

Risk Management Terms and Data Guideline

RSK-GL-001

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ARTC Network Wide SMS

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1.3	19 February 2018	Various	Change of title for Executive roles. Minor amendment to definitions to address inconsistency with RSK-PR-001. Change Division/ Business Unit.

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1.4	23 November 2018	Various	Incorporation of references to ARTC's new Enterprise Risk Management System and terminology/process changes arising from the system implementation.
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1 Introduction

1.1 Purpose

The purpose of this guideline is to explain risk management terms and content requirements in order to provide guidance and ensure consistency of risk information recorded within ARTC's Enterprise Risk Management System, *CGR Foundation*.

1.2 Scope

This guideline is applicable to all ARTC workers and contractors undertaking risk management activities.

This guideline is applicable for all risk information that is gathered during the ARTC Risk Assessment process and recorded within ARTC's Enterprise Risk Management System, as outlined in RSK-PR-001 Risk Management Procedure and RSK-WI-001 Application of Risk Management.

Project risks not yet transferred into the ERMS will continue to be managed via stand-alone project risk registers until the project has been transitioned into the ERMS, where transition is deemed appropriate, or until the project end. Until the time of transition, this Guideline will not apply to those registers (refer Appendix 1 for further details).

1.3 Document Owner

The ARTC Corporate Risk Manager is the coordinator of this guideline and is the initial point of contact for all enquiries relating to its application across the organisation.

The ARTC Group Executive Corporate Services & Safety is the owner of this guideline and accepts the responsibility for its accuracy and currency.

1.4 Responsibilities

The following responsibilities are those specific to the recording of risk information related to ARTC risks within the Enterprise Risk Management System (ERMS).

For a full list of risk management responsibilities refer to RSK-PR-01 Risk Management, RSK-WI-01 Application of Risk Management and RSK-WI-05 Project Risk Management.

ARTC Corporate Risk Manager responsibilities specific to risk information within ARTC's Enterprise Risk Management System are:

- Managing information within the ARTC Enterprise Control Library, ARTC Enterprise Cause Library and ARTC Enterprise Consequence Library;
- Implementing mechanisms to ensure risks are being managed in accordance with the risk management framework;
- Ensuring that user licences and training in the ERMS are provided to relevant ARTC workers; and
- Providing advice and guidance on risk data required to be recorded in Risk Registers.

Risk Owners responsibilities specific to risk information within ARTC's Enterprise Risk Management System are:

- Ensuring that the risks that they own, including their Controls and Proposed Treatments, are identified and appropriately documented and updated within the ERMS;
- Ensuring that periodic reviews of the risks that they own are conducted, including the effectiveness of their existing Controls, in accordance with required timeframes and appropriate records of review and updates made;
- If appropriate, assigning an suitable Risk Manager to manage further detailed activity for the risks that they own; and
- Notify and escalate risks in accordance with requirements of RSK-PR-001 Risk Management.

Control Owners responsibilities specific to risk information within CGR Foundation are:

- Ensuring that control entries are up to date, including control effectiveness ratings.

Risk Managers responsibilities specific to risk information within ARTC's Enterprise Risk Management System are:

- Ensuring that the risks that they manage, including their Controls and Proposed Treatments, are entered into an appropriate register within the ERMS and appropriately documented and updated in accordance with the risk management framework;
- Ensuring that periodic reviews of the risks that they manage are conducted, including the effectiveness of their existing Controls, and appropriate records of review and updates made; and
- Ensuring that appropriate Proposed Treatments are identified and being actioned for the risks that they manage.

Workshop Facilitators responsibilities specific to risk information within ARTC's Enterprise Risk Management System are:

- Facilitating the gathering of risk information in Risk Workshops in a manner that is consistent with this guideline; and
- Ensuring that risk information is appropriately recorded within the ERMS; and
- Initiating the approval process for new and/or updated risk entries.

Action Owners responsibilities specific to risk information within ARTC's Enterprise Risk Management System are:

- Ensuring that action entries are up to date, including updating action progress.

1.5 Parent Procedure

RSK-PR-001 Risk Management is the Parent Procedure to this guideline.

1.6 Subordinate Documents

There are no documents subordinate to this guideline however various ERMS Quick Reference Guides provide further information on undertaking specific activities within the system.

1.7 Reference Documents

The following documents are related to this guideline:

- COR-PO-006 Risk Management Policy
- RSK-GP-001 ARTC Business Risk Profile
- RSK-GP-002 ARTC Project Risk Profile
- RSK-WI-001 Application of Risk Management
- RSK-WI-005 Project Risk Management

The following tools and templates, whilst not mandatory, may assist with meeting the requirements of this procedure and related documents:

- RSK-FM-003 Risk Assessment Report Template
- RSK-FM-005 Project Risk Management Plan
- RSK-GL-003 Risk Management Overview
- RSK-GL-005 Project Risk Management Overview

The following documents were referenced in this guideline:

- ISO 31000:2018 Risk management –Guidelines
- SA/SNZ HB 436:2013 Risk management guidelines – Companion to AS/NZS 31000:2009

1.8 Definitions

The following terms and acronyms are used within this document:

Term or acronym	Description
ARTC Risk Matrix	The applicable ARTC Risk Matrix for the risk as defined in RSK-PR-001 Risk Management Procedure (for non-Project risks), and RSK-WI-005 Project Risk Management (for Project risks only).
CGR Foundation	The name of the proprietary governance, risk and assurance software developed by Corporate Governance Risk Pty Ltd and utilised by ARTC as its Enterprise Risk Management System. Its use to document and manage risks is mandated.
Enterprise Risk Management System (ERMS)	A system that is utilised to record and manage risks, controls, treatments and actions across the whole of the organisation, including projects. CGR Foundation is ARTC's mandated Enterprise Risk Management System.
Risk Manager	The person appointed by a Risk Owner to conduct the detailed activity on a risk on their behalf. Nomination of a Risk Manager is not mandatory and is only undertaken in circumstances where the Risk Owner is not undertaking detailed activity themselves.
Risk Owner	Person with the responsibility, authority and accountability to manage a risk.

