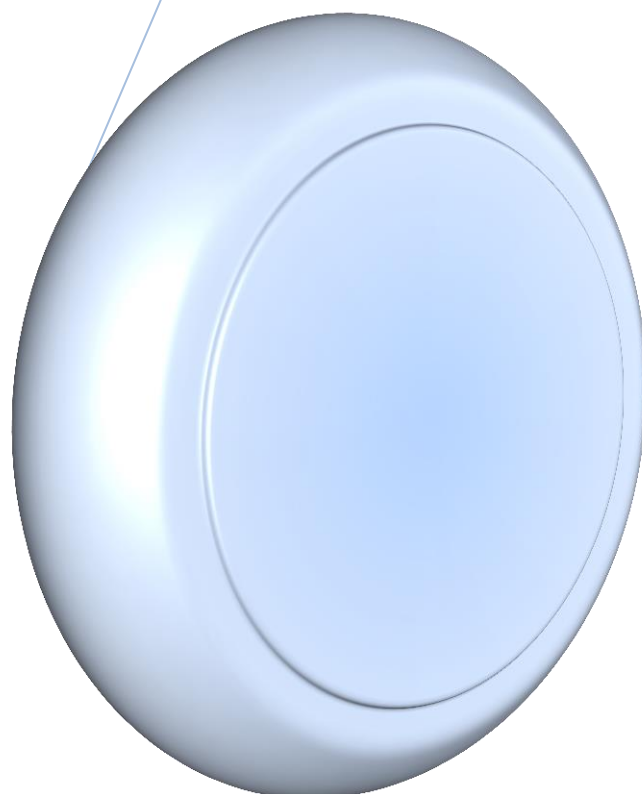


Excel Risk Register

HSE

Instructions for the use of the HSE Excel Risk
Register Version 2

Quality Assurance and Verification Division
1/1/2018

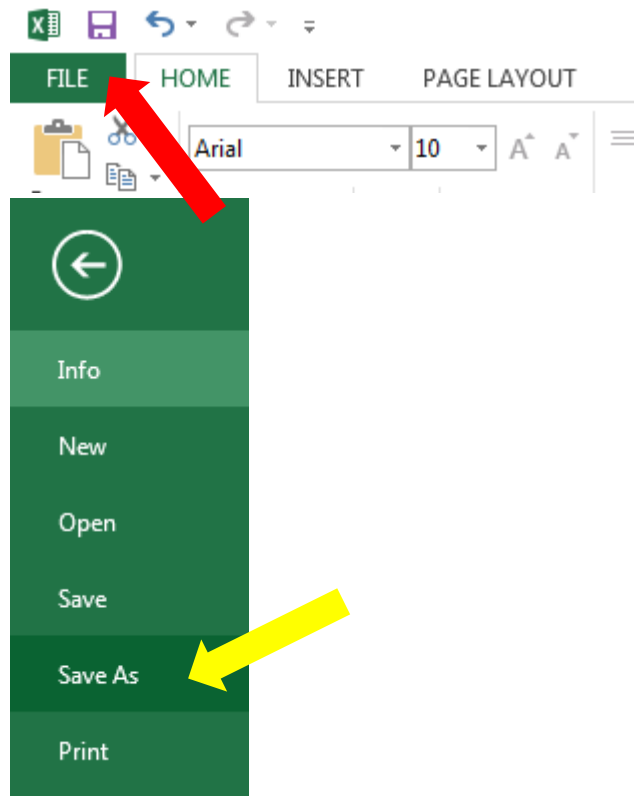


A. Table of Contents

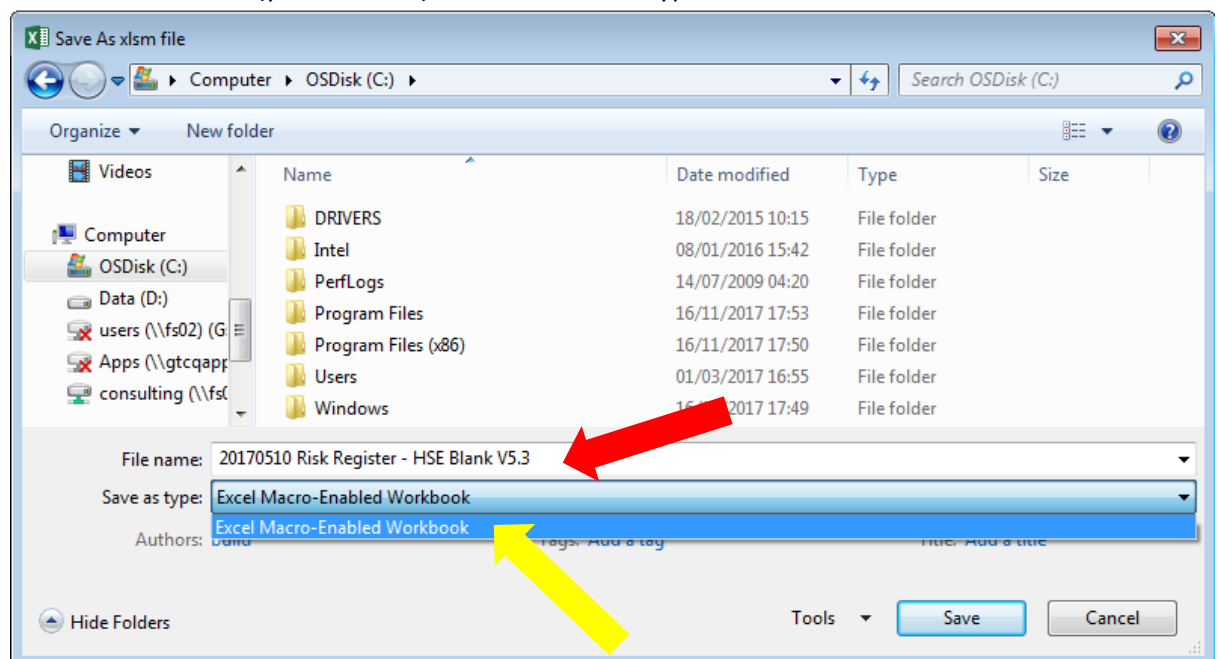
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B. Preparing the Risk Register:

1. Download from Website.
2. Save the file by clicking 'File' (red arrow), then clicking 'Save As' (yellow arrow), at which point the 'Save As' window will open.



3. Enter the File name in the 'File name' field (red arrow), and then select "Excel Macro-Enabled Workbook" (yellow arrow) from the 'Save as type' field.



- With the file saved, select the “Basic Details” worksheet by clicking it (red arrow).




- Navigate to cell ‘B7’ to the ‘Division’ field (red arrow), and input the Division for which the Risk Register represents.

	A	B
1	 Feidhmeannacht na Seirbhíse Sláinte Health Service Executive	
2		
3		
4		
5		
6	Risk Register	
7	Division:	Acute Hospitals Division 
8		
9		
10	Risk Register Owner:	
11	Month:	
12		
13	Report	Unlock Lock Spellcheck
14		

- If the Risk Register is to be used at the next level down, select cell ‘A8’ and use the dropdown menu to select from the dropdown (red arrow). Then select cell ‘B8’, and input the organisation the Risk Register will represent (yellow arrow).

	A	B
1	 Feidhmeannacht na Seirbhíse Sláinte Health Service Executive	
2		
3		
4		
5		
6	Risk Register	
7	Division:	Acute Hospitals Division
8	<div>  </div> <div> Hospital Group: Community Healthcare Organisation: Nationally Delivered Service: </div>	
9		
10	Risk Register Owner:	
11	Month:	
12		
13	Report	Unlock Lock Spellcheck
14		

- If the Risk Register is to be used at a further level down, select cell 'A9' and use the dropdown menu to select from the dropdown (red arrow). Then select cell 'B9', and input the organisation the Risk Register will represent (yellow arrow).

	A	B
1		
2	Feidhmeannacht na Seirbhíse Sláinte	
3	Health Service Executive	
4		
5		
6	Risk Register	
7	Division:	Acute Hospitals Division
8	Hospital Group:	Saolta Hospital Group
9	Hospital:	
10	Directorate:	
11	Month:	
12		
13	<input type="button" value="Report"/> <input type="button" value="Unlock"/> <input type="button" value="Lock"/> <input type="button" value="Spellcheck"/>	
14		

- Navigate to cell 'B10' (red arrow) and input the name of the individual who is ultimately responsible for the Risk Register.

