



Risk Assessment - Business Risk Register

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 Assessment Approver: Kevin Jarvis

Department: Directors
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Successful operation of the GWSR and associated controls

Type	Hazard Cause	Persons Affected	Control Measures	L S T Overall	Additional Control Measures	L S T Overall	Owner/Action
Finance	Insufficient income generated from ticket revenue, events and supporting revenues Income does not cover al overheads, expenses and loan repayment obligations leading to difficult choices on where to focus spending	Everyone	1) CRITICAL - Administrative: Ticket pricing is regularly reviewed - Effective 2) CRITICAL - Administrative: Annual budget is set - Effective 3) CRITICAL - Administrative: All PO's over £500 approved by FD - Effective 4) CRITICAL - Administrative: Funding support provided by GWSRT grants - Effective 5) CRITICAL - Administrative: Funding support available by share issue - Effective 6) CRITICAL - Administrative: Board receive and review monthly financial report and acted upon - Effective 7) CRITICAL - Administrative: Budget adjusted with forecast outcome - Effective	3 x 5 = 15 High - STOP/DON'T START! Risk to be reduced or controlled, steps taken to reduce risk level.	1) Substitution: Business restructure - Effective 2) Administrative: Shortfalls could be plugged by curtailing operations or fundraising - Effective	2 x 5 = 10 Medium - Risk to be minimised and controlled so far as is reasonably practical.	n/a

Score and Control Measure Notes.

Put explanation in here.
 Explain logic here

Major Infrastructure failure

Type	Hazard Cause	Persons Affected	Control Measures	L S T Overall	Additional Control Measures	L S T Overall	Owner/Action
Strategic / Business	Decayed infrastructure dating from 1906 Lack of preventative maintenance	Everyone	1) Elimination: Less urgent repairs undertaken subject to availability of funding - Effective 2) CRITICAL - Engineering: Regular inspection of bridges, tunnels and culverts undertaken by independent consultants - Effective 3) CRITICAL - Engineering: Emergency repairs receive priority funding - Effective 4) Administrative: Appropriate insurance cover secured if available and cost effective - Effective	3 x 5 = 15 High - STOP/DON'T START! Risk to be reduced or controlled, steps taken to reduce risk level.	1) Elimination: Infrstrucuture / l=draingaige PWay - Effective	2 x 5 = 10 Medium - Risk to be minimised and controlled so far as is reasonably practical.	n/a

Inability to recruit or retain volunteers and/or paid staff

Type	Hazard Cause	Persons Affected	Control Measures	L S T Overall	Additional Control Measures	L S T Overall	Owner/Action
Operations	Competent volunteers required for safety critical roles Ageing volunteers unable to maintain competence or fewer persons prepared to volunteer and undergo training	Volunteers & Staff	1) CRITICAL - Elimination: HoDs advise HR department of recruitment needs - Effective 2) CRITICAL - Elimination: Monthly recruitment meetings organised by GWSR - Effective	3 x 5 = 15 High - STOP/DON'T START! Risk to be reduced or controlled, steps taken to reduce risk level.	None	3 x 2 = 6 Medium - Risk to be minimised and controlled so far as is reasonably practical.	n/a



Gloucestershire Warwickshire Steam Railway Plc
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Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Organisation	Inability to retain or recruit key paid staff with appropriate experience Salary and/or working conditions at a heritage railway unattractive	Volunteers, Staff & Contractors	1) CRITICAL - Elimination: Robust procedure for selection of candidates - Effective 2) CRITICAL - Elimination: Regular review of employment packages while ensuring they are affordable - Effective	3 x	2 =	6	None	3 x	2 =	6	n/a
				Medium - Risk to be minimised and controlled so far as is reasonably practical.				Medium - Risk to be minimised and controlled so far as is reasonably practical.			