Term or acronym	Description
Risk Register	A collation of risk information that provides a record of identified risks relating to the objectives of the organisation, business unit or project. They provide assurance on the range of control measures and plans in place to address identified risks.
Safety Impact	<p>An impact to workers and/or the public incorporating impacts to:</p> <ul style="list-style-type: none"> • Physical safety (e.g., from hazards such as machinery and plant); • Health and wellbeing; • Psychological health; • System and process safety (e.g. assets); or • Operational safety (e.g. railway operations).
SFAIRP	So Far As Is Reasonably Practicable – The likelihood and consequences of a risk must be weighed against the availability, effectiveness and cost of measures to eliminate or reduce the risk.
Workshop Convenor	The person with the responsibility, authority and accountability for ensuring that a risk assessment workshop is conducted appropriately
Workshop Facilitator	<p>A person with sufficient training and/or experience to conduct a risk workshop. Sufficient training and/or experience includes:</p> <ul style="list-style-type: none"> • The ARTC Risk Workshop Facilitator training course; and/or • External training course based on AS/NZS ISO 31000; and/or formal recognised qualifications that include risk management; and/or • Experience in the facilitation of previous risk assessments using Bow Tie methodology or quantitative risk analysis – whichever is relevant.

2 Risk Identification, Description and Categorisation

This section provides guidance on terms and information relevant to the initial identification, description and categorisation of risks.

2.1 My Registers

My Registers is blue text that is auto-populated with the area in ARTC's organisational hierarchy that the risk is created in.

My Registers in CGR Foundation replicates the company's organisational structure. It is not possible to turn off the auto-population of My Registers however a risk can be moved if it is not in the correct place.

2.2 Created by

Created By auto-populates the name of the ERMS user who created the entry. It is not possible to turn off the auto-population or to re-assign the creator after an entry has been saved.

2.3 Risk Owner

Risk Owner is the person with the responsibility, authority and accountability to manage a risk. The field is a single-select dropdown containing the names of all current The ERMS users. The field initially populates with the creator of the risk however this should be overwritten with the most appropriate person.

Risk Owner is a mandatory field in the ERMS.

Note: Only Risk Owners can approve a risk in The ERMS. By clicking that they approve a risk the Risk Owner is stating that they agree and approve all the information held on that risk entry. On approval the risk moves to 'Open' status.

2.4 Risk Manager

Risk Manager is the person appointed by a Risk Owner to manage the detailed activity on a risk on their behalf. The field is a single-select dropdown containing the names of all current ERMS users.

Risk Manager should only be added if the Risk Owner is not conducting the detailed activity themselves.

Risk Manager is not a required field in the ERMS, except in the case of delegation of management of the risk entry by the Risk Owner.

Note: Risk Managers cannot approve a risk in the ERMS, they can only 'Submit for Approval' to the Risk Owner. By submitting a risk for approval, the Risk Manager is stating that they believe all the information held on the risk to be complete and correct in order to move from 'Draft' to 'Open' status.

2.5 Type

“**Type**” denotes whether a Project Risk or Risk has been created. It is auto-populated with the selection made from the ‘Create’ button in the ERMS.

Type options available for selection are:

- **Project Risk:** refers to those risks that relate to a particular programme or project and usually have a life-span within that programme or project.
- **Risk:** refers to those other risks that do not specifically relate to a programme or project and are often continuous ongoing threats. These are also referred to as ‘non-project’ risks in this document.

2.6 Risk ID

Risk ID is a system-generated ID taking the next available number.

2.7 Status

Status means the stage of its lifecycle that a risk is in. It is auto-populated via workflow transitions in the ERMS.

Status workflow stages are as follows:

- **Draft:** risk has been created but the information is still being entered / edited;
- **Pending Approval:** only applies where a risk has been assigned a Risk Manager, they have submitted it for approval and it is awaiting approval by the Risk Owner;
- **Open:** risk has been approved by the Risk Owner meaning that they agree and approve all the information held for the risk;
- **Open – Under Review:** risk has been formally placed under review, meaning that it is still an open risk but the content is being reviewed to ensure its currency and accuracy;
- **Closed:** risk is no longer live. There are 4 closed statuses that can be selected in the ERMS;
 - Closed - Eliminated: risk has been managed to the extent that there is no longer a chance of it occurring;
 - Closed - Impacted: risk has occurred;
 - Closed - Duplicated: risk was raised however further investigation has concluded that it is a duplicate of another risk or is considered part of another risk; and
 - Closed - Rejected: risk was raised however on further consideration it was deemed not to be a valid risk.

A Note is required to document the reason for a change of status.

Note: Where no Risk Manager is assigned to a risk, the Risk Owner will transition the risk directly from Draft status to Open, without the intermediary status of Pending Approval.

2.8 Risk Name

Risk Name is to contain a brief description of the risk. It is a free-text field allowing up to 80 characters. Risk Name should be succinct but contain enough information that others can understand what the risk is.

Risk Name should include a brief description of the source (e.g. hazard), risk event, cause and consequence, for example "Train SPAD that leads to derailment".

Risk Name is a mandatory field to save a new entry in the ERMS.

Note: Strategic Risks are a succinct description of the cumulation of a number of risks, and Risk Names for Strategic Risks generally do not specify particular causes or consequences.

2.9 Risk Description

Risk Description allows a more detailed description of the risk. It is a free-text field allowing unlimited characters.

Risk Description enables further information to be recorded regarding the risk. Information that could be recorded includes circumstances under which the risk is present, the context behind the risk, the scope of the risk including what is included and excluded, details of a specific location or any other information considered relevant.

Where a significant amount of detailed information is required to be recorded, it may be more appropriate to include an attachment and provide a brief summary only in the "Risk Description" field.

Risk Description is a mandatory field to approve a risk in the ERMS.

2.10 Next Review Date

Next Review Date is the future date when the next formal review of the risk should take place. It is a date selection field - only dates in the future are to be selected.

Next Review Date is auto-populated when a risk is created with a date 3 months in the future, however this should be over-written with the appropriate date.

Following review of a risk, the Next Review Date must be manually updated.

