Risk matrix / risk register

Document type USW-A-011 · Report · Substation (AIS/GIS) · Template version 1.60

1 · IDENTITY (from LAD catalog)

Discipline / cluster	Substation (AIS/GIS)
Document class	Report
Render / content mode	Structure
Standard reference	Finance Act 1998; Planning Act 2008; HSWA 1974; Companies Act 2006; BS EN IEC 61936-1; Electricity Act 1989; EIA Regulations 2017
Recommended format	Excel (XLSX) — tables/measured values
Blueprint status	Deep spec. (USW)

1b · LEGAL BASES (atomized)

Technical standard / technical rule	BS EN 13306
Procedure / evidence	PUWER 1998, reg. 6; Ofgem RIIO-ET3
Retention (records)	Companies Act 2006, s. 3 88

2 · DOCUMENT CONTROL (• = mandatory)

• Project number	
• Project title	
Plant / site / bay	
Component / designation (KKS)	
• Document number	
• Revision / version	
Document status	
• Date	
• Client / operator	
• Contractor / author	

3 · NOTES

- Only cells marked cream are inputs (unlocked); examples appear as tooltips.
- Export: use the file name suggestion (below); export evidence as PDF/A.
- Retention period/legal basis according to LAD metadata/sidecar (DMS).

4 · COLOR LEGEND

Cell roles	Input (to be completed)	Catalog / fixed value	**Section / header**

5 · AUTOMATION & EXPORT AID

Document no. (suggestion)	—
File name (suggestion)	LAD_USW-A-011_R00_Draft.xlsx
Status	open
Open mandatory fields	**7 of 7 open**

DMS resolver · QR · license

DMS resolver	https://dms.sample.example/r/template/USW-A-011
Licensee	Sample Network Operator Ltd
Scan → DMS object	QR on the right leads to the document in the DMS

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Risk matrix / risk register

1 · Key data

• Register status	
• Number of risks (open/closed)	
• Top risks	
• Risk manager	
• Date	

Table: risk register

No.	Risk	Cause	Gross I	Gross P	Gross score	Action	Net I	Net P	Net score	Owner	Deadline	Trend	Status

Check / mandatory points

No.	Check / mandatory point	Target / standard	Actual / result	fulfilled	Remark
1	every risk with owner & measure				
2	Assessment traceable (scales defined)				
3	Long lead times (transformer, GIS) tracked as standard risks				
4	Trend documented per review				

Approval / signatures

Role	Name	Date	Signature
Author			
Reviewer			
Quality assurance			
Approval			

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GOVERNANCE & V2 · USW-A-011

Standard references (canonicalized)

- Finance Act 1998, Sch. 18, para. 21 · UK legislation · «Edition/status __» · «Reason for application __»
- Planning Act 2008 (NSIP) · UK legislation · «Edition/status __» · «Reason for application __»
- Health and Safety at Work etc. Act 1974 · UK legislation · «Edition/status __» · «Reason for application __»
- Companies Act 2006, s. 388 · UK legislation · «Edition/status __» · «Reason for application __»
- BS EN IEC 61936-1 · BSI · «Edition/status __» · «Reason for application __»
- Electricity Act 1989, s. 37 · UK legislation · «Edition/status __» · «Reason for application __»
- Infrastructure Planning (EIA) Regulations 2017 · UK legislation · «Edition/status __» · «Reason for application __»

Every standard with edition and reason for application. Without the edition, the reference cannot be verified.

Roles / responsibilities (RACI)

Process step	R / A / C / I
Create	R=document owner, C=plant manager, I=operator
Review	R=reviewer, A=document owner, C=asset owner
Approve	A=approver, I=operator, I=asset owner
Apply	R=person responsible for work, C=plant manager
Update	R=document owner, A=asset owner «confirm role assignment according to organisation»

Digital references (digital twin)

- Filed in ELO

Quality indicators

Indicator	Value
Completeness	«__ %» of mandatory fields completed
Currency	Days since last revision «__»
Approval status	Draft/reviewed/approved
Last revision	«DD.MM.YYYY»
Next revision	«DD.MM.YYYY»
Open points	Number «__»

Interfaces (process chain)

Direction	DocTypes
Upstream	USW-A-005, USW-A-012, USW-A-013, USW-AR-002
Downstream	USW-A-012, USW-A-013, USW-AF-001

Compliance checkpoints

- Fully completed
- Signed (author, reviewer, approver)
- Versioned and uniquely identified
- Operator approval granted
- Archived in an audit-proof manner
- Metadata complete (DocType ID, plant, status)

Retention and revision

Retention: «__ years» after report date

Revision: none; continued as follow-up report

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Revision history

Rev	Date	Description	Author	Approval
00		Initial issue (template)		

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