	A	B
1		
2	Feidhmeannacht na Seirbhíse Sláinte	
3	Health Service Executive	
4		
5		
6	Risk Register	
7	Division:	Acute Hospitals Division
8	Hospital Group:	Saolta Hospital Group
9	Hospital:	University Hospital Galway
10	Risk Register Owner:	John Smith
11	Month:	
12		
13	<input type="button" value="Report"/> <input type="button" value="Unlock"/> <input type="button" value="Lock"/> <input type="button" value="Spellcheck"/>	
14		

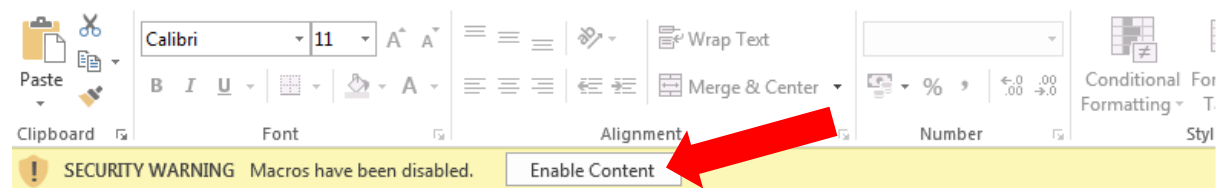
- Each risk will be assigned an alphanumeric ID. The alpha component of the ID is generated combining the initial letters of the Division and other fields above i.e. in the above example the alphanumeric ID will be AHDSHGUHG1, AHDSHGUHG2 etc.
- Preparation of the Risk Register is now complete.

C. General Information

The Risk Register is comprised of 6 separate excel worksheets. Below is a description of each worksheet:

1. Basic Details: This worksheet contains information regarding the unit in which owns the Risk Register, and the month of the reporting period.
2. Dashboard: This worksheet will contain graphical representation of data as it is entered.
3. Summary: This worksheet will contain a summary of all risks with a status of open, monitor or closed.
4. Risk Register: This worksheet is the worksheet for data input of information related to risks and existing controls.
5. Risk Action Log: This worksheet is the worksheet for data input of information related to risk actions.
6. Closed Risks: This worksheet will contain a historic list of closed risks.

Each time you open the Risk Register excel file, certain functionality will be automatically disabled. You will need to enable this content each time you open the file. Do this by clicking the “Enable Content” button that appears on the Security Warning ribbon (red arrow).




D. Changing the Branding – (S38 and S39 Agencies version ONLY)

1. Select the “Basic Details” worksheet by clicking it (red arrow).



2. Locate and click the “Unlock” button (red arrow).

	A	B
1		
2	Feidhmeannacht na Seirbhíse Sláinte	
3	Health Service Executive	
4		
5		
6	Risk Register	
7	Division:	
8		
9		
10	Risk Register Owner:	
11	Month:	
12		
13	Report	Unlock
14	Lock	Spellcheck
15		
16		
17		
18		

3. Now you can select the HSE logo, delete as required, and replace with a new logo. You can also select cells A6:A11 and change the colour to better reflect departmental branding. The colour of header cells in sheets “Summary”, “Risk Register”, “Risk Action Log” and “Closed Risks” can also be changed to reflect departmental branding.
4. Once all changes have been made, go to “Basic Details” sheet.
5. Locate and press the “Lock” button.

10	Risk Register Owner:	
11	Month:	
12		
13	Report	Unlock
14	Lock	Spellcheck
15		

E. Adding New Risk Owner

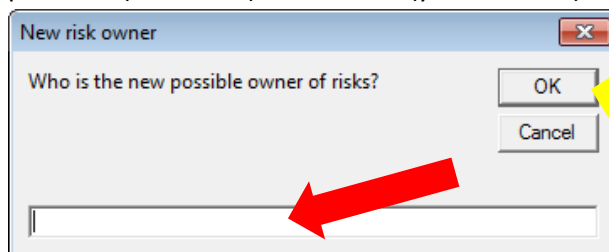
1. Select the “Risk Register” worksheet by clicking it (red arrow).

Basic Details	Dashboard	Summary	Risk Register	Risk Action Log	Closed ...	+	:
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2. Above the 'Risk Owner' heading, locate and click the '+' button (red arrow) and this will open the 'New risk owner' window.



3. In the 'New risk owner' window, input the name of the possible owner of risks in the field provided (red arrow) and click ok (yellow arrow).



4. The inputted name will now appear on the 'Risk owner' dropdown.

F. Adding New Risk Co-ordinator

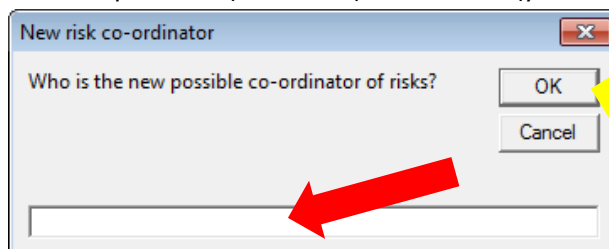
1. Select the "Risk Register" worksheet by clicking it (red arrow).



2. Above the 'Risk Co-ordinator' heading, locate and click the '+' button (red arrow) and this will open the 'New risk co-ordinator' window.



3. In the 'New risk co-ordinator' window, input the name of the possible co-ordinator of risks in the field provided (red arrow) and click ok (yellow arrow).



4. The inputted name will now appear on the 'Risk co-ordinator' dropdown.

G. Entering New Risks: (NB: - All risks have to be entered on the spreadsheet using the New Risk radio button)

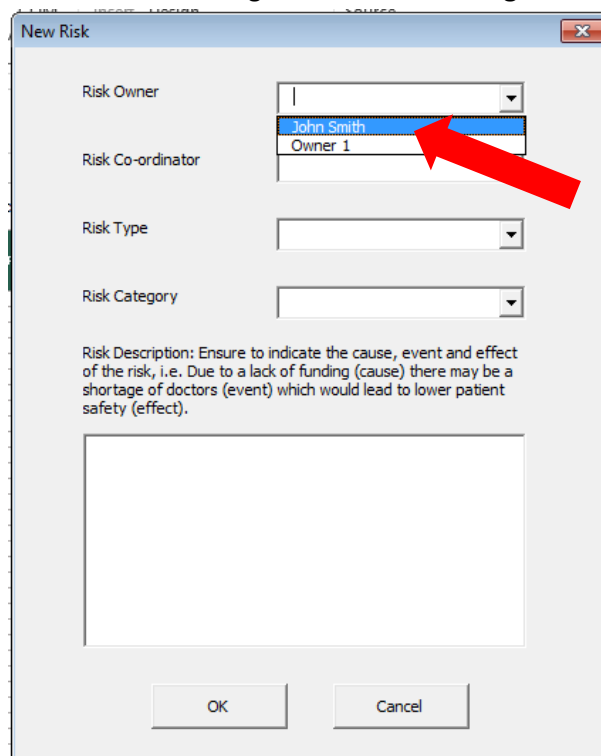
1. Select the “Risk Register” worksheet by clicking it (red arrow).



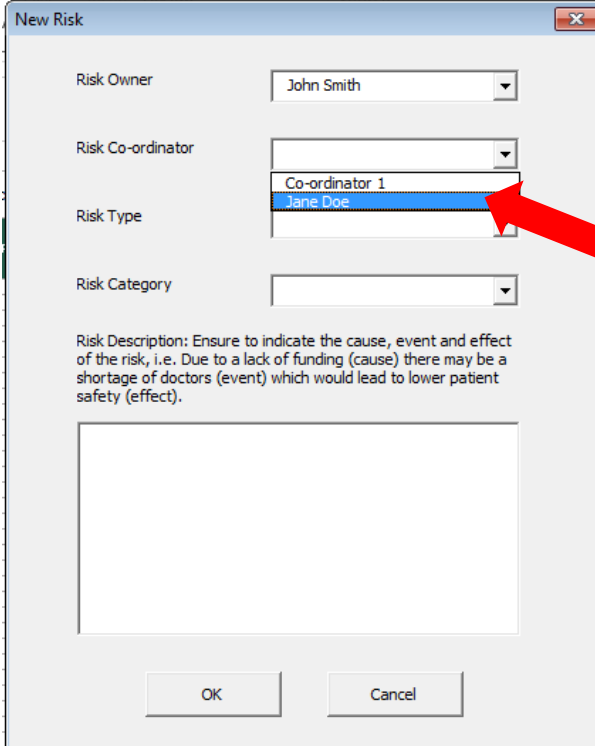
2. To input a new risk, locate and click on the “New Risk” button (red arrow) and this will open the ‘New risk’ window.



3. In the ‘New Risk’ window, select the risk owner from the dropdown menu in the ‘Risk Owner’ field (red arrow). If the adequate person is not included in the dropdown, click the ‘Cancel’ button and go to Section **E Adding New Risk Owner** on page 6.



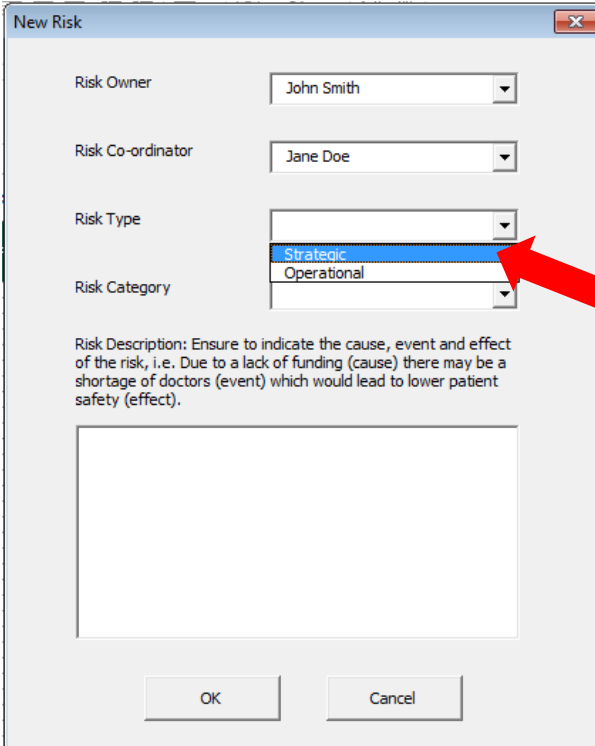
4. Select the risk co-ordinator from the dropdown menu in the 'Risk Co-ordinator' field (red arrow). If the adequate person is not included in the dropdown, click the 'Cancel' button and go to section **F: Adding New Risk Co-ordinator** on page 7.



