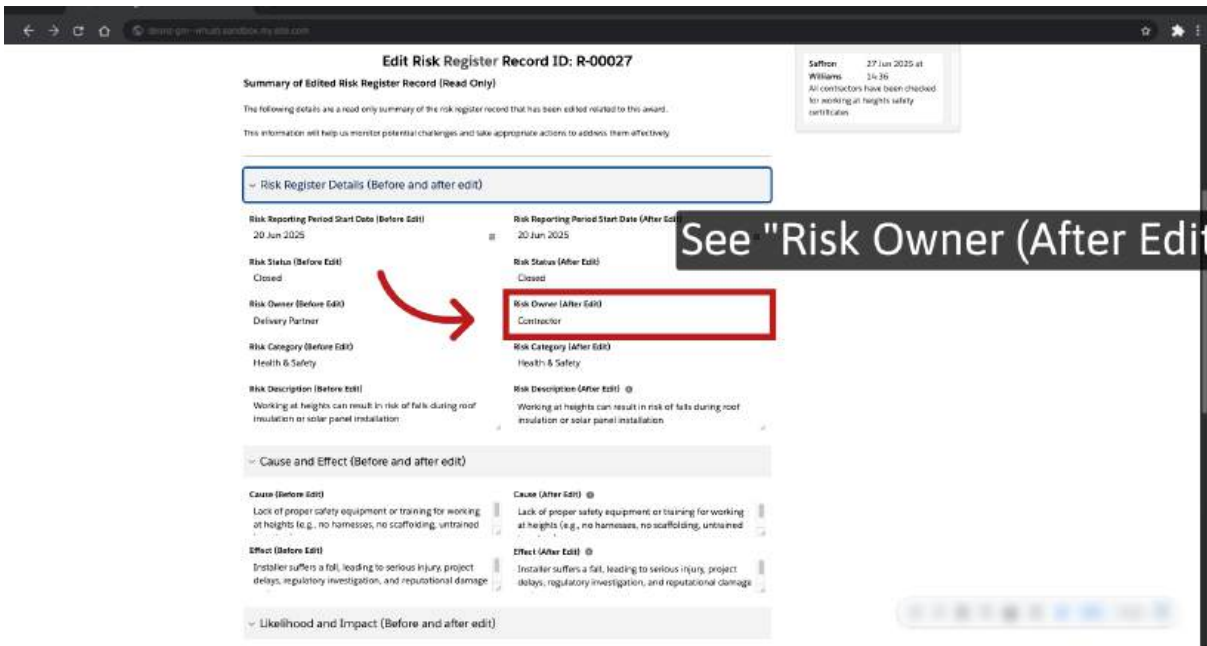
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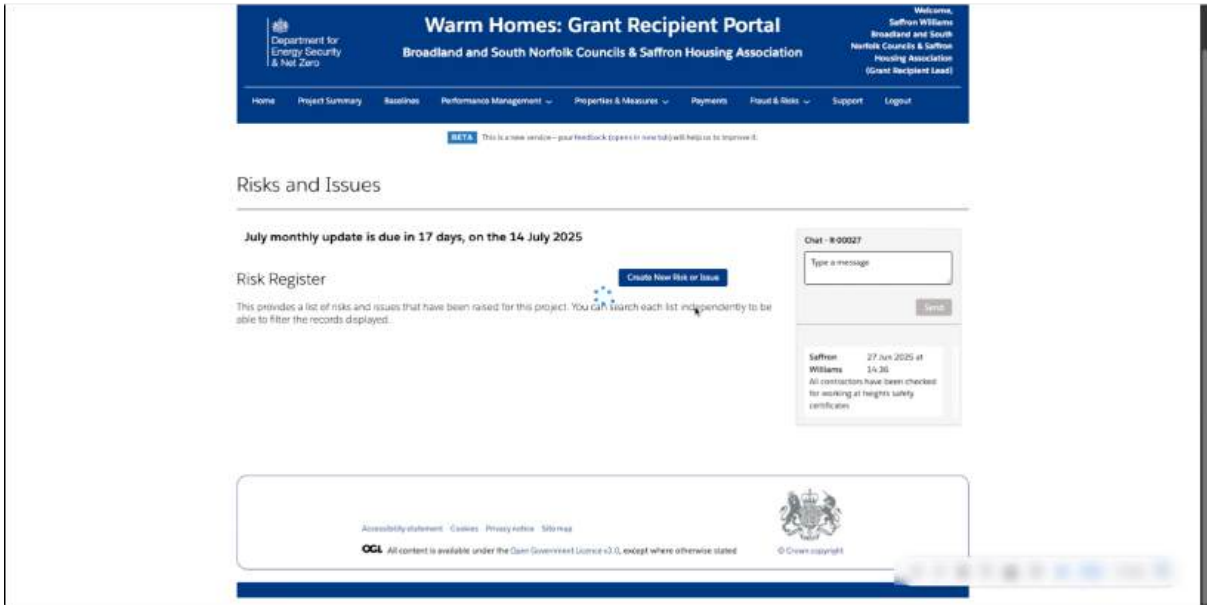
26. See "Risk Owner (After Edit)"

Here is the change



27. review edited risk

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



28. record 27

Record 27.

Risks and Issues

July monthly update is due in 17 days, on the 14 July 2025

Risk Register [Create New Risk or Issue](#)

This provides a list of risks and issues that have been raised for this project. You can search each list independently to be able to filter the records displayed.

12 of 12 items - 1 item selected

Risk ID	Risk Category	Risk Owner	Start Date	Risk Status	Description	Score	Risk
R-00030	Weather	Delivery Partner	27 Jun 2025	Risk Open	Storm in England causing delays to work	25	Red
R-00029	Design		19 Jun 2025	Risk Open	Big	15	Red
R-00028	Procurement	Delivery Partner	16 Jun 2025	Risk Open	sgf	8	Green
R-00027	Health & Safety	Contractor	20 Jun 2025	Closed	Working at heights can result in risk of falls during roof insulation or solar panel installation	10	Amber

Risk Register Highlight

Risk ID
R-00027

Status
Closed

Risk Category
Health & Safety

Risk Description
Working at heights can result in risk of falls during roof insulation or solar panel installation

Cause
Lack of proper safety equipment or training for working at heights (e.g., no harnesses, no scaffolding, untrained)

Effect
Installer suffers a fall, leading to serious injury, project

Chat - R-00027

Type a message

Send

Selfron 27 Jun 2025 at 16:36
All contractors have been checked for working at heights safety certificates.

29. Risk Reporting for Grant Recipients

Understanding the risk RAG scoring matrix


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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.

Risk RAG Scoring Matrix

IMPACT LEVEL	PROBABILITY (that the risk will occur during the lifetime of the activity)				
	<10%	10-35%	35-65%	65-90%	90>%
	Very Unlikely 1	Unlikely 2	Possible 3	Likely 4	Very Likely 5
Very High 5	5	10	15	20	25
High 4	4	8	12	16	20
Medium 3	3	6	9	12	15
Low 2	2	4	6	8	10
Very Low 1	1	2	3	4	5

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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