Timeframes for review of risks not related to a programme or project are:

Very High Risks	Should be reviewed at a period no longer than every six months unless review is triggered earlier (i.e. as a result of incident investigation, audit findings etc.)
High risks	Should be reviewed at a period of no longer than every six months unless review is triggered earlier (i.e. as a result of incident investigation, audit findings etc.)
Medium risks	Should be reviewed at a period of no longer than every 24 months unless review is triggered earlier (i.e. as a result of incident investigation, audit findings etc.)
Low risks	Should be reviewed at a period of no longer than every 36 months unless review is triggered earlier (i.e. as a result of incident investigation, audit findings etc.)

For Programme or Project Risks the Next Review Date is to be determined as appropriate for the relevant programme or project, however review periods for these risks are expected to be much shorter given the shorter term nature of a programme or project. RSK-WI-005 Project Risk Management gives further guidance on expectations for review of project and programme risks.

2.11 Additional Owners

Additional Owners are those persons who may also have accountability for a risk in addition to the Risk Owner (i.e. co-own a risk). The field is a multi-select dropdown containing the names of all current ERMS users.

Additional Owners do not have a specific formal role in the ERMS.

Additional Owners is not a required field in the ERMS, however is common for Strategic and Enterprise Wide risks where responsibility sits with more than one member of Executive or senior management.

2.12 Risk Tier

Risk Tier allows a risk to be described in relation to its applicability throughout the organisation. The field is a single-select dropdown. Assigning a Risk Tier assists with identifying the relationship between a Strategic Risk and any related subsidiary risks.

Risk Tier options available for selection are:

- Strategic
- Enterprise Wide
- Operational
- Geographic/Location
- Programme
- Project

Risk Tier is a mandatory field to approve a risk in the ERMS.

Strategic means that the risk has been determined by the Executive as a key risk which could adversely affect the achievement of the company's objectives and has been included in the ARTC Business Risk Profile (as documented in RSK-GP-001 ARTC Business Risk Profile) or the ARTC Project Risk Profile (as documented in RSK-GP-002 ARTC Project Risk Profile).

Approval must be sought from Executive prior to classifying a risk as Strategic. The Risk Owner of a Strategic risk must be a member of ARTC Executive.

Strategic risks usually contain high level information.

Enterprise Wide means that the risk has been identified as affecting more than one part of ARTC.

Enterprise Wide risks are commonly a specific breakdown of a Strategic risk.

The Risk Owner of an Enterprise Wide risk may be a member of ARTC Executive or may be another senior manager where there is clear responsibility and accountability in the organisation structure.

An Enterprise Wide risk may be cloned and then modified to become specific to a particular operational, location or project context.

Operational means that that the risk is owned by a particular part of ARTC's organisational structure.

Operational risks may be a specific breakdown of a Strategic risk or Enterprise Wide risk. The Risk Owner of an Operational risk could be at any level of the organisation, as determined to be appropriate for the identified risk.

Operational risks usually contain specific information relevant to the risk. An "Operational" risk may be related to a particular Business Unit or a specific type of task.

Geographic/Location means that that the risk is specific to a particular geographical vicinity, section of track, or specific location. The Risk Owner is usually the person responsible for the location or the activities at or within the location.

Geographic/Location risks contain information, for example causal and contributory factors or controls, specific to that location.

Programme means that the risk is relevant to a particular programme of projects and is usually able to be closed at the end of the programme. In some cases, where a programme is considered ongoing although each defined project within the programme may have a defined start and end date, a programme risk may not have a defined closure date.

The Risk Owner of a Programme risk could be the relevant Programme Manager, a Project Manager or another person at any level of the organisation, as determined to be appropriate for the identified risk.

Where the risk continues beyond the Programme and is an ongoing risk, the risk should be discussed with the Corporate Risk Manager to ensure that any project risks and controls that cannot be closed are transferred to another appropriate owner and/or location in the ERMS and reclassified as Geographic/Location, Operational or Enterprise Wide (whichever is deemed more appropriate).

Where the risk continues beyond the original defined timeframe of the Programme but is expected to be able to be closed at a future date, it may remain classified as a Programme risk provided that the risk is assigned to an appropriate Risk Owner who continues to manage the risk until its closure.

Project means that the risk is relevant to a particular project.

The Risk Owner of a Project risk could be the relevant Project Manager or another person at any level of the organisation, as determined to be appropriate for the identified risk.

Project risks usually contain specific information and are usually able to be closed prior to the end of the project (i.e. the risk no longer exists).

Where the risk continues beyond the Project and is an ongoing risk, the risk should be discussed with the Corporate Risk Manager to ensure that any project risks and controls that cannot be closed are transferred to another appropriate owner and/or location in the ERMS and reclassified as Geographic/Location, Operational or Enterprise Wide (whichever is deemed more appropriate).

Where the risk continues beyond the original defined timeframe of the Project but is expected to be able to be closed at a future date, it may remain classified as a Project risk provided that the risk is assigned to an appropriate Risk Owner who continues to manage the risk until its closure.

2.13 Task / Activity

Task / Activity relates a risk to the type of task or activity being undertaken, e.g. re-railing. The field is a multi-select dropdown. To assist with consistency of data recording and reporting ARTC has created a list of common task/activities from its risk registers which is available for users to select from by starting to type key words. Users must search for existing appropriate entries using key words when adding a task/activity.

Where no existing entry is appropriate for selection, new items can be entered. The ERMS will prompt users with the opportunity to add a new task/activity to the library. Where new entries may be of use to other ARTC users these can be added to the library.

"Task/Activity" is not a mandatory field however its use is encouraged for reporting purposes.

2.14 Exposure Start Date

Exposure Start Date allows a date to be recorded when a project or activity is likely to start being exposed to the risk. It is a date selection field.

Not all risks will have start dates as some are continuous ongoing threats, such as derailment. Those with start dates are normally associated with temporary conditions, activities or project phases which will ultimately come to a finishing point.

Exposure Start Date is a mandatory field to approve a risk for Programme/Project Risks only.

2.15 Exposure End Date

Exposure End Date allows a date to be recorded when a project or activity is likely to stop being exposed to the risk. It is a date selection field.

Not all risks will have end dates as some are continuous ongoing threats, such as derailment. Those with end dates are normally associated with temporary conditions, activities or project phases which will ultimately come to a finishing point.