The 'New Risk' dialog box contains the following fields and options:

- Risk Owner:** John Smith
- Risk Co-ordinator:** Co-ordinator 1, Jane Doe (selected by red arrow)
- Risk Type:** (empty dropdown)
- Risk Category:** (empty dropdown)
- Risk Description:** Ensure to indicate the cause, event and effect of the risk, i.e. Due to a lack of funding (cause) there may be a shortage of doctors (event) which would lead to lower patient safety (effect).
- Buttons:** OK, Cancel

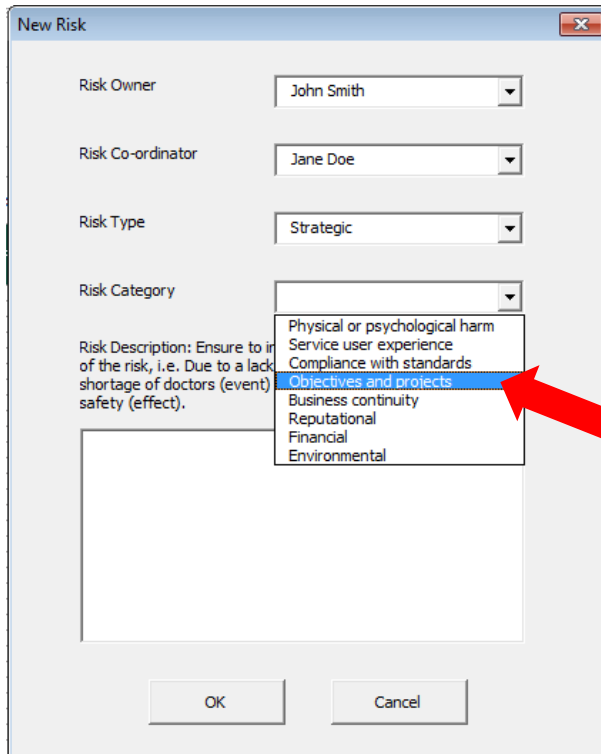
5. Select the risk type from the dropdown menu in the 'Risk Type' field (red arrow).



The 'New Risk' dialog box contains the following fields and options:

- Risk Owner:** John Smith
- Risk Co-ordinator:** Jane Doe
- Risk Type:** Strategic, Operational (selected by red arrow)
- Risk Category:** (empty dropdown)
- Risk Description:** Ensure to indicate the cause, event and effect of the risk, i.e. Due to a lack of funding (cause) there may be a shortage of doctors (event) which would lead to lower patient safety (effect).
- Buttons:** OK, Cancel

6. Select the risk category from the dropdown menu in the 'Risk Category' field (red arrow). The options included in the dropdown menu are aligned to the impact table of the HSE Risk Policy.



New Risk

Risk Owner: John Smith

Risk Co-ordinator: Jane Doe

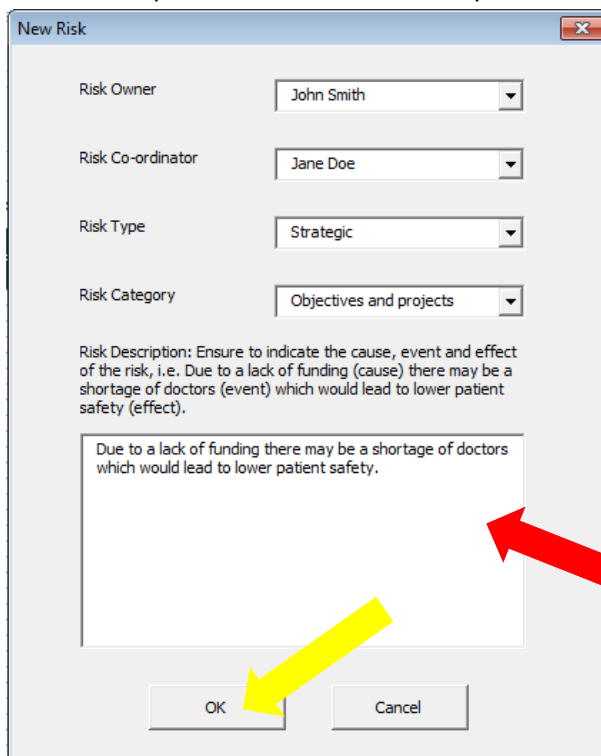
Risk Type: Strategic

Risk Category: **Objectives and projects**

Risk Description: Ensure to indicate the cause, event and effect of the risk, i.e. Due to a lack of funding (cause) there may be a shortage of doctors (event) which would lead to lower patient safety (effect).

OK Cancel

7. Input the risk description into the 'Risk Description' field (red arrow). Ensure to follow the instructions provided for the risk description. Finally, click the 'OK' button (yellow arrow)



New Risk

Risk Owner: John Smith

Risk Co-ordinator: Jane Doe

Risk Type: Strategic

Risk Category: Objectives and projects

Risk Description: Ensure to indicate the cause, event and effect of the risk, i.e. Due to a lack of funding (cause) there may be a shortage of doctors (event) which would lead to lower patient safety (effect).

Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.

OK Cancel

- The inputted information will now appear on the “Risk Register” worksheet. The date entered will auto-populate into column ‘G’ (red arrow), and the risk status will default to ‘Open’ in column ‘M’ (yellow arrow).

1	A	B	C	D	E	F	G	H	I	J	K	L	M
2	New Risk Closed Risk Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway New Control t Delete Sub-registers												
3													
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Criteria	Primary Risk Category	Risk Description	Date Entered	Existing Controls	Review	Risk Status			
5	UHG1	John Smith	Jane Doe	Strategic	Objectives and projects	Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety	19-Jun-16						Open

- Certain information will now also appear on the “Risk Action Log” worksheet (red arrow) and the “Summary” worksheet (yellow arrow).

1	A	B	C	D	E	F	G	H
2	Risk Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway, John							
3	<div> <div>New Action</div> <div>Delete</div> </div>							
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Description	Risk Status	Actions From	Action Owner	Action Due Date
5	UHG1	John Smith	Jane Doe	Due to a lack of funding there may be a shortage of	Open			

1	A	B	C	D	E	F	G	H	I
2	Unique ID	Risk Owner	Risk Co-ordinator	Risk Description	Date Entered	Date Reviewed	Current Risk	Risk Status	Risk Rating Change
3	UHG1	John Smith	Jane Doe	Due to a lack of funding there may be a shortage of	19-Jun-16			Open	

H. Editing a Risk

- Select the “Risk Register” worksheet by clicking it (red arrow). Risks cannot be edited in any other worksheet besides “Risk Register”.

Basic Details	Dashboard	Summary	Risk Register	Risk Action Log	Closed ...	+
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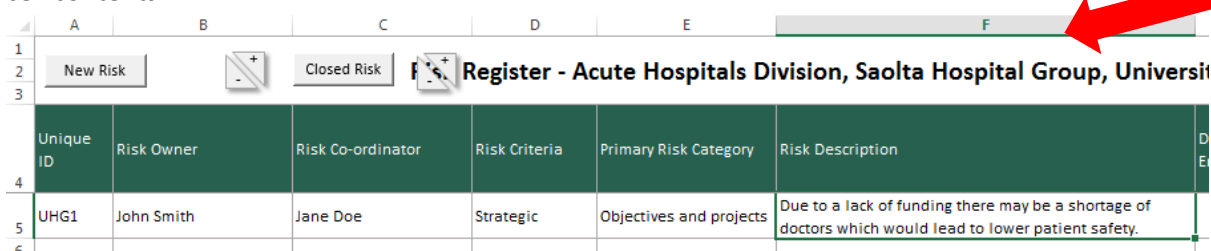
- To edit the risk owner, risk co-ordinator, risk criteria or risk category, select the applicable cell, and click the dropdown icon which appears (red arrow).

1	A	B	C	D	E
2	<div> <div>New Risk</div> <div>Closed Risk</div> </div>				
3	Register - Acute Hospitals Division, Saolta				
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Criteria	Primary Risk Category
5	UHG1	John Smith	Jane Doe	Strategic	Objectives and projects

- Select and click the adequate option from the dropdown menu (red arrow).