Environmental impact of fossil fuels

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Operations	Increasing public awareness of adverse impact of burning fossil fuels Steam engines burn coal and heritage diesel engines burn gas oil	Everyone	1) CRITICAL - Elimination: Offset emissions with sensitive tree planting along railway - Effective 2) CRITICAL - Engineering: Crews trained to optimise coal and diesel consumption - Effective 3) CRITICAL - Engineering: Crews regularly re-assessed as to driving and firing techniques - Effective	3 x	2 =	6	1) Elimination: Assessment of coal substitute fuels undertaken - Effective 2) Elimination: engaging services of environmental specialists - Effective	3 x	2 =	6	n/a
				Medium - Risk to be minimised and controlled so far as is reasonably practical.				Medium - Risk to be minimised and controlled so far as is reasonably practical.			

Coal supplies cut

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Operations	Government determines coal should not be imported or mined Pressure from environmental groups	Everyone	1) CRITICAL - Elimination: Support heritage rail industry representations to Government - Effective 2) CRITICAL - Elimination: Demonstrate benefits of heritage rail to local MPs, councilors - Effective 3) CRITICAL - Elimination: Promote participation in GWSR heritage railway to local community - Effective	2 x	5 =	10	None	2 x	5 =	10	n/a
				Medium - Risk to be minimised and controlled so far as is reasonably practical.				Medium - Risk to be minimised and controlled so far as is reasonably practical.			

Office of Rail and Road inspection

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Health and Safety	ORR inspection identifies major risks leading to enforcement action Volunteers and staff not following Rule Book or established safe working practices (i.e. in workshops)	Volunteers, Staff & Contractors	1) CRITICAL - Elimination: Ensure all volunteers and staff engaged in train operations comply with Rule Book - Effective 2) CRITICAL - Elimination: Ensure volunteers, staff and contractors achieve and maintain appropriate competencies - Effective 3) Elimination: Encourage railway-wide understanding of RM3 - Effective 4) CRITICAL - Elimination: Ensure proposed timetables are reviewed to ensure safe manouvres and protection from fatigue - Effective 5) CRITICAL - Elimination: Process Assurance Manager exchanges current and best practice regularly with ORR inspectors at seminars aimed at larger railways and at binnual meetings organised by Heritage Railway Safety Officers - Effective	2 x	3 =	6	None	2 x	3 =	6	n/a
				Medium - Risk to be minimised and controlled so far as is reasonably practical.				Medium - Risk to be minimised and controlled so far as is reasonably practical.			



Breach of GDPR protocol

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Breach of Law or Regs	Personal data is leaked or passed to an inappropriate individual or organisation Lack of Data Controller undermines effectiveness of legislation from Information Commissioners'Office	Volunteers & Staff	1) CRITICAL - Elimination: Work permit renewal undertaken by Email wherever possible - Effective 2) CRITICAL - Elimination: Personnel records kept in fireproof safe - Effective 3) CRITICAL - Elimination: Online personnel details located under password protection on Sharepoint - Effective 4) CRITICAL - Elimination: Safeguarding records accessible by restricted number of senior managers - Effective 5) CRITICAL - Elimination: Data Privacy Policy in effect to drive compliance with GDPR laws - Effective	2 x	3 =	6	1) Elimination: If volunteer has no home access to wifi, then work permit renewal dealt with in person - Effective	2 x	3 =	6	n/a
				Medium - Risk to be minimised and controlled so far as is reasonably practical.				Medium - Risk to be minimised and controlled so far as is reasonably practical.			

Communication within Railway

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Strategic / Business	Lack of communication between Board, heads of department and volunteers Lack of time / inappropriate matter for communication / communication chain interrupted	Volunteers & Staff	1) CRITICAL - Elimination: Biannual meetings of Directors and HODS - Effective 2) CRITICAL - Elimination: Chairman and/or Finance Director attend department AGMs to brief volunteers and offer Q&A session - Effective 3) Elimination: Board members encouraged to make regular in-person visits to departments during operating season - Effective 4) CRITICAL - Elimination: Volunteer Announcements regularly published communicated to all volunteers with access to WiFi or a PC - Effective 5) CRITICAL - Elimination: Briefings by Chairman and Finance Director given to shareholders at AGM - many volunteers are also shareholders - Effective	2 x	2 =	4	1) Elimination: Introduce Town Hall meetings for all volunteers - Effective	2 x	2 =	4	n/a
				Low - Risk to be monitored to ensure it remains adequately controlled to an acceptable level.				Low - Risk to be monitored to ensure it remains adequately controlled to an acceptable level.			