Exposure End Date is a mandatory field to approve a risk for Programme/Project Risks only.

2.16 Target Date for Risk Reduction

Target Date for Risk Reduction is designed to capture the date when the risk is expected to be reduced or closed.

If the Target Risk Level is lower than the Current Risk Level and/or the risk is anticipated to be closed in the future, a Target Date is to be recorded. Only dates in the future are to be selected.

If the Target Date is yet to be determined, an appropriate comment must be added and the Target Date recorded once known.

If there is no expectation that the risk can be reduced or closed, this field is to be left blank.

2.17 SFAIRP Indicator

SFAIRP Indicator allows for a clear indication of the decision as to whether a risk has been reduced So Far As Is Reasonably Practicable.

SFAIRP Indicator options available for selection are:

- Yes
- No
- Not Applicable
- Not Yet Assessed

Yes means that a clear decision has been made that no additional controls are determined as required and safety is provided SFAIRP.

No means that possible controls have been identified and the risk cannot yet be considered reduced SFAIRP.

Not Yet Assessed means that an assessment of whether the risk has been reduced SFAIRP has not yet been conducted.

Not Applicable is to be selected for risks with no Safety impact.

SFAIRP Indicator is a mandatory field to approve a risk in the ERMS.

2.18 SFAIRP Justification

SFAIRP Justification records the rationale for the SFAIRP Indicator that has been selected. It is a free text field with unlimited characters.

SFAIRP Justification is a mandatory field to approve a risk in the ERMS.

2.19 Related Risk(s)

2.19.1 Related Strategic Risk(s)

Related Strategic Risk(s) enables non-project risks to be associated with one or more Strategic Risks. The field is a multi-select dropdown populated with an up-to-date list of all of ARTC's Strategic Risks.

ARTC's Strategic Risks have been determined by the Executive as key risks which could adversely affect the achievement of the company's objectives and have been included in the ARTC Business Risk Profile. Associating a risk to its Related Strategic Risk(s) allows for oversight, reporting and analysis of all risks related to a particular high level risk event.

Related Strategic Risk(s) is a mandatory field to approve a (non-project) Risk in the ERMS.

2.19.2 Related High Level Project Risk(s)

Related High Level Project Risk(s) enables programme or project risks to be associated with one or more High Level Project Risks. The field is a multi-select dropdown populated with an up-to-date list of all of ARTC's Project risks as defined in the ARTC Project Risk Profile.

Associating a risk to its Related High Level Project Risk(s) allows for oversight, reporting and analysis of all risks related to a particular high level project risk event.

Related High Level Project Risk(s) is a mandatory field to approve a Project Risk in the ERMS.

2.20 Location Information

Recording these details allows risks to be assigned to their specific location and to be viewed using the ERMS's Map functionality. Not all risks will be able to be assigned to specific locations as, for example, they may relate to the ARTC network as a whole.

Location Information is not mandatory however its use where a risk can be geographically related is encouraged for reporting and mapping purposes.

2.20.1 Corridor and Line Segment

Corridor allows a risk to be recorded against a specific corridor. The field is a single-select dropdown containing the list of ARTC's corridors.

Line Segment allows a risk to be recorded against a specific segment of track. The field is a single-select dropdown containing the list of ARTC's line segments that is filtered by the "Corridor" selection.

Both the Corridor and Line Segment fields are to be used for risks that relate exclusively to that location.

2.20.2 Post code and Township

Post code allows a risk to be recorded against a post code. The field is a single-select dropdown containing the list of Australia's post codes.

Township allows the risk to be further related to an area with a post code. The field is a single-select dropdown that is filtered by the "Post Code" selection.

Both the Post Code and Township fields are to be used for risks that relate exclusively to that location.

2.20.3 Kilometre From and Kilometre To

Kilometre From in combination with **Kilometre To** allows a risk to be recorded against a specific section of track.

The Kilometre From and Kilometre To fields should only be used where a risk applies to a specific section of a Line Segment or crosses Line Segments.

2.20.4 Latitude and Longitude

Latitude and Longitude allows a risk to be recorded against an exact location. The field allows values only in the form of coordinates.

The Latitude and Longitude" field should only be used where a risk applies to an exact location.

2.20.5 Location Description

Location Description allows a risk to be recorded against the most useful description of its location if the other location fields are inadequate. It is a free-text field allowing up to 80 characters.

2.21 Project Phase

Project Phase is designed to capture the phase or phases when the project is expected to be exposed to the risk. More than one Project Phase can be selected.

Project Phase is not a mandatory field however its use is encouraged to enable a look-ahead analysis of the project's risk profile.

This field is only applicable for programme or project risks.

3 Risk Causes, Consequences and Controls

This section provides guidance on terms and information relevant to further description of risk causes and consequences and the controls.

3.1 Causes

Causes are the factors which alone ("causes"), or combined ("contributory"), could lead to the risk eventuating, and are recorded in the section of the ERMS titled **Causes**.

Further information on determining causes is provided in RSK-PR-001 Risk Management and RSK-WI-001 Application of Risk Management.

It is mandatory to record details of causes of risks in the ERMS.

3.1.1 Cause Title

Cause Title records the factor which alone ("causes"), or combined ("contributory"), could lead to the risk eventuating. The field is a multi-select dropdown.

A library of common causes and contributory factors is held within the ERMS, called the Cause Library. Starting to type a key word will bring up a pick list of causes and contributory factors to select from. Alternatively, additional causes and contributory factors can be added to the register library.

Where new causes are required to be added, the Cause Title should be succinct, but contain enough information that others can understand what the risk cause is. The ERMS will prompt users with the opportunity to add a new cause to the library. Where new causes may be of use to other ARTC users these can be added to the Cause Library.

Abbreviations and acronyms are to be avoided except in the case of well-established terms, e.g. SPAD.

3.1.2 Comment

Comment is an open field allowing any further relevant comment to be added. It is a free-text field allowing up to 255 characters.

3.2 Consequences

Consequences are descriptions of the potential impacts if the risk were to eventuate.

It is mandatory to record details of consequences in the ERMS.