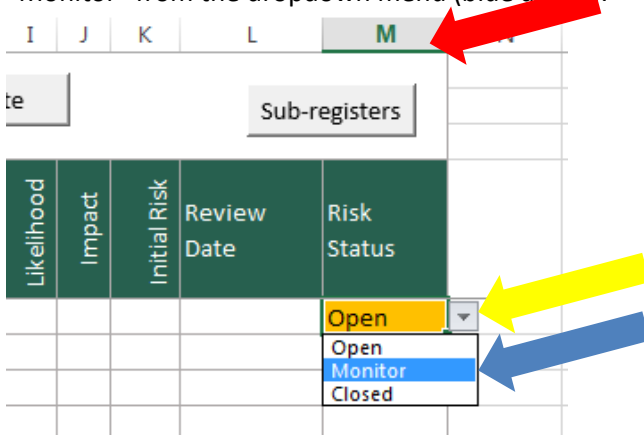
1	A	B	C	D	E
2	<div> <div>New Risk</div> <div>Closed Risk</div> </div>				
3	Register - Acute Hospitals Division				
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Criteria	Primary Risk Category
5	UHG1	John Smith	Jane Doe	Strategic	Objectives and projects
6					Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety
7					Physical or psychological harm
8					Service user experience
9					Compliance with standards
10					Objectives and projects
11					Business continuity

- To edit the risk description select the applicable cell in column 'F' (red arrow) and edit the cell contents.



	A	B	C	D	E	F
1						
2	New Risk		Closed Risk	Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway		
3						
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Criteria	Primary Risk Category	Risk Description
5	UHG1	John Smith	Jane Doe	Strategic	Objectives and projects	Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.
6						

- To update the status of the risk to "Monitor" by selecting the appropriate cell in column 'M' (red arrow), clicking the dropdown icon which appears (yellow arrow) and selecting "Monitor" from the dropdown menu (blue arrow).



	I	J	K	L	M
1					
2					
3					
4	Likelihood	Impact	Initial Risk	Review Date	Risk Status
5					Open
6					Open
7					Monitor
8					Closed

- Any edits made to the "Risk Register" worksheet will be replicated to the "Risk Action Log" and "Summary" worksheets.

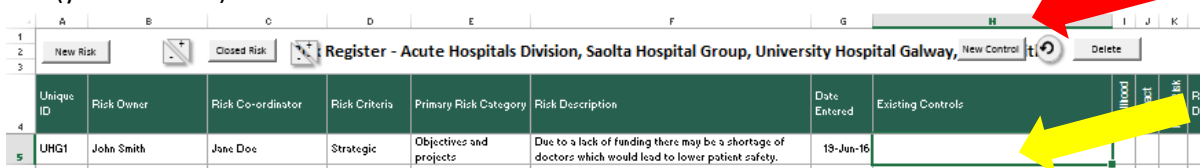
I. Adding an Existing Control

- Select the "Risk Register" worksheet by clicking it (red arrow).



Basic Details	Dashboard	Summary	Risk Register	Risk Action Log	Closed ...	+
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- If inputting the first existing control to the risk, continue to step 3. If inputting an additional existing control to the risk, skip to step 5.
- Select the first available cell in column 'H' (red arrow) in the row related to the applicable risk (yellow arrow).



	A	B	C	D	E	F	G	H	I	J	K
1											
2	New Risk		Closed Risk	Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway							
3											
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Criteria	Primary Risk Category	Risk Description	Date Entered	Existing Controls			
5	UHG1	John Smith	Jane Doe	Strategic	Objectives and projects	Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.	19-Jun-16				
6											

- Input the existing control in that cell.

- If an additional existing control is required, select the cell of the most previous control in the example below 'H5' (red arrow). Locate and click the "New Control" button (yellow arrow).

1	A	B	C	D	E	F	G	H	I	J	K	L	M
2	Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway New Control Delete Sub-registers												
3													
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Criteria	Primary Risk Category	Risk Description	Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
5	UHG1	John Smith	Jane Doe	Strategic	Objectives and projects	Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.	19-Jun-16	Existing control 1.					Open

- This will merge cells in adjacent columns, but will allow 2 rows of cells in column 'H' as shown below. If the correct cell was not selected in step 5, and the cells do not merge as shown below, locate and click the '↺' button (red arrow); this will reverse the action and start again at step 5.

1	A	B	C	D	E	F	G	H	I	J	K	L	M
2	Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway New Control Delete Sub-registers												
3													
4	Unique ID	Risk Owner	Risk Co-ordinator	Risk Criteria	Primary Risk Category	Risk Description	Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
5	UHG1	John Smith	Jane Doe	Strategic	Objectives and projects	Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.	19-Jun-16	Existing control 1.					Open
6													

J. Initially Rating a Risk – (This is the rating at original date of risk assessment)

- Select the "Risk Register" worksheet by clicking it (red arrow).

Basic Details	Dashboard	Summary	Risk Register	Risk Action Log	Closed ...	+	-
---------------	-----------	---------	---------------	-----------------	------------	---	---

- To input the likelihood rating from 1-5 select the appropriate cell in column 'I' and click the dropdown icon which appears (yellow arrow).

G	H	I	J	K	L	M
University Hospital Galway New Control Delete Sub-registers						
Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
19-Jun-16	Existing control 1.					Open
	Existing control 2.					
	Existing control 3.					
	Existing control 4.					

- Select and click the adequate rating from the dropdown menu (red arrow).

G	H	I	J	K	L	M
University Hospital Galway New Control Delete Sub-registers						
Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
19-Jun-16	Existing control 1.					Open
	Existing control 2.	1				
	Existing control 3.	2				
	Existing control 4.	3				
		4				
		5				

- To input the impact rating from 1-5 select the appropriate cell in column 'J' and click the dropdown icon which appears (yellow arrow).

City Hospital Galway		New Control	Delete	Sub-registers
Date Entered	Existing Controls	Likelihood	Impact	Initial Risk
19-Jun-16	Existing control 1.	4	<div>▼</div>	Open
	Existing control 2.			
	Existing control 3.			
	Existing control 4.			

- Select and click the adequate rating from the dropdown menu (red arrow).

City Hospital Galway		New Control	Delete	Sub-registers
Date Entered	Existing Controls	Likelihood	Impact	Initial Risk
19-Jun-16	Existing control 1.	4	<div>▼</div>	Open
	Existing control 2.			
	Existing control 3.			
	Existing control 4.			

- The initial risk rating will then be calculated and inputted to the appropriate cell in column 'K'. The colouring will also represent the severity of the risk rating; Green = Low; Amber = Medium; Red = High.

City Hospital Galway		New Control	Delete	Sub-registers
Date Entered	Existing Controls	Likelihood	Impact	Initial Risk
19-Jun-16	Existing control 1.	4	5	20
	Existing control 2.			
	Existing control 3.			
	Existing control 4.			

K. Risk Review Date – (This is the date that the risk is due for review/reassessment)

- The 'Risk Review Date' field is located on the "Risk Register" worksheet (red arrow), in column 'L' (yellow arrow).

Basic Details	Dashboard	Summary	Risk Register	Risk Action Log	Closed ...
---------------	-----------	---------	---------------	-----------------	------------

Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
19-Jun-16	Existing control 1. Existing control 2. Existing control 3. Existing control 4.	4	5	20		Open

- The risk review date is the date the risk was most recently reviewed. To input the date, select the appropriate cell in column 'L' and input the date in the dd/mm/yyyy format.

Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
19-Jun-16	Existing control 1. Existing control 2. Existing control 3. Existing control 4.	4	5	20	1-Jun-16	Open

L. Adding New Action Owner

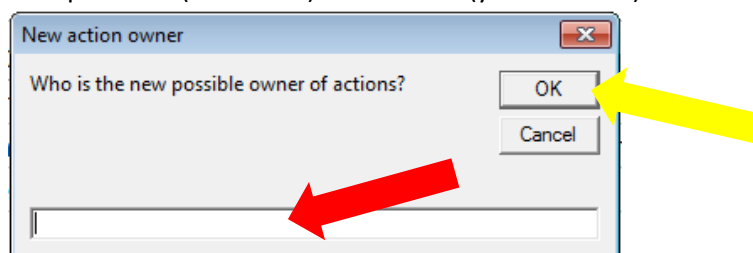
- Select the "Risk Action Log" worksheet by clicking it (red arrow).



- Above the 'Action Owner' heading, locate and click the '+' button (red arrow) and this will open the 'New Action Owner' window.



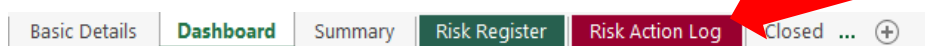
- In the 'New action owner' window, input the name of the possible owner of actions in the field provided (red arrow) and click ok (yellow arrow).



- The inputted name will now appear on the 'Action owner' dropdown.

M. Adding an Action

1. Select the “Risk Action Log” worksheet by clicking it (red arrow).



2. If inputting the first action to the risk, continue to step 3. If inputting an additional action to the risk, skip to step 8.
3. Select the first available cell in column ‘F’ (red arrow) in the row related to the applicable risk (yellow arrow).

