RISE | Retrofit information, support & expertise

Getting it Right: Understanding Reporting Requirements

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Introduction

This toolkit has been developed to support Grant Recipients in understanding and meeting the reporting requirements of the Warm Homes schemes. It brings together key guidance, processes, and practical advice to help ensure reporting is accurate, consistent, and aligned with programme expectations.

By using this toolkit, Grant Recipients can develop a structured and proactive approach to reporting, ensuring submissions are clear, well-evidenced, and submitted on time, ultimately supporting smooth delivery and reducing the risk of delays or escalation.

Readers that would like this document in a more accessible format should contact **rise@turntown.co.uk**.

Performance monitoring and engagement

Review performance ratings, open actions and monthly meetings

Grant Recipients (GRs) should expect a structured and consistent approach to performance monitoring and engagement throughout the lifecycle of the scheme. **Monthly performance reviews play a central role in this process**, assessing delivery against agreed metrics and milestones. These reviews are important because they:

- Provide a clear, evidence-based picture of progress.
- Help both the GR and the programme identify whether delivery is on track.
- Where improvements are needed.
- How performance compares across the wider scheme.

Without accurate and regular review, risks to delivery and funding outcomes may go unnoticed until they become more serious. Alongside this, all open actions are actively tracked and monitored to ensure they are resolved in a timely manner. This is **critical for maintaining momentum in delivery and preventing smaller issues from escalating** into more significant risks.

A full step-by-step guide to how to review performance ratings, open actions and monthly meetings can be found following this **link**.

Fraud, error and non-compliance (FENC) reporting

Fraud, Error and Non-Compliance (FENC) are issues that may affect the delivery of a project and impact on our ability to achieve objectives.

- **Fraud** is an act of deception carried out for **personal gain or to cause a loss** to another party.
- **Error** is the **unintentional misallocation** or insufficient allocation of public funds, which can occur in the same context as fraud but without the same intent.
- **Non-compliance** is a **failure to act** in accordance with the rules, obligations, or requirements set out in a contract, law, regulation, or internal policy. It can be intentional or unintentional.

FENC activities are overseen by a dedicated FENC team within Turner & Townsend and delivered by fraud experts, Deloitte. All our assurance activities use a mixture of random and risk-based sampling to select GRs for checks.

The risk-based sample uses a matrix which brings together intelligence from the FENC work packages, including FRA/FMP assessments, and reports on data from the GMS, to produce a risk assessment for each GR.

GRs are expected to respond to requests for information (RFIs), providing the information is requested in a timely manner. They will usually have 10 working days to comply with an RFI.

A more detailed guide on FENC for GRs can be found **here**.

Reporting risks and issues

Effective risk and issue reporting is a critical part of delivery. It ensures that potential problems are identified early, actively managed and transparently communicated. Strong reporting provides a clear audit trail, demonstrating that risks and issues are being handled appropriately and in line with scheme requirements.

A key principle to understand is the difference between a risk and an issue, which lies in both timing and likelihood.

- **A risk** is a **potential problem** that may occur in the future.
- **An issue** is a **problem that is already happening** and impacting delivery.

Effective risk management focuses on proactively assessing, monitoring and mitigating potential problems before they materialise. In contrast, issue management is reactive and focuses on identifying, analysing and resolving current problems to keep delivery on track.

Importantly, a risk can transition to an issue when it occurs and begins to negatively impact the project, requiring immediate attention. Within the GMS, risks are categorised as opportunities, threats or issues. If a GR selects 'issue', the system does not require input of likelihood and impact scores, as the impact is already occurring. In contrast, threats and opportunities require likelihood and impact to be assessed, which are then used to determine the overall RAG rating.

Risk reporting and the RAG matrix

GRs are expected to keep their risk and issue information accurate and up to date within the system. This includes making updates where circumstances change, ensuring that risk scores reflect the current position and correcting any misclassifications.

Risks are formally captured and submitted through monthly reporting, ensuring a consistent view of delivery challenges across the programme. Each risk is assessed using a Risk RAG matrix (see Figure 1), which evaluates:

- Likelihood (the probability of the risk occurring).
- Impact (the severity of the effect if it occurs).

The matrix produces a **risk score and RAG status (Red, Amber, Green)**, providing a simple visual tool to prioritise risks. For example, a risk initially assessed as "Very Likely" and "Very High" impact may score highly and be flagged as Red, requiring urgent attention. If mitigations are effective and assessments are reduced, the score may decrease and move to Amber, indicating improved control.

This structured approach helps teams quickly identify which risks require immediate focus and ensures consistency in how risks are assessed across all Grant Recipients.