Major IT failure

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Operations	Loss of Wifi undermines railway operations in areas such as ticketing, rostering, competence management Failure of external supplier, damage to or theft of IT equipment	Everyone	1) CRITICAL - Elimination: All data backed up in the cloud - Effective 2) CRITICAL - Elimination: Copy of data held separately in the cloud for minimum of 7 years - Effective 3) CRITICAL - Elimination: Industry standard hardware can be replaced at relatively short notice - Effective 4) CRITICAL - Elimination: Periodic review of technical performance of existing equipment - Effective 5) CRITICAL - Elimination: Secure electronic access to Wifi equipment in place - Effective 6) CRITICAL - Elimination: Experienced and dedicated IT Manager to manage contracts - Effective	2 x	2 =	4	1) Elimination: Support contracts in place with Wifi and other IT suppliers - Effective	2 x	2 =	4	n/a
				Low - Risk to be monitored to ensure it remains adequately controlled to an acceptable level.				Low - Risk to be monitored to ensure it remains adequately controlled to an acceptable level.			

Breakdown in relations with GWRT



Gloucestershire Warwickshire Steam Railway Plc
Risk Assessment for Business Risk Register - Directors

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Reputation/Shareholder	Trustee Board and GWSR Board have major disagreement Strategy of Trust (pursue museum status) at variance with strategy of GWSR (ensure visitor attraction operates and develops heritage railway in a safe and financially secure manner)	Everyone	1) CRITICAL - Elimination: Chmn and FD from both Trust and GWSR meet - Effective 2) CRITICAL - Elimination: GWSR Articles permit Trust to nominate a director to GWSR Board, subject to appropriate vetting by GWSR Chm - Effective	2 x	3 =	6	None	2 x	3 =	6	n/a

Safeguarding procedures

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Breach of Law or Regs	Inadequate safeguarding fails to ensure appropriate controls over vulnerable volunteers Failure to ensure all safeguarding procedures followed	Everyone	1) CRITICAL - Elimination: GWSR Safeguarding Manager appointed - Effective 2) CRITICAL - Elimination: Safeguarding Manager ensures compliance with safeguarding legislation and best practice - Effective 3) CRITICAL - Elimination: Written policies and procedures in place subject to review every 3 years - Effective 4) CRITICAL - Elimination: In house recruitment team actively manage safeguarding requirements when volunteer joins railway - Effective 5) CRITICAL - Elimination: Deputy Safeguarding Officer works with Gloucestershire County Council for DBS registration - Effective 6) CRITICAL - Elimination: All volunteers interacting with children are DBS checked - Effective	2 x	2 =	4	None	2 x	2 =	4	n/a

Volunteers and/or visitors stay away from Railway

Type	Hazard Cause	Persons Affected	Control Measures	L Overall	S	T	Additional Control Measures	L Overall	S	T	Owner/Action
Strategic / Business	Economic impact of war between USA and Israel with Iran	Everyone	1) CRITICAL - Administrative: Monthly recruitment meetings organised by GWSR - Effective	4 x	4 =	16	1) Elimination: Regular assessment of volunteer availability - Effective 2) Elimination: Phased reduction in railway operations if insufficient paying passengers to keep railway viable - Effective 3) Elimination: Phased relaunch of railway operations including potential timetable adjustments dependent on volunteer availability, financial viability and visitor appetite, when hostilities have ended - Effective	4 x	4 =	16	n/a

COSHH Assessments

There are no COSHH assessments associated with this risk assessment.
 Ends