Risk Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway, John								
Unique ID	Risk Owner	Risk Co-ordinator	Risk Description	Risk Status	Actions Required		Action Owner	Action Due Date
UHG1	John Smith	Jane Doe	Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.	Open				

4. Input the action required in that cell.
5. To input the action owner select the associated cell in column ‘G’, and select the action owner from the dropdown menu (red arrow). If the adequate person is not included in the dropdown, go to section L: **Adding New Action Owner** on page 15.

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status	Action Update	Likelihood	Impact	Current Risk
Open	Action 1.								

6. To input the action due date select the associated cell in column ‘H’ (red arrow), and input the due date in the format dd/mm/yyyy.

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status	Action Update	Likelihood	Impact	Current Risk
Open	Action 1.	Jane Doe							

7. The Action status will auto-populate based on the action due date, action completion date and today’s date.
With no action completion date, and an action due date in the future, the status will be ‘Not due’ (red arrow).

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status	Action Update	Likelihood	Impact	Current Risk
Open	Action 1.	Jane Doe	31-Dec-16		Not due				

With no action completion date, and an action due date in the past, the status will be ‘Overdue’ (yellow arrow).

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status	Action Update	Likelihood	Impact	Current Risk
Open	Action 1.	Jane Doe	1-Jan-16		Overdue				

When an action completion date has been entered, the status will be 'Complete' (blue arrow).

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status	Action Update	Likelihood	Impact	Current Risk
Open	Action 1.	Jane Doe	1-Jan-16	1-Jan-16	Complete				

8. If an additional action is required, select the cell of the most previous action; in the example below 'F5' (red arrow). Locate and click the "New Action" button (yellow arrow).

Unique ID	Risk Owner	Risk Co-ordinator	Risk Description	Risk Status	Actions Required	Action Owner	Action Due Date
UHG1	John Smith	Jane Doe	Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.	Open	Action 1.		

9. This will merge cells in adjacent columns, but will allow 2 rows of cells in column 'F', 'G', 'H', 'I', 'J', and 'K' as these columns are related to actions, as shown below. If the correct cell was not selected in step 7, and the cells do not merge as shown below, locate and click the '↺' button (red arrow); this will reverse the action and start again at step 7.

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status	Action Update	Likelihood	Impact	Current Risk
Open	Action 1.								

N. Current Risk Rating - (A point in time Risk Rating)

1. Select the "Risk Action Log" worksheet by clicking it (red arrow).

Basic Details	Dashboard	Summary	Risk Register	Risk Action Log	Closed ...	+
---------------	-----------	---------	---------------	-----------------	------------	---

2. To input the likelihood rating from 1-5 select the appropriate cell in column 'L' and click the dropdown icon which appears (yellow arrow).

	K	L	M	N
Action Update		Likelihood	Impact	Current Risk

3. Select and click the adequate rating from the dropdown menu (red arrow).

	K	L	M	N
Action Update		Likelihood	Impact	Current Risk

4. To input the impact rating from 1-5 select the appropriate cell in column 'M' and click the dropdown icon which appears (yellow arrow).

	K	L	M	N
Action Update		Likelihood	Impact	Current Risk

5. Select and click the adequate rating from the dropdown menu (red arrow).

	K	L	M	N
Action Update		Likelihood	Impact	Current Risk

6. The current risk rating will then be calculated and inputted to the appropriate cell in column 'K'. The colouring will also represent the severity of the risk rating; Green = Low; Amber = Medium; Red = High.

	K	L	M	N
Action Update		Likelihood	Impact	Current Risk

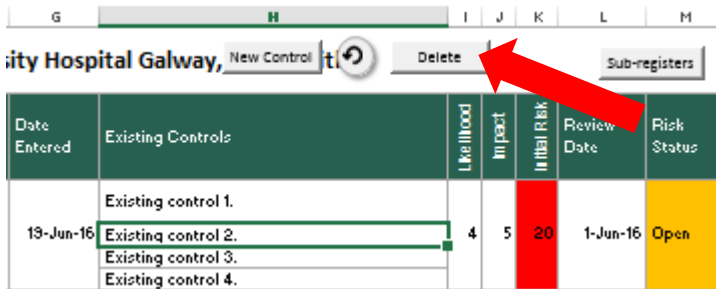
O. Deleting a Control

1. Select the “Risk Register” worksheet by clicking it (red arrow).



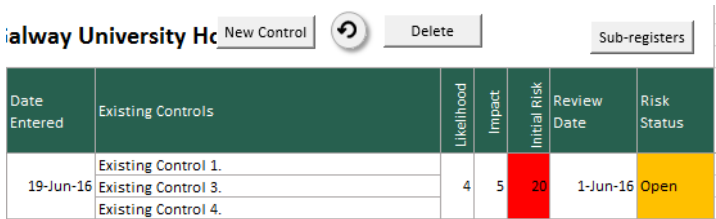
2. Locate and select the cell containing the existing control you wish to delete in column ‘H’.

3. Locate and click the ‘Delete’ button (red arrow).



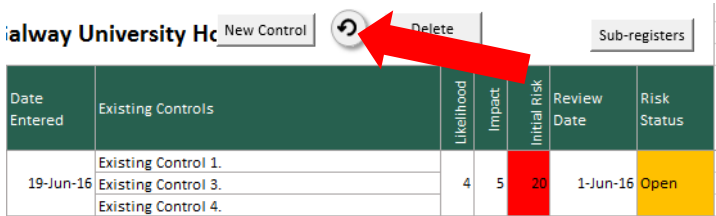
Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
13-Jun-16	Existing control 1.	4	5	20	1-Jun-16	Open
	Existing control 2.					
	Existing control 3.					
	Existing control 4.					

4. This will delete the existing control selected.



Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
19-Jun-16	Existing Control 1.	4	5	20	1-Jun-16	Open
	Existing Control 3.					
	Existing Control 4.					

5. If the correct control was not selected in step 2, locate and click the ‘↺’ button (red arrow); this will reverse the action and start again at step 2.





Date Entered	Existing Controls	Likelihood	Impact	Initial Risk	Review Date	Risk Status
19-Jun-16	Existing Control 1.	4	5	20	1-Jun-16	Open
	Existing Control 3.					
	Existing Control 4.					

P. Deleting an Action

1. Select the “Risk Action Log” worksheet by clicking it (red arrow).





2. Locate and select the cell containing the action you wish to delete in column 'F'.
3. Locate and click the 'Delete' button (red arrow).

Hospital Galway, John New Action  **Delete** 



Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status
Open	Action 1.	Jane Doe	31-Dec-16		Not due

4. This will delete the action selected.

versity Hospital, New Action  **Delete** 

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status
Open					

5. If the correct control was not selected in step 2, locate and click the '↺' button (red arrow); this will reverse the action and start again at step 2.

versity Hospital, New Action  **Delete** 

Risk Status	Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status
Open					

Q. Preparing Sub-registers to send to Risk Co-ordinators

Note: This activity should be carried out two weeks prior to the report issuance date to allow ample time for co-ordinators to complete their updates, and for their updates to be reflected on the Master-register.

1. When preparing for a report, select the "Basic Details" worksheet by clicking it (red arrow).

Basic Details **Dashboard** Summary Risk Register Risk Action Log Closed ... 



2. Select cell 'B11' and enter the date of the report.
3. The date will appear in the format mmm-yy (red arrow).

	A	B
1		
2		Feidhmeannacht na Seirbhíse Sláinte
3		Health Service Executive
4		
5		
6	Risk Register	
7	Division:	Acute Hospitals Division
8	Hospital Group:	Saolta Hospital Group
9	Hospital:	University Hospital Galway
10	Risk Register Owner:	John Smith
11	Month:	June-16

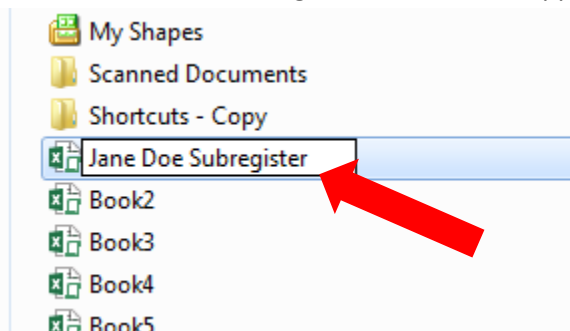
- In preparing the report, information must be gathered from the risk co-ordinators. To aid in doing this, sub-registers must be created. Sub-registers are separate excel files which contain only the risks co-ordinated by a certain person. If there are 4 risk co-ordinators on the risk register, there will be a need for 4 sub-registers.
- To create the risk sub-register(s), select the "Risk Register" worksheet by clicking on it (red arrow).

Basic Details	Dashboard	Summary	Risk Register	Risk Action Log	Closed ...	+
---------------	------------------	---------	----------------------	-----------------	------------	---

- Locate and click the "Sub-registers" button (red arrow). This will create the required amount of sub-registers and save them to the same location as the risk register is located.

