Enterprise Risk Management Programme

HSE Excel Risk Register

Training Manual

Contents

Introduction, Scope and Function

This training manual provides a step by step guide to using the 2023 HSE Excel Risk Register and applies to all staff that carries out the function of risk register administration. The Risk Register is comprised of 6 separate Excel worksheets. Below is a description of each worksheet:

Basic Details: In this worksheet you:

a) Enter the name of the risk register; e.g. Acute Hospital Division, Saolta Hospital Group, UHG
b) Enter the name of the risk register owner; e.g. John Smith
c) Enter the month of the reporting period e.g. 31-August-2023
d) Run a Risk Register report.
e) Run a spellcheck on the risk register.
f) That data entered in this section will determine the unique risk ID number.

Dashboard: This worksheet contains graphical representations of the risk data that is entered in the risk register and risk action log sections.

Summary: This worksheet contains a summary of all risks with a status of open and monitor. The risk rating change column in this worksheet is the only manual input into this section as the rest of the data prepopulates from the data that is entered in the risk register and risk action log sections.

Risk Register: This worksheet is the worksheet where you:

a) Add new risks – all risks entered onto the EXCEL Risk Register have to be entered by selecting the '**New Risk'** radio button.
b) Add or delete risk owner details
c) Add or delete risk coordinator details
d) Enter **Inherent** Risk rating
e) Enter or delete existing controls
f) Enter **Residual** Risk rating
g) Enter a risk review date (based on the date that the risk was last reviewed)
h) Create the sub-register reports to send out to the Risk Coordinators (if required)
i) Close Risks

Risk Action Log: This worksheet is the worksheet where you:

a) Enter the additional actions to mitigate the risk
b) Assign action owners and due dates / action status
c) Enter action updates
d) Enter **Target** Risk rating
e) Add or delete action owner details
f) Create the action owner (sub-action list) reports to send out to the action owners

Closed Risks: This worksheet contains a list of all the closed risks.

The training manual is set out to explain the following

1. Preparing the Excel Risk Register
2. Entering a risk onto the Risk Register
3. Editing a risk on the Risk Register
4. Running the following reports:
    a) action owner(s)report
    b) the risk coordinator(s) reports,
    c) Monthly or bi-monthly or quarterly Risk Register full report in PDF format.
5. Closing a risk
6. Reviewing Dashboard

The manual provides a step by step guidance on how to complete each of the above and also includes exercises to complete during training.

Section 1: Preparing the Excel Risk Register

This section includes the following:

- 1.1 Downloading and saving Excel Risk Register from the HSE website

- 1.2 Populate the "Basic Details" worksheet

- 1.3 Adding and removing Risk Owner

- 1.4 Adding and removing Risk Coordinators

- 1.5 Adding and removing Action Owners

- 1.6 Unlocking the Risk Register – S38 and S39 Agencies

- 1.7 Running a spellcheck

- 1.8 Exercise

Section 1.1: Downloading and saving Excel Risk Register from the HSE website

Go to: HSE Risk Management Tools 2023
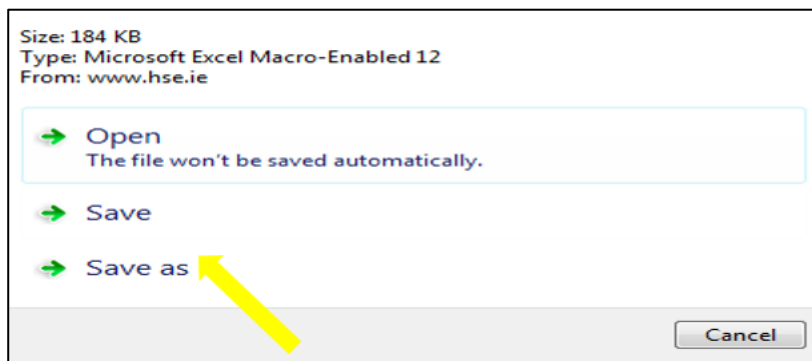
Within this section there are two Excel Risk Registers

1. HSE Excel Risk Register (Version to be used by HSE Services) and
2. S38 S39 Version.

> **Top Tip:**
>
> **Do not open the file directly from the HSE website as it opens as "read only". Choose the "Save as" option**

Click on the HSE Excel Risk Register at which point the 'Save As window' will open.