3.2.1 Consequence Title

Consequences are descriptions of the potential impacts if the risk were to eventuate. The field is a multi-select dropdown.

A library of common consequences is held within the ERMS. Starting to type a key word will bring up a pick list of consequences to select from. Alternatively, additional consequences can be added to the register library. Where new consequences are required to be added, the Consequence Title should be succinct, but contain enough information that others can understand what the risk consequence is.

Abbreviations and acronyms are to be avoided except in the case of well-established terms, e.g. SPAD.

3.2.2 Comment

Comment is an open field allowing any further relevant comment to be added. It is a free-text field allowing up to 255 characters.

3.3 Preventative and Mitigating Controls

Control is a measure that modifies risk by either preventing the causes or mitigating the consequences of the risk. Controls may include any process, policy, device, practice or other action which modifies risk.

The collective list of all ARTC controls is called the ARTC Control Library, and is available within the ERMS.

Preventative Controls aim to reduce the likelihood of the Cause. Mitigating Controls aim to reduce the impact of the Consequence. Controls must be tagged in the ERMS to their applicable cause or consequence. A single control can be tagged to multiple causes for a Risk using the bowtie functionality.

It is mandatory to record details of Controls in the ERMS.

3.3.1 Control Name

Control Name is a brief description of the Control.

A library of common Controls is held within the ERMS. Starting to type a key word will bring up a pick list of Controls to select from. Alternatively, additional Controls can be added to the register library.

When adding new Controls, the Control Name should be succinct but contain enough information that others can understand what the control is. Where a document is being referred to it must contain the document number and title, for example, "RSK-PR-001 Risk Management", not "Risk Procedure".

Abbreviations and acronyms are to be avoided except in the case of well-established terms, e.g. PTOS.

3.3.2 Control Description

Control Description allows additional information to be recorded regarding the control.

If a control is selected from the Control Library, this field will be pre-populated.

Control Description is not a mandatory field however its use is encouraged.

3.3.3 Critical Control?

Where a Control is designated a **Critical Control** it means that, if the control was absent or otherwise failed, the risk would eventuate - i.e. the control prevents the identified risk cause from occurring or substantially mitigates the consequence to have no impact.

The field is a Yes/No checkbox.

Critical Control in the ERMS is shown by the pink colouring of the Control box.

3.3.4 Current Control?

Where a Control is designated a **Current Control** it means that the Control is already in place for that particular risk cause or consequence. The field is a Yes/No checkbox.

If the checkbox is ticked the Control will appear as:



If the checkbox is unticked the Control will appear as:



Proposed Treatment means that approval has not yet been given to proceed with implementing the control or approval has been given and implementation has not yet occurred.

3.3.5 Treatment Due Date

Treatment Due Date applies to Proposed Treatments only and records when the Treatment is expected to be in place. It is a date selection field, only dates in the future are to be selected.

When setting the Treatment Due Date, a reasonable timeframe is to be determined based on the nature of the activities that are to be completed and the priority for completion. Liaison on Treatment Due Dates should occur prior to assignment to a Control Owner.

When a Treatment Due Date has been extended, appropriate notes are to be recorded regarding the reason for extension.

3.3.6 Control Owner

Control Owner is the ARTC employee with the responsibility, authority and accountability for the control. The field is a single-select dropdown.

Where a third party (external to ARTC) has ownership and responsibility for a control, the Control Owner is to be assigned as 'External Third Party Control Owner'. Where this occurs, the type of third party is to be recorded in the Responsible Party field and appropriate reference to the organisation(s) is to be recorded in the notes field. If a Control is selected from the Control Library, this field will be pre-populated.

Where Control Owner is pre-populated, this is to be reviewed to ensure it is correct for the context in which the control is being applied and changed if deemed appropriate. For new control entries, this information will need to be populated.

Control Owner is a mandatory field.

3.3.7 Responsible Party

Responsible Party records the type of organisation that is responsible for the control. If a Control is selected from the Control Library, this field will be pre-populated.

Where Responsible Party is pre-populated, this is to be reviewed to ensure it is correct for the context in which the control is being applied and changed if deemed appropriate. For new control entries, this information will need to be populated.

Responsible Party options available for selection are:

- ARTC
- Contractor
- Other Rail Infrastructure Manager
- Other Rail Operator
- Road Manager
- Other External Party

Responsible Party is a mandatory field.

3.3.8 Control Effectiveness

Control Effectiveness is an indicator of how effective the control is in preventing or mitigating the risk. The field is a single-select dropdown.

Where Control Effectiveness is pre-populated, this is to be reviewed to ensure it is correct for the context in which the control is being applied and changed if deemed appropriate. For new control entries, this information will need to be populated.

Control Effectiveness options available for selection are:

1. Not yet assessed
2. Minimally effective
3. Partially effective
4. Substantially effective
5. Fully effective

Information regarding how to determine Control Effectiveness and the full criteria for the five descriptors is contained in RSK-WI-001 Application of Risk Management. Where Control Effectiveness has not yet been determined Not yet assessed is to be selected.

Control Effectiveness is a mandatory field.

3.3.9 Hierarchy of Control

Hierarchy of Control is the description of how the control prevents or mitigates the cause or consequence. The field is a single-select dropdown.

If a control is selected from the Control Library, this field will be pre-populated. For new control entries, this information will need to be populated.

Hierarchy of Control options available for selection are:

- Elimination
- Substitution
- Isolation
- Design / engineering
- Admin
- PPE

Elimination means that the control will remove or otherwise eliminate the risk.

Substitution means that the control will substitute the source of the risk (hazard) with a hazard that gives rise to a lesser risk.

Isolation means that the control will isolate the source of the risk from the person(s) put at risk.

Design/Engineering means that the control will reduce the risk through engineering means.

Admin is an abbreviation for Administrative Control and means that the control will minimise the risk through administrative means (e.g. by providing appropriate training, or adopting safe work practices).

PPE is an abbreviation for Personal Protective Equipment and means that the control will provide some type of personal barrier between the risk source and an individual (e.g. protective eyewear, hi-visibility clothing, hearing protection etc.).

Hierarchy of Control is a mandatory field.