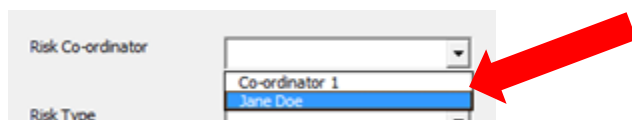
1	A		B		C		D		E		F		G		H		I		J		K		L		M			
2	New Risk				Closed Risk				Register - Acute Hospitals Division, Saolta Hospital Group, University Hospital Galway, New Control 														Delete		Sub-registers			
3																												
4	Unique ID		Risk Owner		Risk Co-ordinator		Risk Criteria		Primary Risk Category		Risk Description		Date Entered		Existing Controls				Link		Imp		Urg		Ex view Date		Risk Status	
5	UHG1		John Smith		Jane Doe		Strategic		Objectives and projects		Due to a lack of funding there may be a shortage of doctors which would lead to lower patient safety.		19-Jun-16		Existing control 1. Deleted - 19/06/2016 Existing control 2. Existing control 3.				4		5		20		1-Jun-16		Open	

- Locate the files and change the names to an appropriate name (red arrow).



8. Send the sub-register(s) to the applicable risk co-ordinator(s), requesting an update of information. Upon receipt of updated sub-register(s), skip to section T Receiving Updated Sub-register(s).

Note: Pressing the ‘Sub-registers’ button will generate sub-register(s) for each risk co-ordinator listed in the dropdown menu (red arrow). If there are names listed on the dropdown menu that are not a co-ordinator to risks on the register, blank sub-register(s) will be created. To remove names from the ‘Risk Co-ordinator’ dropdown list, go to section **S Removing Risk Co-ordinators**.



Note: The sub-register(s) created do(es) not have the same functionality as the Risk Register, and there are no buttons or dropdowns included. Risk Co-ordinators will update the file as they would with any other excel file.

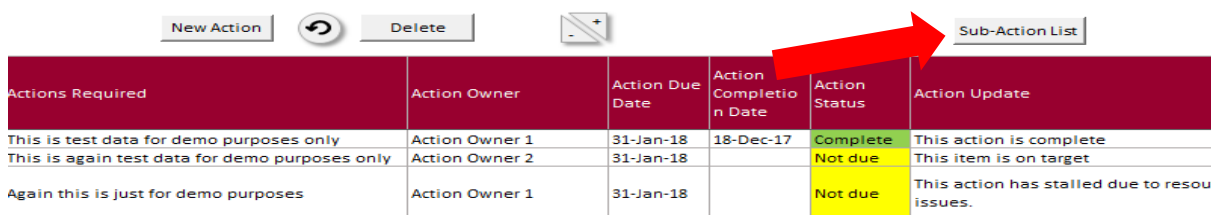
R. Preparing Sub-Action Lists to send to Risk Action Owners

Note: This activity should be carried out two weeks prior to the report issuance date to allow ample time for Action Owners to complete their updates, and for their updates to be reflected on the Master-register.

1. In preparing the report, information must be gathered from the risk action owners. To aid in doing this, sub-action lists can be created. Sub-action lists are separate excel files which contain only the risk actions owned by a certain person. If there are 10 action owners assigned to actions on the risk action log, there will be a need for 10 sub-action lists.
2. To create the risk sub-action list(s), select the “Risk Action Log” worksheet by clicking on it (red arrow).

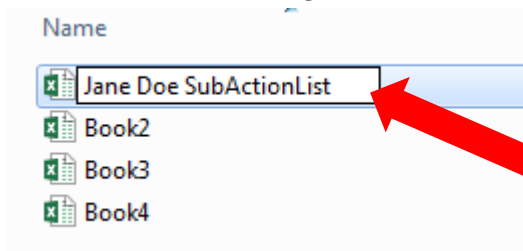


3. Locate and click the “Sub-Action List” button (red-arrow). This will create the required amount of sub-action lists and save them to the same location as the risk register is located.



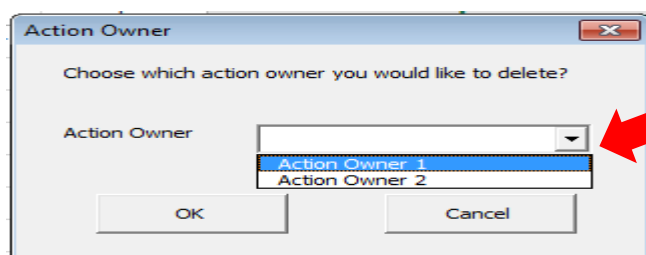
Actions Required	Action Owner	Action Due Date	Action Completion Date	Action Status	Action Update
This is test data for demo purposes only	Action Owner 1	31-Jan-18	18-Dec-17	Complete	This action is complete
This is again test data for demo purposes only	Action Owner 2	31-Jan-18		Not due	This item is on target
Again this is just for demo purposes	Action Owner 1	31-Jan-18		Not due	This action has stalled due to resource issues.

4. Locate the files and change the names to an appropriate name (red arrow).



5. Send the sub-action list(s) to the applicable risk action owner(s), requesting an update of information. Upon receipt of updated sub-action list(s), skip to section T Receiving Updated Sub-register(s).

Note: Pressing the ‘Sub-Action List’ button will generate sub-register(s) for each risk owner listed in the dropdown menu (red arrow). If there are names listed on the dropdown menu that are not an action owner, blank sub-Action List(s) will be created. To remove names from the ‘Risk Action Owner’ dropdown list, go to section **X Removing Action Owners**.



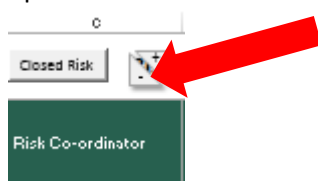
Note: The sub-actions list (s) created do(es) not have the same functionality as the Risk Register, and there are no buttons or dropdowns included. Risk action owners will update the file as they would with any other excel file.

S. Removing Risk Co-ordinators

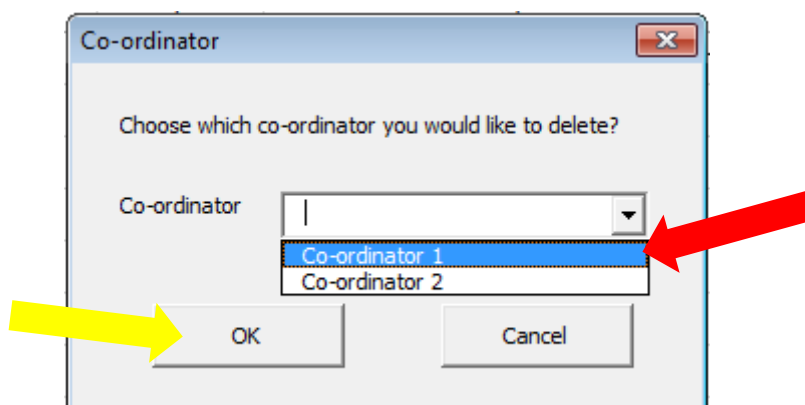
1. Select the “Risk Register” worksheet by clicking it (red arrow).



2. Above the ‘Risk Co-ordinator’ heading, locate and click the ‘-’ button (red arrow) and this will open the ‘Co-ordinator’ window.



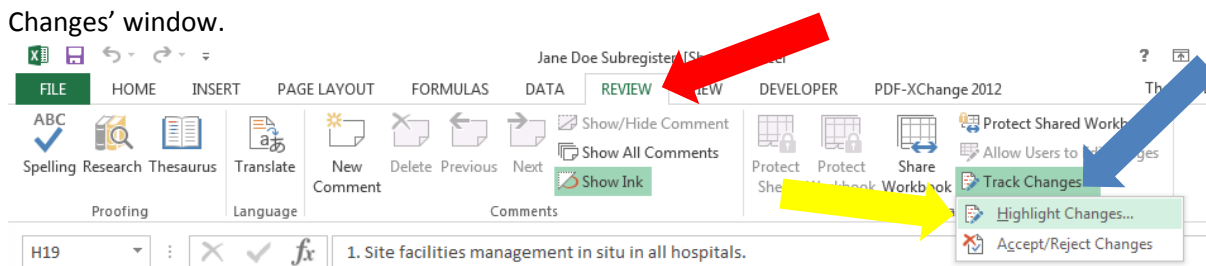
3. Select which risk co-ordinator from the dropdown you would like to remove (red arrow), and click ‘OK’ (yellow arrow).



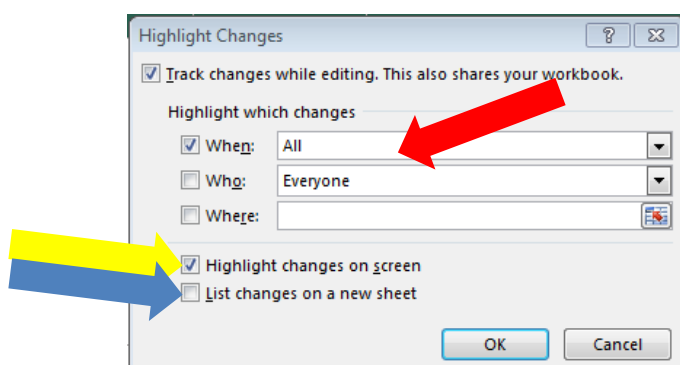
Note: This will remove the risk co-ordinator from the dropdown menu, but will not remove a risk co-ordinator's name from a risk if a risk is assigned to that co-ordinator. If a risk co-ordinator has been removed from the dropdown, but risks are still assigned to the same co-ordinator, a sub-register will not be created; a sub-register is created for each name on the dropdown menu.

