

Appendix 1 – Example Risk register

Ref No.	Risk description	Date raised/ reviewed	Potential consequences	Inherent risk (before controls) 1=Low, 5= high			Safety controls	Assurance	Residual risk (RR) (remaining risk after controls have been applied)			Risk owner
				Likelihood (L) 1-5	Consequence (C) 1-5	Inherent risk (L x C)			Likelihood (L) 1-5	Consequence (C) 1-5	Residual risk (L x C)	
1	Derailment - shunting empty wagons	14/02/2018	Serious injury to staff or significant damage to property	4	4	16	Shunter training and procedures	Certifications, assessments, verifications	3	3	9	Ops Manager
2	Derailment - passenger service	14/02/2018	Potential death or serious injury to multiple passengers	3	5	15	Track maintenance and inspections, speed restrictions, train control procedures	Internal audit	2	4	8	Ops Manager
3	Carriage fire while on open track	19/02/2018	Potential death or serious injury to multiple passengers	2	5	10	Fire retardant materials, fire suppressed loco, fire extinguishers, safety procedures	Specifications, standards, training, internal audit	1	3	3	Maintenance Manager
4	Level crossing - scheduled service collision with pedestrian	19/02/2018	Likely death or serious injury	3	5	15	Signage, barrier/maze, tactiles, flashing lights, bells, education	Standards, inspections, comms strategy	2	4	8	Infrastructure Manager
5	Passenger slip while alighting	19/02/2018	Potential injury	3	3	9	Non-slip flooring, grip handles, door opening procedures	Specifications, driver training	2	2	4	Ops Manager
6	Workshop slip on spillage	19/02/2018	Potential injury	3	3	9	Controlled substance storage, safe handling protocol, spill kit and procedures, staff training	Inspections, monitoring	2	3	6	Workshop Manager

Note: Ensure your 'Risk description' for each risk allows you to differentiate between vastly different consequences (eg a carriage fire while on open track vs. in a long tunnel) or activities (eg a collision with a person – a scheduled service colliding with a member of public on track is different to a shunt colliding with a worker).