3.3.10 Applicable Project Phase

Applicable Project Phase is designed to capture the phase or phases when the control is expected to be implemented against the risk. More than one Project Phase can be selected.

Applicable Project Phase is not a mandatory field however its use is encouraged. This field is only applicable for programme or project risks.

4 Risk Analysis

This section of the guideline provides guidance on terms and information relevant to analysis of a risk.

4.1 Inherent Risk Level

Inherent Risk Level is the risk level when the risk is considered without any controls in place. It is calculated based on the selections for Inherent Consequence and Inherent Likelihood, as depicted in the applicable ARTC Risk Matrix. Selections are made by clicking on the appropriate boxes in the matrix and then selecting the Likelihood of the risk event from a dropdown. The highest Inherent Consequence rating will be used to calculate the Inherent Risk Level.

Inherent Risk Level is mandatory for all non-project risks. Whilst not mandatory for project risks, the calculation of Inherent Risk Level is highly encouraged.

4.1.1 Inherent Consequence

Inherent Consequence is the level of consequence, as described in the ARTC Risk Matrix, when the risk is considered without any controls in place.

Inherent Consequence is described as:

- Not Significant
- Minor
- Moderate
- Major
- Extreme

Inherent Consequence is to be based on the worst case impact.

4.1.1.1 Description of Worst Case Consequence

Description of Worst Case Consequence is a description of the worst consequence that could occur should controls be absent or fail. It is a text field with unlimited characters.

Worst Case Consequence is to be considered when determining the inherent (untreated) consequence, likelihood and risk level. Further information on determining Worst Case Consequence is provided in RSK-PR-001 Risk Management and RSK-WI-001 Application of Risk Management.

Description of Worst Case Consequence is to be recorded.

4.1.1.2 Rationale for Worst Case Consequence

Rationale for Worst Case Consequence allows a user to capture how the determination of the Worst Case Consequence was made. It is a text field with unlimited characters.

Rationale for Worst Case Consequence is not a mandatory field however its use is encouraged.

4.1.2 Inherent Likelihood

Inherent Likelihood is the probability of the risk occurring, as described in the ARTC Risk Matrix, when the risk is considered without any controls in place.

Inherent likelihood is described as:

- Rare
- Unlikely
- Possible
- Likely
- Almost Certain

4.2 Current Risk Level

Current Risk Level is the risk level when the risk is considered given the effectiveness of controls that are currently in place. Current Risk Level is calculated based on the selections for Current Consequence and Current Likelihood, as depicted in the applicable ARTC Risk Matrix. Selections are made by clicking on the appropriate boxes in the matrix and then selecting the

Likelihood of the risk event from a dropdown. The highest Current Consequence rating will be used to calculate the Current Risk Level.

Current Risk Level is mandatory for all risks.

4.2.1 Current Consequence

Current Consequence is the level of consequence, as described in the ARTC Risk Matrix, when the risk is considered given the effectiveness of controls that are currently in place.

Current Consequence is described as:

- Not Significant
- Minor
- Moderate
- Major
- Extreme

Current Consequence is based on the most likely impact given the current controls and their effectiveness.

Current Consequence is mandatory for all risks.

4.2.1.1 Description of the Most Likely Consequence

Description of Most Likely Consequence is the consequence that is likely to occur, given the effectiveness of the controls that are currently in place. It is a text field with unlimited characters.

Most Likely Consequence is considered when determining the current consequence, likelihood and risk level. Further information on determining Most Likely Consequence is provided in RSK-PR-001 Risk Management and RSK-WI-001 Application of Risk Management.

Description of Most Likely Consequence is to be recorded.

4.2.1.2 Rationale for Most Likely Consequence

Rationale for Most Likely Consequence allows a user to capture how the determination of the Most Likely Consequence was made. It is a text field with unlimited characters.

Rationale for Most Likely Consequence is not a mandatory field however its use is encouraged.

4.2.2 Current Likelihood

Current Likelihood is the probability of the risk occurring, as described in the ARTC Risk Matrix, when the risk is considered given the effectiveness of controls that are currently in place.

Current Likelihood is described as:

- Rare
- Unlikely
- Possible
- Likely
- Almost Certain

Current Likelihood is mandatory for all risks.

4.3 Target Risk Level

Target Risk Level is the risk level that is expected to be applicable once additional Proposed Treatments have been implemented.

Target Risk Level is calculated based on the selections for Target Consequence and Target Likelihood, as depicted in the applicable ARTC Risk Matrix.

Selections are made by clicking on the appropriate boxes in the matrix and then selecting the Likelihood of the risk event from a dropdown. The highest Target Consequence rating will be used to calculate the Target Risk Level.

If there are no additional Proposed Treatments to be implemented and the Current Risk Level is as low as the risk can reasonably achieved, Target Risk Level is to be recorded as the same as Current Risk Level.

Where additional Proposed Treatments are to be implemented, however they are not expected to result in a reduction in risk level, "Target Risk Level" is to be recorded as the same as Current Risk Level and appropriate notes recorded explaining why no further reduction can be achieved.

Target Risk Level is mandatory for all risks.

4.3.1 Target Consequence

Target Consequence is the level of consequence, as described in the ARTC Risk Matrix that is expected to be applicable once additional Proposed Treatments have been implemented.

Target Consequence is described as:

- Not Significant
- Minor
- Moderate
- Major
- Extreme

Target Consequence is based on the most likely impact given the Proposed Treatments and their expected effectiveness in combination with existing controls.

If there are no additional Proposed Treatments to be implemented, Target Consequence is to be recorded as the same as Current Consequence.

Target Consequence is mandatory for all risks.

4.3.1.1 Description of the Most Likely Consequence

Description of Most Likely Consequence is the consequence that is likely to occur once additional Proposed Treatments have been implemented. It is a text field with unlimited characters.

Further information on determining Most Likely Consequence is provided in RSK-PR-001 Risk Management and RSK-WI-001 Application of Risk Management.

Description of Most Likely Consequence is mandatory for all risks.

4.3.1.2 Rationale for Most Likely Consequence

Rationale for Most Likely Consequence allows the full background for the most likely consequence to be entered. It is a text field with unlimited characters.