T. Receiving Updated Sub-register(s) and Sub-Action List(s)

1. Once the risk co-ordinator has updated their applicable sub-register, and have sent it back, the updates need to be mirrored to the master risk register.
2. In order to highlight the changes made to the sub-register by the risk co-ordinator, use the 'Track Changes' functionality. **Note:** this functionality is not available if the excel file is read-only. Save the file and open in edit format.
3. On the 'Review' tab (red arrow), in the 'Changes' group select 'Highlight Changes...' (yellow arrow) from the 'Track Changes' dropdown (blue arrow). This will open the 'Highlight Changes' window.



4. In the 'Highlight Changes' window, ensure that 'All' (red arrow) is selected in the 'When' field. You can choose to have the changes highlight on the worksheet (yellow arrow), or have the changes listed on a new sheet (blue arrow). If 'Highlight changes on screen' is selected, continue to step 5. If 'List changes on a new sheet' is selected, skip to step 6.



5. Any cells that have been updated by the risk co-ordinator will now be highlighted with a coloured box around the cell (red arrow). Hover over the cell to expose the note (yellow arrow). This will help mirror updates from the sub-register(s) to the master register. Once all updates are mirrored, skip to step 7.

	H	I	J	K
	Action Due Date/Update Date	Action Completion Date	Action Status	Action Update
an	31-Dec-16	20-Jul-16		

A red arrow points to the cell containing '20-Jul-16'. A yellow arrow points to a tooltip box that appears when hovering over the cell, containing the text: 'build, 20/07/2016 12:26: Changed cell I6 from '<blank>' to '20/07/2016'.'

6. A new sheet will have been created that lists all the updates that were made. This will help mirror updates from the sub-register(s) to the master register.

	A	B	C	D	E	F	G	H	I	J	K
1	Action Number	Date	Time	Who	Change	Sheet	Range	New Value	Old Value	Action Type	Losing Action
2	1	20/07/2016	12:26	build	Row Insert	Risk Register	'18:18				
3	2	20/07/2016	12:26	build	Cell Change	Risk Register	H18	5. test control	<blank>		
4	3	20/07/2016	12:26	build	Cell Change	Risk Action Log	I6	20/07/2016	<blank>		
5	4	20/07/2016	12:26	build	Cell Change	Risk Action Log	G12	Angela Fitzgerald	<blank>		
6	5	20/07/2016	12:26	build	Cell Change	Risk Action Log	H12	01/09/2016	<blank>		
7											
8	The history ends with the changes saved on 20/07/2016 at 12:26.										

7. Once all updates from sub-register(s) are mirrored in the master register, select the "Summary" worksheet by clicking it (red arrow).



8. Select the appropriate cell in column 'I', and determine if the current risk rating has changed since the last report. Click the appropriate button; No change (red arrow); increase (yellow arrow); decrease (blue arrow)

	A	B	C	D	E	F	G	H	I	J	K	L
1	Unique ID	Risk Owner	Risk Co-ordinator	Risk Description	Date Entered	Date Reviewed	Current Risk	Risk Status	Risk Rating	↔	↑	↓
2												
3	UHG1	John Smith	Jane Doe	Due to a lack of funding there may be a shortage of	19-Jun-16	1-Jun-16						
4	UHG2	John Smith			20-Jun-16			Open				


9. The register is now ready to generate a report.

U. Spellcheck

1. Prior to generating a Report, you should perform spellcheck on your risk register. Select the “Basic Details” worksheet by clicking it (red arrow).
- 2.



3. Locate and click the “Spellcheck” button (red arrow).

	A	B
1	 <div> Feidhmeannacht na Seirbhíse Sláinte Health Service Executive </div>	
2		
3		
4		
5		
6	Risk Register	
7	Division:	
8		
9		
10	Risk Register Owner:	
11	Month:	
12		
13	<div> Report Unlock Lock Spellcheck </div>	
14		
15		
16		
17		
18		

V. Generating a Report

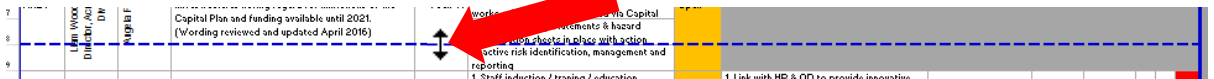
1. Select the “Basic Details” worksheet by clicking it (red arrow).



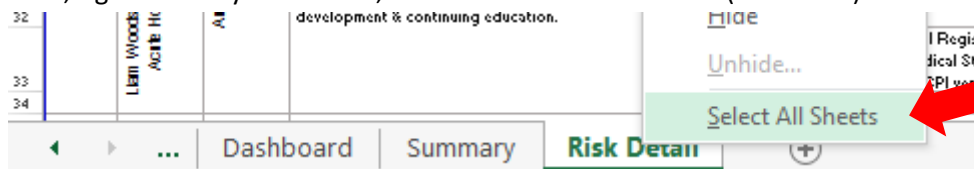
2. Locate and click the “Report” button (red arrow).



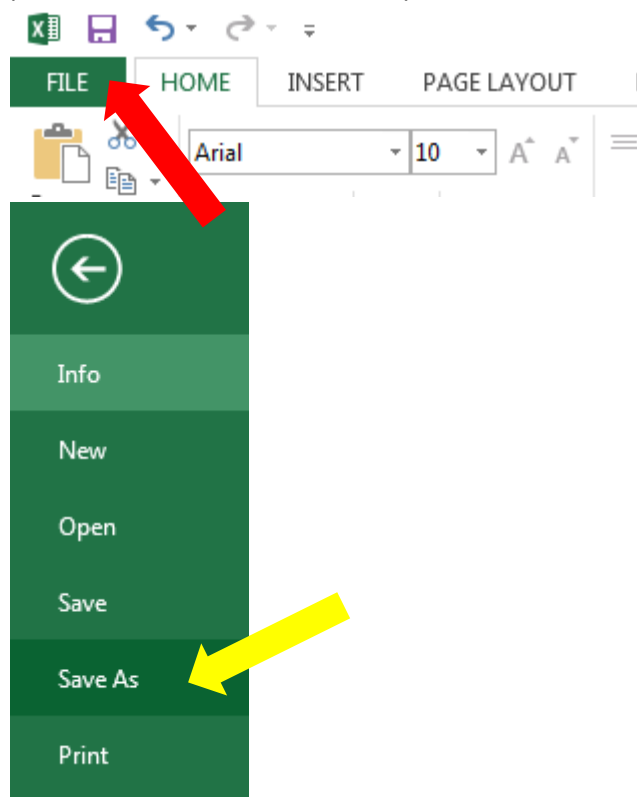
3. This will create a new excel file, and be open on the “Risk Detail” worksheet, in print view. It is possible that the page break will be placed half-way through a risk, with some existing controls or actions above the page break, and some below. Adjust the page break by hovering the cursor over the broken blue line until a double-ended arrow appears (red arrow), click and drag the page break into place.



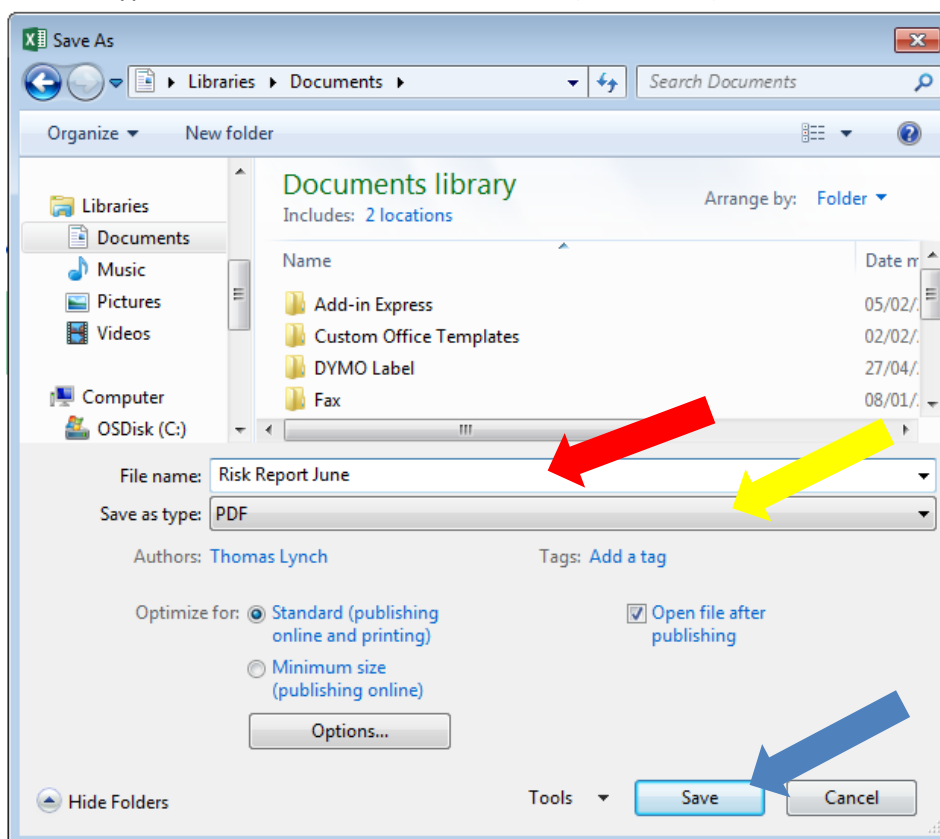
4. Now, right-click any worksheet, and click “Select All Sheets” (red arrow)



5. Save the file by clicking 'File' (red arrow), then clicking 'Save As' (yellow arrow), at which point the 'Save As' window will open.



