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

Click here to watch



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.

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Key Data				Latest Performance	

#### 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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# 6. skip ahead

## skipping ahead to the section on risks!

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Cost of measures too high						

## 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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#### 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.

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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.

SHF3-Broadland and South I Nease enter details of any roles or insues related to t actions to address them effectively.	te Risks and Issues Record Norfolk Councils & Saffron Housing Association-2024 to avert. This information will help us monitor potential shallenges and take appropriate assernance all required fields are completed before submitting the form.	Deat Type a message
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- Description Bisk Description (* Required) @		
- 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.

63 	~ Risk Register Details		
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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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<ul> <li>weather</li> <li>Description</li> </ul>		
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Starts in England causing skills to work		
~ Cause and Effect		
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- Action and Contingency Plans		
Planned Actions (* Required) @	Contingency Plans (* Required) @	

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

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

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~ Description	
Risk Description (* Required) @	
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Previous Vent	(1) (2) (2) (2) (2) (2) (2) (2) (2) (2) (2

## **16. Summary and submit**

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

	k Register Record Councils & Saffron Housing Association-2024	Diel
Summary of Fraud and Error Record (Read Only)	councils a samon Housing Association-2024	Type a message
The following details are a read only summary of the risks registe	record related to this award.	
This information will help us monitor potential challenges and ta	in appropriate actions to address them effortively	
- Risk Register Details		Saffron 27 non 2025 at Williams 3A 20
Risk Catagory	Risk Reporting Period Start Date	All contractions have been checked for exciting at heights white
Weather	27 Jun 2025	e certificates
Risk Description. @	Risk Status	Sattron 27 non 2025 at
Storm in England causing delays to work	Risk Open	Williams 1333 Installer says that they will
	* Risk Owner	mimburse the funds they were pure
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~ Cause and Effect		Withams 14-24 okay, thunks Tactri
- cause and check		Saffree 26 Jun 2029 at
Cause @	Effect @	Williams 14/23
Severe storm with high winds and heavy rain makes it unsafe or impossible for installers to travel or complete	Scheduled installations are postponed, meating backlogs, missed milestones, contractor downtime, and	CB, thank you?
~ Likelihood and Impact		
Likelihood	Impact	
Wany Likely	Using High	
~ Action and Contingency Plans		
Panned Actions @	Contingency Plans @	
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

#### 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.

	Chat
Your Nill or boue case has been consist successfully and has been added to the funding award. SFS-Ortaudatol and South Norfak Councils & Saffers Hausting Awardation-2524	Type a message
Would you like to create any new Risk Register records for this month? Create New Risk or Source New Risk or Source Report Report	E223
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	Seffree: 27 Jun 2025 st Williams 13 52 Installer sajs (Just they will reinfouria the funch they were public
	Saffron 26 nun 2025 at Williams 14 24 onay, Markov Tastel
	Saffron 26 Jun 2025 at Williams 24 23 ok, thank you!
	8.45 L
Accessibility statement Cannes, Pressy John Million	80.2

#### 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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○ # 00028	Resourcing	Delivery Partner	14 Jun 2025	Risk Open	YEF	8	•				
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No Record	Selected				an solar benef						

## **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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~ Risk Regi	ster Highlight										
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R 00030				Risk Open							
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## 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.

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e + 00	0030	Weather	Delivery Partner	27 Jun 2025	Risk Open	England cause ing delays to work	25	•				
O 9-00	0029	Design		19.5en 2025	Rox Open	44	15	٠				
O #40	0028	Resourcing	Delivery Partner	14 Jun 2025	Itias Open	int.	8	٠				
O #90	9627	Health & Safety	Delivery Partner	20 Auri 2025	Closed	Working at heights can result in risk of fulls sharing roof insulation or solar penel	80	٠				
~ Risk	Registe	r Highlight										
Risk (D) 8-000					Status Rijk Open							

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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Siviliani No Record Selected	Williams 14-23 ok, thurst you!

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 savisficates	
Fields marked with an asterisk (*) are required. Please ensure all required fields are completed befor	re submitting the form.		
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Tion closed as sufficient service measures have been implemented, Al installers have received confit fail amost systems are in place, and standard operating procedures now mandate the use of sca field			
~ 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.

Department for Energy Security & Net Zero	Warm Homes: Grant Recipient Porta Broadland and South Norfolk Councils & Saffron Housing Associ	
Home Project Summary 1		l&Sink ← Support Logout
Risks and Issues	This is a new weaker you feedback types of new tabject legans to types of	
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26. See "Risk Owner (After Edit)"

## Here is the change

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Edit Risk Register Summary of Edited Risk Register Record (Read Only) The following details are a read only summary of the risk register record This information with help us monitor potential challings and saw ap-		Sufferer 37 Jun 2025 at Williams 34 p 8 Al controctors have been shadowd for anoning a height safety write:dam	
- Risk Register Details (Before and after edit)			
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Risk Status (Before Edit) Occurd	Bak Status (After Edil) Circuid		
Bisk Owner (Before Edit) Delivery Partner	Risk Owner (After Edit) Contractor		
Risk Category (Before Edit) Health & Safety	Risk Category (After Edit) Health & Safety		
Biok Description (Betone 1981) Working at heights can meuit in trick of fails during roof imulation or solar panel installation	Risk 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 at heights (e.g., no harnesses, no scaffolding, untrained	Cause (After Edit) @ Lack of proper safety equipment or bisining for working at heights (e.g., no harneaus, no scattlotting, untuined		
Effect (Before Edit) Installer suffers a foll, leading to serious injury, project delays, regulatory investigation, and reputational damage	Effect (After Edit) 0 Installer suffers a fall, leading to serious injury, project debys, rogulatory 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 Portal Broadland and South Norfolk Councils & Saffron Housing Associa	and the second se
Home Project Summary	Bassinas Performance Management - Propertias & Measures - Payments Plaud &	kilisis → Support Logout
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#### 28. record 27

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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