Rationale for Most Likely Consequence is not a mandatory field however its use is encouraged.

4.3.2 Target Likelihood

Target Likelihood is the probability of the risk occurring, as described in the applicable ARTC Risk Matrix, that is expected once additional Proposed Treatments have been implemented.

Target Likelihood is described as:

- Rare
- Unlikely
- Possible
- Likely
- Almost Certain

When determining Target Likelihood consideration is given to the likely effectiveness of the additional Proposed Treatments in combination with existing controls.

If there are no additional Proposed Treatments to be implemented, Target Likelihood is to be recorded as the same as Current Likelihood.

Target Likelihood is mandatory for all risks.

5 Additional Information

5.1 Actions

This section provides guidance on terms and information relevant to the ERMS's Actions functionality. Actions that strengthen existing controls or are related to the implementation of Proposed Treatments are to be recorded.

Where actions related to a Control are actively managed and tracked through other systems (for example, Ellipse), there is no requirement to replicate actions in the ERMS. Where this situation occurs appropriate reference should be made.

5.1.1 Created By

Created By auto-populates with the name of the ERMS user who created the action. It is not possible to turn off the auto-population or to re-assign the creator after an entry has been saved.

5.1.2 Action Approver

Action Approver is the person with ultimate responsibility for ensuring that an action is carried out and agreeing that an action can be closed (e.g. the Risk Owner or other responsible manager). The field is a single-select dropdown containing the names of all current ERMS users. The field initially populates with the creator of the action however this should be over-written with the most appropriate person.

Where the action is being conducted by a third party (external to ARTC), the ARTC employee with ultimate responsibility for verifying the action is carried out is to be selected.

Action Approver is a mandatory field to save an action in the ERMS.

5.1.3 Action Owner

Action Owner is the person responsible for undertaking the action or overseeing completion of the action. The field is a single-select dropdown containing the names of all current ERMS users.

Where the action is being conducted by a third party (external to ARTC), the ARTC employee who is responsible for liaising with the third party regarding the action is to be selected.

Liaison with the Action Owner should occur prior to assigning the action.

5.1.4 Action Status

Action Status means the stage of its lifecycle that an action is in. It is auto-populated via workflow transitions in the ERMS.

Action Status workflow stages are as follows:

- **Unassigned:** the action has been created but a suitable Action Owner has not yet been assigned;
- **Assigned:** the action has been assigned to a prospective Action Owner but has not yet been accepted by them;
- **Accepted:** accepted by the Action Owner as their action;

- **Modification Requested:** accepted by the Action Owner as their action but with a requested change. Where modifications are requested, supporting notes should be recorded;
- **Assignee Rejected:** rejected by the Assignee as their action. Where an action is rejected, supporting notes should be recorded. The action can be re-assigned;
- **In Progress:** accepted by the Action Owner as their action and started. Progress can be indicated as a percent complete in integers of 5;
- **Pending Approval to Close:** Action Owner has set progress to 100% and the action is now with the Action Approver for their agreement that the action is complete;
- **Closed - Rejected:** it has been determined that the action is not appropriate or required and has therefore been rejected. Where the action is rejected, supporting notes should be recorded;
- **Closed - Completed:** Action Owner has set progress to 100% and Action Approver has accepted that the action has been completed.

5.1.5 Action Title

Action Title is a brief description of the required action. It is a free-text field allowing up to 80 characters.

Action Title should be succinct but contain enough information that others can understand what is required.

Action Title is a mandatory field to save an action in the ERMS.

5.1.6 Progress

Progress allows a percentage complete to be recorded to demonstrate that an action has progressed. It is a dropdown field in integers of 10. It is an expectation that Action Owners regularly update the progress of their actions.

5.1.7 Action Due Date

Action Due Date records when the action is expected to be completed by. It is a date selection field.

Action Due Date is auto-populated when an action is created with a date 2 weeks in the future, however this should be over-written with the appropriate date.

When setting the Action Due Date, a reasonable timeframe is to be determined based on the nature of the activities that are to be completed and the priority for completion. Liaison with the Action Owner should occur prior to setting the Action Due Date.

When an Action Owner accepts an action, this includes accepting that the Action Due Date is reasonable and achievable. The Action Due Date as at the time of action acceptance is considered the original agreed due date for the purpose of determining if actions are delayed.

When an Action Due Date has been extended, appropriate notes are to be recorded regarding the reason for extension and the Action On Track indicator is to be set to Delayed.

Where actions have been assigned, Action Due Date is a mandatory field.

5.1.8 Action Description

Action Description allows further information to be recorded as to why the action is required, or any relevant background material. It is a free-text field allowing unlimited characters.

Action Description should contain enough information that others can understand the context of the action.

Action Description is not a mandatory field however its use is encouraged.

5.1.9 Action Priority

Action Priority allows for an indication of the importance of the action so that the Action Owner may prioritise the action they are responsible for. The field is a single select dropdown.

Action Priority options available for selection are:

- Urgent
- High
- Medium
- Low

Action Priority is not a mandatory field however its use is encouraged.

5.1.10 Action Cost (\$)

Action Cost allows for an approximate cost of the action to be recorded. The field only allows values in full dollar amounts. Action Cost information may be important when determining if a risk is reduced SFAIRP. Further information on consideration of cost when determining if a risk is reduced SFAIRP is provided in RSK-WI-001 Application of Risk Management.

Action Cost is not a mandatory field.

5.1.11 Action On Track?

Action On Track? allows capture of whether the action is likely to be completed by its due date and provides valuable insight to Risk Owners, Action Approvers and other managers on whether the action will be achieved on time. The field is a single select dropdown.

Action On Track? options available for selection are:

- **On Track:** action is expected to be completed by its due date;
- **Under Pressure:** action is unlikely to be completed by its due date;
- **Delayed:** action is not or will not be completed by the original agreed due date;

If the Action Due Date is extended, the Action On Track? indicator is to remain as Delayed.

Action On Track? is mandatory for all actions while the action is in progress.

5.1.12 Linked To

Linked To is automatically populated with the details of the item that the action is associated with. The details cannot be changed. Clicking on the blue text takes the user to the item.