- Enter the File name in the 'File name' field (red arrow), select "PDF" (yellow arrow) from the 'Save as type' field, and click the "Save" button (blue arrow).



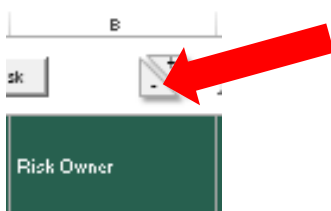
- This will create a PDF report, with a Cover Page, 2 pages of a Dashboards, Summary Pages, and Pages with the Risk Details, with headings and page numbers.

W. Removing Risk Owners

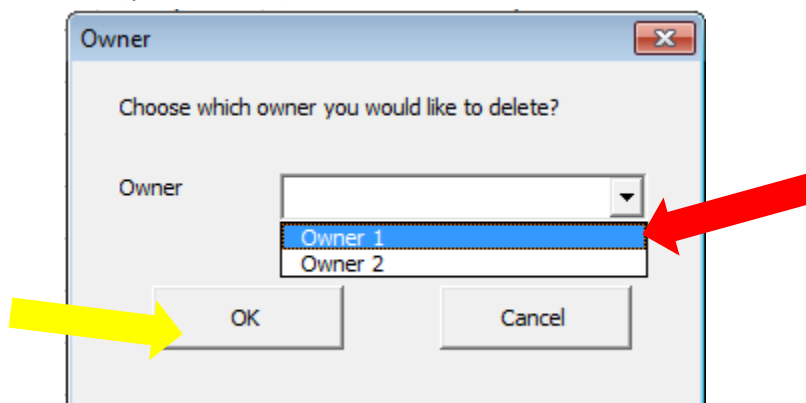
- Select the "Risk Register" worksheet by clicking it (red arrow).



- Above the 'Risk Owner' heading, locate and click the '-' button (red arrow) and this will open the 'Owner' window.



3. Select which risk owner from the dropdown you would like to remove (red arrow), and click 'OK' (yellow arrow).



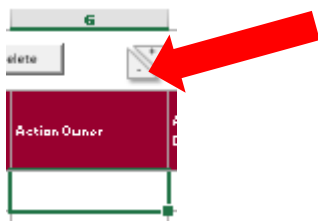
Note: This will remove the risk owner from the dropdown menu, but will not remove a risk owner's name from a risk if a risk is assigned to that owner.

X. Removing Action Owners

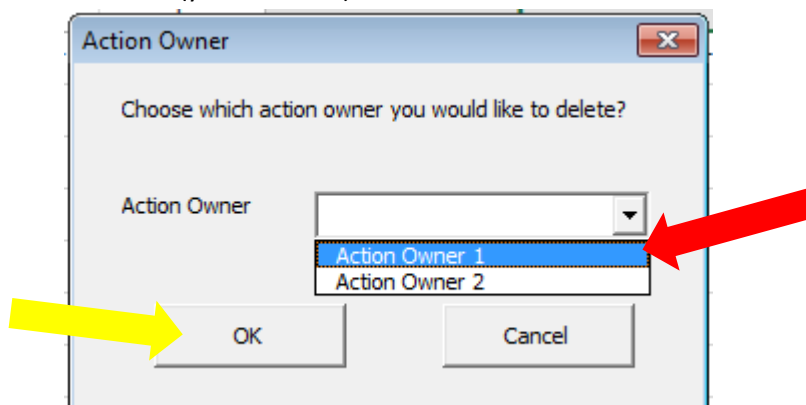
1. Select the "Risk Action Log" worksheet by clicking it (red arrow).



2. Above the 'Action Owner' heading, locate and click the '-' button (red arrow) and this will open the 'Action Owner' window.



3. Select which action owner from the dropdown you would like to remove (red arrow), and click 'OK' (yellow arrow).



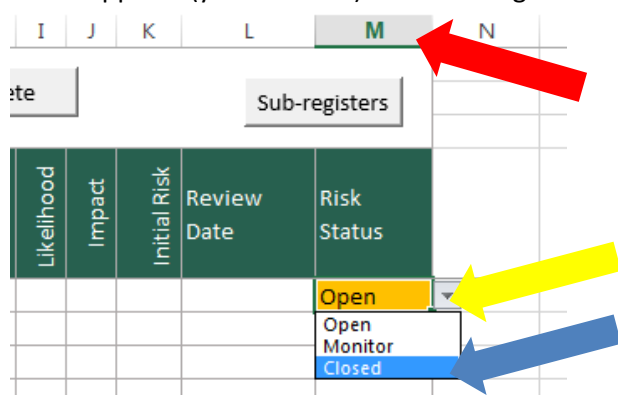
Note: This will remove the action owner from the dropdown menu, but will not remove an action owner's name from an action if an action is assigned to that action owner.

Y. Closing a Risk

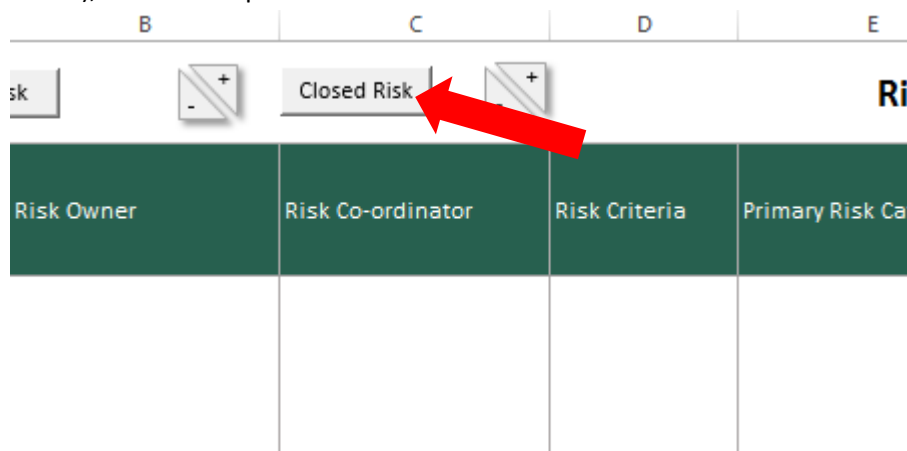
1. Select the "Risk Register" worksheet by clicking it (red arrow).



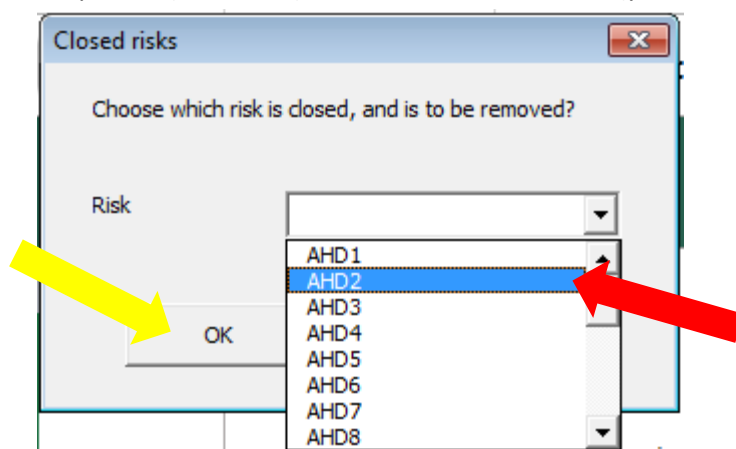
2. Locate and select the appropriate cell in column 'M' (red arrow). Click the dropdown icon which appears (yellow arrow) and selecting "Closed" from the dropdown menu (blue arrow).



3. The Risk will remain on the "Risk Register", "Risk Action Log" and "Summary" worksheets, and appear as closed. When a Report is generated, the closed risk will appear on the Report. A closed risk should only appear on a Report once; it should be removed from subsequent Reports.
4. To remove the closed risk from the "Risk Register", "Risk Action Log" and "Summary" worksheets, on the "Risk Register" worksheet locate and click the 'Closed Risk' button (red arrow), which will open the 'Closed Risk' window.



5. In the 'Closed Risk' window, select the alphanumeric ID of the closed risk from the dropdown (red arrow), and click the 'OK' button (yellow arrow).



6. This will remove the closed risk from the "Risk Register", "Risk Action Log" and "Summary" worksheets and move it to the "Closed Risks" worksheet.