

Risk Assessment Criteria					
Risk Rating	Impact		Financial	Control	Likelihood
	Delivery	Reputational			
5 VERY HIGH					
	lead to non delivery of major DfT outcomes such as a failure to deliver a major policy initiative. Failure to deliver a manifesto commitment, Prime Ministerial pledge or high profile Ministerial policy initiative A Secretary of State (SoS) target or customer-facing business plan target will be significantly missed Failure to deliver either domestic or European legislative requirement	Risk events that may lead to strong criticism of the Secretary of State (SoS) by parliament Serious (unwanted or unplanned) disruption to delivery of public service Failure to deliver a manifesto commitment, Prime Ministerial pledge or high profile Ministerial policy initiative A Secretary of State (SoS) target or customer-facing business plan target will be significantly missed Failure to deliver either domestic or European legislative requirement Widespread national public criticism lasting at least a week Events require significant time (e.g. more than 6 months) to restore relationships with other Departments or key stakeholders Significant adverse judicial decisions	affect the DfT's current year annual administrative forecast by £5m. affect the DfT's current year annual programme or capital forecast by £25m. affect an individual spending line within the approved 10 year plan by £50m over at least a 3 year period lead to a new policy initiative or project which is currently outside plan and would cost more than £50m over its lifetime	Outside of DfT Control	90+ % (very high probability that risk will materialise within the stated relevant timescale)
4 HIGH					
	Failure to deliver or late delivery of DG level objectives/targets/milestones	Any (unwanted or unplanned) reasonably serious disruption to delivery of any public service(s) Some national public or media criticism lasting at least a week (not including targeted campaigns on specific issues) Events require significant time (e.g. more than 4 to 6 months) to restore relationships with other Departments or key stakeholders	affect the DfT's current year annual administrative forecast by £2m. affect the DfT's current year annual programme or capital forecast by £3m. affect an individual spending line within the approved 10 year plan by £10m over at least a 3 year period	Outside of DfT Control	67 - 89% (highly likely to happen within the stated relevant timescale)
3 MEDIUM					
	Failure to deliver or late delivery of Directorate level objectives/targets/milestones	Any (unwanted or unplanned) disruption to delivery of any public service(s) Widespread regional / local / specialist public or media criticism lasting at least a week (not including targeted campaigns on specific issues) Events require significant time (e.g. more than 3 to 4 months) to restore relationships with other Departments or key stakeholders	affect the DfT's current year annual administrative or Programme forecast by £1m. £5m to £50m of future DfT forecasts	Within DfT Control	34 - 66% (as likely as not that it will occur within the stated relevant timescale)
2 LOW					
	Failure to deliver or late delivery of Divisional level objectives/targets/milestones	Events require significant time (e.g. more than 2 to 3 months) to restore relationships with other Departments or key stakeholders	5% of Divisional Managers budget	Within RCC Control	11 - 33%(possible but not likely that it will occur within the stated relevant timescale)
1 VERY LOW					
		Any other impacts		Within RCC Control	<11% (quite unlikely that it will occur within the stated relevant timescale)

Exposure calculates automatically. It is a calculation of Impact by Likelihood (and scores out of 25). The Impact number used for the calculation is the highest value entered across the three impact criteria

The Control field is for information only, and is not used in the Exposure calculation

LSER - Project Risk Register
Update - 27/10/2011

Risk Ref	Date reviewed	Risk Owner	Description	Cause	Effect	Proximity	Inherent Risk							Mitigating Actions	Action Owner	Residual Risk							Financial Implications £	Assumptions	Status
							Impact			Likelihood	Control	Exposure	Impact			Likelihood	Control	Exposure							
							Delivery	Reputational	Financial				Impact						Financial	Exposure					
001	15-Aug	Colette Carroll	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXX	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXX.	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXX	Jul-12	4	4	3	4	3	2	12	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX	XXXXXX XXXXXX	3	3	2	3	3	2	9	XXXXXX		Same
002	15-Aug	Colette Carroll	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXX.	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXX.	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXX.	Oct-11	4	3	3	3	3	2	12	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX	XXXXX XXXX	2	3	2	2	3	2	9	XXXXXX		Same
003	13-Sep	Colette Carroll	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XX.	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXX.	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXX	Sep-12	3	3	2	3	2	2	6	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX	XXXXX XXXX / XXXXX XXXX	2	2	1	2	2	2	4	XXXX XXX - XXX XXX		Same
004	27-Oct	Colette Carroll	Poor adverse weather performance - criticism of Southeastern .	Adverse weather and poorly planned and implemented strategies to cope with these adverse conditions. Another winter of Southeastern having difficulties during adverse weather conditions may lead to criticism of the franchise and the Department.	Reputational consequences for Southeastern and DfT. The Ministerial mail bag increases.		2	3	1	3	3	2	9	Southeastern and Network Rail have been working on a number of operational plans to ensure that Southeastern is better prepared and able to cope with adverse winter weather. These plans include the fitment of de-icing modifications to the Electrostar fleet, specific clearance trains for the winter, conductor rail heating and improved communications to passengers. Franchise team to monitor developments through regular franchise management channels.	XXXXX XXXXX	1	3	0	3	2	2	6	£0 Per annum		Same
005	02-Sep	Colette Carroll	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXX.	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXX.	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX.	Sep-12	2	3	1	3	2	2	6	XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXXXXXXXXXXXXXXX XXXXXXX.	XXXXX XXXXX	2	3	1	3	2	2	6	XXXXXXX		Same
							0	0	0	0	0	1	0			0	0	0	0	0	1	0			
							0	0	0	0	0	1	0			0	0	0	0	0	1	0			
							0	0	0	0	0	1	0			0	0	0	0	0	1	0			

X = REDACTED

Likelihood	5 Very High 90+%		Director RCC	Director General	Director General	DfT Board
	4 High 67-89%		Director RCC	Director General	Director General	DfT Board
	3 Medium 34-66%			Director RCC	Director General	DfT Board
	2 Low 11-33%				Director RCC	Director RCC
	1 Very Low <11%					
		Very Low 1	Low 2	Medium 3	High 4	Very High 5
		IMPACT				