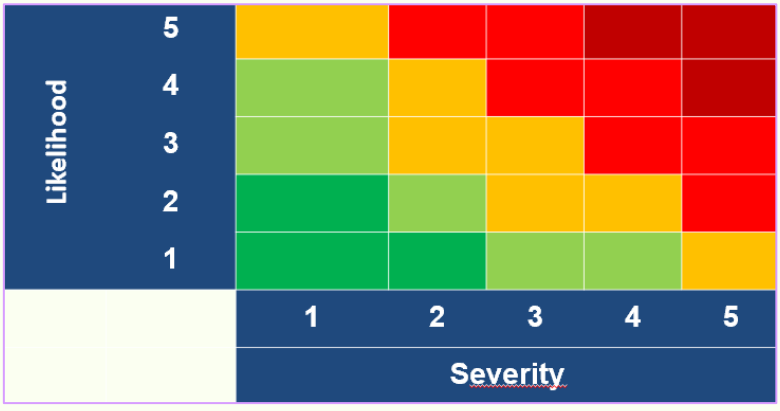


Figure 1 Risk Matrix, Source RISE 2026.

Editing risks and issues reports

Maintaining accurate records is essential, and GRs are expected to update reports as new information becomes available.

For **open risk and issue records**, GRs can locate the relevant report and select "Edit." This may include reclassifying a case (for example, from supplier non-compliance to an error). The system provides a **before-and-after summary page**, which clearly shows all changes made. This is important for transparency and should always be reviewed before submission. After updating, GRs should confirm that the changes have been applied correctly.

For **closed cases**, a **versioning process** applies. Any amendment creates a new version (for example, v.9 to v.10), preserving the full history of the case. GRs should:

- Only update relevant fields.
- Avoid altering unrelated information.
- Track case numbers and versions to maintain a clear audit trail.

This versioning process is critical for compliance and assurance, ensuring that all changes remain traceable over time.

Top tips for GRs

- **Always review changes carefully** using the before-and-after summary page to ensure accuracy.
- **Maintain data integrity** by only updating relevant fields and avoiding unnecessary edits.
- **Updates risks in real time** using the ad hoc route to ensure reporting reflects the current position, enabling timely intervention where needed.
- **Track risk ID** and versions to maintain a clear audit trail.

Submitting drawdowns for your award type

Drawdowns request funds based on eligible expenditure and vary depending on your award type.

Award type	Key points
Challenge Fund (No Phase Requests)	There is no need to upload evidence with the claim and you may not

	drawdown more than 20% (15% A&A and 5% capital)
Challenge Fund (Phase Requests)	You cannot submit more than one drawdown per month, unless one is rejected.
Strategic Partners	You cannot submit more than one drawdown per month, unless one is rejected.

A full guide on how to submit drawdowns for your award types can be found through this **link**.

Submitting phase requests (for SHF) and batch submissions (for LG)

Submitting accurate and complete phase requests and batch submissions is a critical part of programme delivery. These submissions **provide formal updates on progress, confirm readiness to move between phases and ensure that funding and performance data remain aligned**. Poor quality submissions can lead to delays, rework or escalation so it is important that GRs understand both the process and the expectations.

A more thorough guide on how to successfully prepare, submit and deliver Phase Requests can be found **here**.

Phase Requests: Process and expectations

SHF only

Phase requests are expected to be submitted electronically via the Grant Management System (GMS).

Before submitting a formal phase request, **GRs are strongly encouraged to work collaboratively with their DSM to draft and review the submission**. This helps identify any gaps or inconsistencies early and reduces the likelihood of the request being returned or delayed during review.

GRs can book direct support with the phase team if they require additional assistance.

Viewing and tracking phase requests

Within the GMS, phase requests can be accessed via the Phase Requests (PRs) tab, which provides visibility over all submissions.

Two key views are available:

- **Amend Phase Requests** – requests that have been sent back and require updates.
- **View Phase Requests** – all submitted requests and their current status.

Each request will move through defined statuses, including:

1. In Draft.
2. Awaiting Changes (GR).
3. In PSO Review.
4. In DESNZ Review.
5. Awaiting Board Decision.
6. Approved.

Once approved, phase requests are assigned a RAG rating (Red, Amber, Green), reflecting delivery confidence. Monitoring these statuses is important, as it allows Grant Recipients to track progress, respond promptly to feedback and maintain momentum in delivery.

Submitting a new phase request

When creating a new phase request, SHF Grant Recipients must complete several key sections within the GMS. These ensure that both delivery and financial positions are clearly understood and evidenced.

Key sections include:

Key sections	Description
Declarations	Confirm compliance with scheme requirements and accuracy of the submission.
Delivery Confidence Assessment (DCA)	Provide a RAG rating supported by a clear justification, reflecting confidence in delivery.
KPIs, Homes & Costs	Update key performance indicators, number of homes (including low carbon heating homes), and projected costs. The system will automatically calculate running totals.
Type and Condition of Homes	Provide information such as EPC ratings at the start and end of works, and confirm inclusion of eligible property types.
Grant Drawdown Forecast	Set out the expected timing and value of future funding requests.
Measures	Select from pre-approved measures or include additional measures with appropriate justification.

Once submitted, the phase request will appear in the system (initially as *Draft* until formally progressed) and will move through the review stages outlined above.