5.2 Multi-Risk Actions

This section provides guidance on terms and information relevant to the ERMS's Multi-Risk Actions functionality.

Multi-Risk Actions allow for Actions to be linked to more than one Risk. Actions created under a Multi-Risk Action plan will be linked to each of the Risks linked to that plan.

5.2.1 Action Plan Owner

Action Plan Owner is the person who has the responsibility to ensure the Action or Actions are completed. The field is a single-select dropdown containing the names of all current ERMS users. The field initially populates with the creator of the plan however this should be overwritten with the most appropriate person.

Action Plan Owner is a mandatory field to save a Multi-Risk Action plan.

5.2.2 Status

Status means the status of the Action Plan which can be either **Open** or **Closed**. On creating a plan it is auto-populated with Open. Closing a plan means that it will no longer appear in 'My Multi-Risk Actions' on the user dashboard however any associated specific Risks or Actions that are at open status will remain open.

5.2.3 Action Plan Title

Action Plan Title is a brief description of the plan that is indicative of the Action or Actions associated with it. It is a free-text field allowing up to 80 characters.

Action Plan Title should be succinct, but contain enough information that others can understand what is being undertaken.

Action Plan Title is a mandatory field to save a Multi-Risk Action plan.

5.2.4 Action Plan Summary

Action Plan Summary allows for further information to be recorded in relation to why the Action or Actions are linked to multiple Risks or any other relevant background material. It is a free-text field allowing unlimited characters.

Action Plan Summary should contain enough information so that others can understand the context of why the plan is required.

Action Plan Summary is not a mandatory field however its use is encouraged.

5.2.5 Linked to

Linked to is automatically populated with the details of the items that the Action or Actions are associated with. Items can be linked or unlinked using the 'Manage' button. Clicking on the blue text takes the user to the item.

5.3 Workshops

This section provides guidance on terms and information relevant to the ERMS's Workshops functionality.

Workshops allows for Risks to either be created or re-assessed in a live workshop, i.e. a Risk Assessment or a Risk Review. Risks can be linked to a Workshop meaning that any items added or comments entered while the workshop is live will automatically be time and date-stamped against that workshop. In addition, comments can be added to minute what was discussed and decided at the Workshop.

Further information on conducting workshops is contained in RSK-WI-001 Application of Risk Management.

5.3.1 Start / Stop

Start / Stop allows a Workshop to be started meaning that comments entered against a Risk entry or new Risk entries will be time and date-stamped against that Workshop and then stopped meaning that the time and date-stamped association will end. The field is a button icon.

5.3.2 Workshop Facilitator

Workshop Facilitator is the person who has the responsibility of conducting the workshop. The field is a single-select dropdown containing the names of all current ERMS users. The field initially populates with the creator of the Workshop however where this is not the Facilitator, this is to be overwritten.

Workshop Facilitator is a mandatory field to save a Workshop.

5.3.3 Workshop Convenor

Workshop Convenor is the person with the responsibility, authority and accountability for ensuring that the workshop is conducted appropriately. This could, for example, be the responsible manager for an area, the person responsible for introduction of a change, or the Project Manager.

The field is a single-select dropdown containing the names of all current ERMS users.

Workshop Convenor is a mandatory field.

5.3.4 Workshop Status

Workshop Status means the status of the Workshop which can be either **Open** or **Closed**. On creating a Workshop it is auto-populated with Open.

Workshop Status transitions in the ERMS are not driven by the Start / Stop functionality, but by Open / Close. Closing a Workshop means that it will no longer appear in 'My Open Workshops' on the user dashboard.

5.3.5 Workshop Title

Workshop Title is a brief description of the Workshop. It is a free-text field allowing up to 80 characters. Workshop Title should be succinct but contain enough information that others can understand what activity is being undertaken and what it is related to.

Workshop Title is a mandatory field to save a Workshop.

5.3.6 Workshop Date

Workshop Date records the date a workshop commenced. This will auto-populate at the time the workshop is created.

If the workshop is not held on the same date that the workshop record is created, the Workshop Date will need to be over-written with the appropriate date.

Where a workshop occurs over multiple days, the first date of the workshop is to be recorded and appropriate notes documented that describe the timeframe over which the workshop was completed.

Workshop Date is a mandatory field.

5.3.7 Workshop Objectives

Workshop Objectives records what is to be achieved as a result of the workshop. It is a free-text field allowing unlimited characters.

The considerations for Workshop Objectives are further outlined in RSK-WI-001 Application of Risk Management.

Workshop Objectives must be completed when a workshop is conducted.

5.3.8 Background and Context

Background and Context records information that clarifies the nature of the workshop being undertaken. This can include background information, assumptions, qualifications/conditions and critical success factors. It is a free-text field allowing unlimited characters.

The considerations for Background and Context are further outlined in RSK-WI-001 Application of Risk Management.

Background and Context must be completed when a workshop is conducted.

5.3.9 Workshop Scope

Workshop Scope records what is included and excluded from the workshop. It is a free-text field allowing unlimited characters.

The considerations for Workshop Scope are further outlined in RSK-WI-001 Application of Risk Management.

Workshop Scope must be completed when a workshop is conducted.

6 Review Frequency

The Corporate Risk Manager will review and update this guideline if and when amendments are made to data content in the ERMS.

The Group Executive Corporate Services & Safety has responsibility for approving any changes arising from such review.

APPENDIX 1 – INTERIM TRANSITIONAL ARRANGEMENTS

The Enterprise Risk Management System (CGR Foundation) is being progressively implemented through 2018/19.

Project risks not yet transferred into the ERMS will continue to be managed via stand-alone project risk registers until the project has been transitioned into the ERMS, where transition is deemed appropriate, or until the project end. Until the time of transition, this Guideline will not apply to those registers.

Decisions will be made on a case by case basis as to whether project registers will be transitioned into the ERMS.

Information transitioned into the ERMS from the Central Risk Register and various stand-alone project registers and risk assessment documents does not include information for all fields that will become mandatory through the use of the ERMS and this guideline.

Where there is additional information to be populated and/or relationship mapping to be undertaken post transfer into the ERMS, this should be undertaken within six months of the risk owner receiving system training.