Batch submissions

LG only

Batch submissions are the process by which LG GRs submit groups of project data through the DESNZ Grant Recipient Portal. **This process enables GRs to approve multiple homes for delivery and request the associated funding at the same tim**e, making it a key mechanism for progressing delivery efficiently.

To complete a batch submission, GRs must provide a range of information to ensure the submission is complete, accurate and compliant with scheme rules.

Key components of a batch submission

Key component	Description
Local authority (LA) assignment	GRs must assign all relevant Las involved in delivering the batch or where homes in the batch are located.
Batch delivery dates	Estimated start and completion dates must be provided. Where delivery spans multiple financial years, this may result in split payments, so accurate date entry is important.
Property information (tenure type)	GRs must specify the tenure of homes included in the batch, including owner-occupied, privately rented and social housing.
Measures and spend	All approved measures within the batch must be listed along with number of installations and total cost per measure type.
Measure price validation	The system requires validation of total home costs, measure costs and overall capital expenditure to ensure alignment with scheme rules.
Additional capital expenditure	Any additional eligible capital costs can be included, with quantity and total cost provided. New cost items must be agreed with DESNZ if not already defined.
VAT treatment	VAT should not be included in batch costs as it would risk overstating funding requirements.
Summary and validation	A system-generated summary provides an overview of the submission. GRs must review validation checks carefully to ensure the submission is complete and accurate before final submission.

Why is this important?
Batch submissions are critical to linking delivery progress with funding drawdown. Accurate submissions ensure that funding is approved without delay, delivery data aligns with financial reporting and phase requests and maintains compliance with scheme rules.

The importance of data accuracy

Accurate data is fundamental to successful delivery, funding and assurance. All reporting submitted by GRs, whether through phase requests, batch submissions, drawdowns or risk and issue logs, they feed into wider programme monitoring, decision-making and compliance checks.

Inaccurate or inconsistent data can have significant consequences, including delays in approvals, incorrect funding allocations and increased scrutiny through assurance and FENC activity.

Here are some best practice tips when producing data:

- **Be accurate** - correct and free from errors
- **Be complete** - all necessary data fields filled for your records
- **Be timely** - up-to-date and available when needed by the 10th working day
- **Be unique** - where appropriate, contain no duplicates or redundant elements of data
- **Be consistent** - level of input must be consistent across datasets and records
- **Be valid** - appropriate and correct in the content in which data is being provided

Common challenges

While many reporting challenges are shared across the programme, there are some differences in how these present between Local Grant (LG) and Social Housing Fund (SHF) delivery.

LG Challenges

Key challenges identified by DSMs:

- **Remembering to report actuals for month** and not cumulative. This includes:
    - Understanding what should be reported and when
    - How to keep track of what has been reported to date
    - Recording what it has been allocated to;
- **Understanding when spend should be reported**.
- **The definition of actual capital spend** (DESNZ are publishing guidance on this soon).

- **Updating the risk register** with many GRs not declaring new risks in the monthly report, despite discussing risks during the monthly meeting.
- Tracking spend of upfront capital in batches, remembering to add risks to the system and reporting A&A.

SHF challenges

- **Each GR invests in the submission process differently** which can lead to inconsistencies in how information is presented and reported.
- **Manual data entry** resulting in mistakes in reporting financials. They are reporting cumulatively rather than their monthly net increases which then makes reconciling financial data impossible.
- **Having an up-to-date RAID Log**.

Summary

Reporting is a core requirement of the scheme and should be treated as a critical monthly activity, not just an administrative task. **GRs are expected to ensure that all reporting is complete, consistent and supported by evidence**, with alignment across systems such as GMS, financial records and delivery data.

Strong internal processes are key to achieving this. Here are some top tips from DSMs for GRs:

Top Tips for GRs

- Treat reporting as a **priority monthly task**, allowing sufficient time to complete it accurately rather than rushing close to the deadline
- Establish a **regular reporting routine**, including internal timelines and checks to ensure timely and complete submissions
- Maintain a **clear internal tracker** to keep record of what has been reported and how figures have been allocated
- Ensure your report is written so that someone with no prior knowledge of the project can understand it clearly
- Provide **meaningful narrative updates**, giving a clear overview of monthly progress (concise bullet points are acceptable, but should be informative)
- Submit reports **as early as possible** within the reporting window to allow time for review and correction if needed
- **Communicate early with your DSM** if there are any delays or issues with submission
- Seek support where needed. **1:1 assistance is available from your DSM**, including Data and Reporting (DAS) support
- Keep **robust audit records**, ensuring all reported data is backed by evidence

- Work with delivery partners to ensure data is provided in a format that can be **easily transferred into reporting systems**
- Allocate time upfront to upload risks and establish your risk register

Relevant resources:
Phase Requests – FAQs
Prepare your Phase Request: Tools and guides
Drawdown Request Form Updates for SHF Awards | DESNZ Training
Fraud, Error and Non- compliance (FENC): What is it?
How to Review Performance Ratings, Open Actions & Monthly Meetings (Grant Recipients)