Click on 'Save As' (yellow arrow)

Enter the File name in the 'File name' field (red arrow), and then select "Microsoft Excel Macro-Enabled Worksheet" (yellow arrow) from the 'Save as type' field.
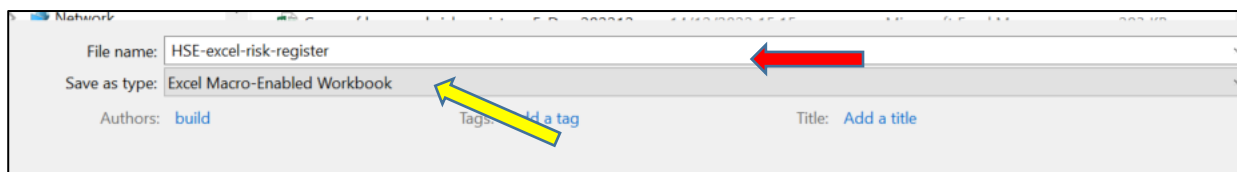
> **Top Tip:** It is important to save document type as **Microsoft Excel Macro-Enabled Worksheet** as failure to do so will prevent the Excel risk register template from performing all of the functionalities.
>
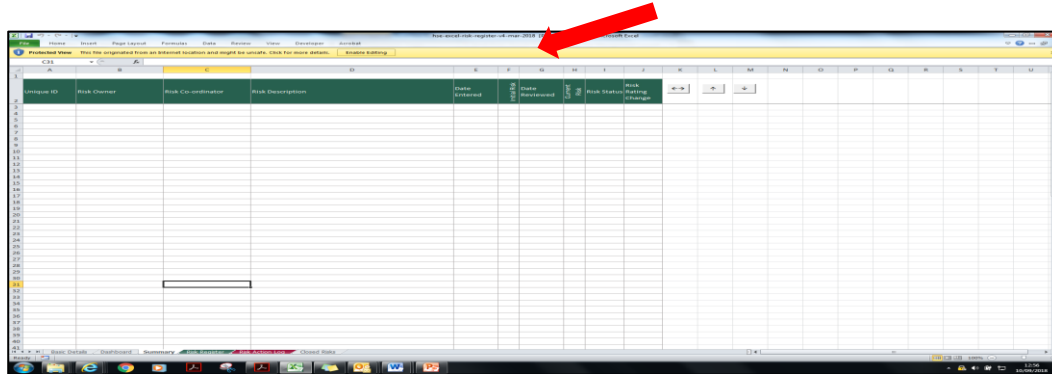> Do not put a Share workbook password on the Excel Risk Register Workbook. This causes problems when closing a risk.
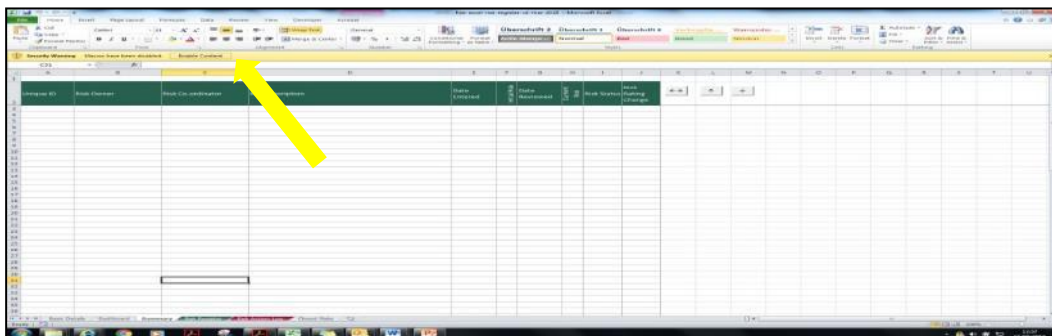
Section 1.2: Populate the "Basic Details" worksheet

Step 1:

Open the saved Excel Risk Register
Click on Enable editing (red arrow) and then
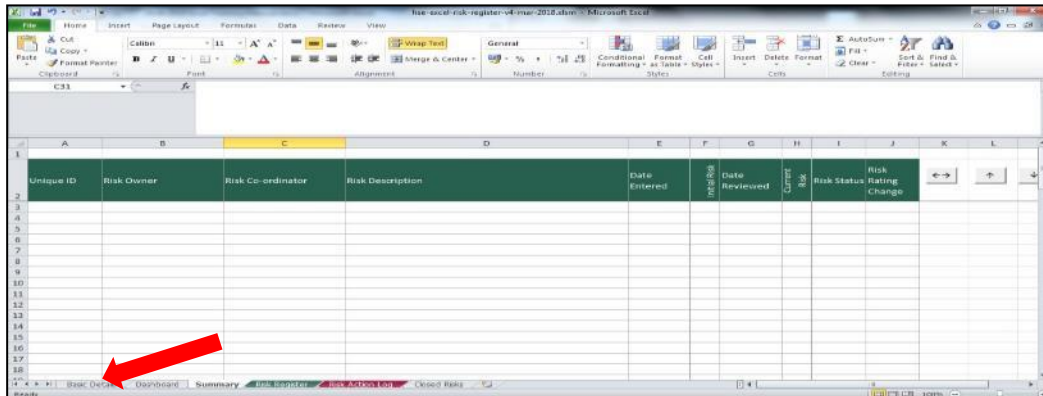

Click on Enable content (yellow arrow)

Top Tip Failure to "enable editing" and "content" will prevent the Excel risk register template from performing all functionalities.

Step 2:

Select the "Basic Details" worksheet by clicking on it (red arrow)

Step 3:

- Input the Risk Register basic details:
- Division e.g. **Acute Hospital Division**
- Hospital Group / CHO / Nationally Delivered Service
- Risk Register Owner e.g. **John Smith**
- Month: In the format of **dd/mm/yyyy**- e.g. 31/08/2023

Section 1.3: Adding and removing a Risk Owner

Adding a Risk Owner to the Risk Owner drop-down list

Step 1:

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

Step 2:

Above the 'Risk Owner' column heading, locate and click the '+' button (red arrow) and this will open the 'risk owner' window.
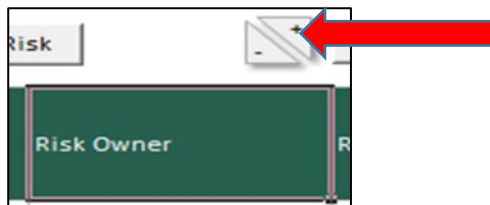
Step 3:

In the 'New risk owner' window, input the name of the Risk Owner in the field provided (red arrow) and then click 'ok' (yellow arrow). Please note: it is optional to use either names or roles to identify the owners on your risk register, however it is imperative for reporting purposes that that you consistently use one of these only.

The inputted name will now appear in the 'Risk Owner' drop-down list.

Removing a Risk Owner from the action owner drop-down list.

Step 1:

Repeat Step 1 above.

Step 2:

Above the 'Risk Owner' column heading, locate and click the '-' button (red arrow) and this will open the 'risk owner' window.
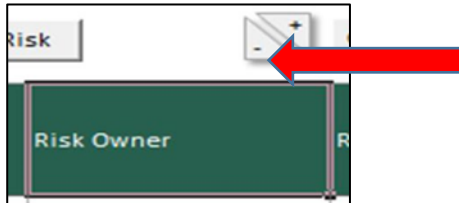
Step 3:

Click on the drop down list (red arrow) and select the name of the Risk Owner that you want to delete and click ok (yellow arrow)

The deleted name will disappear from the 'Risk Owner' drop-down list.

Section 1.4: Adding and removing a Risk Coordinator
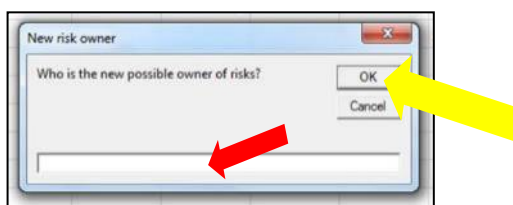
1. Adding a Risk Coordinator:

Step 1:

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

Step 2:

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

Step 3:

In the 'New risk coordinator' window, input the name of the risk coordinator in the field provided (red arrow) and click ok (yellow arrow). The inputted name will now appear on the 'Risk coordinator' drop-down list.

2. Removing a Risk Coordinator

Step 1:

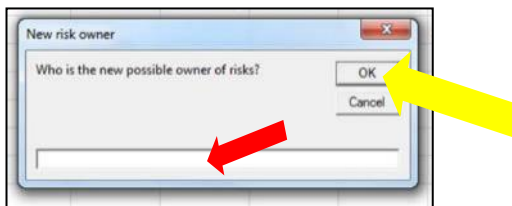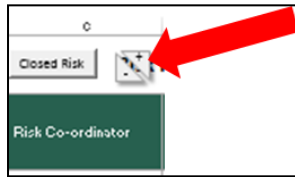Repeat step 1 above.

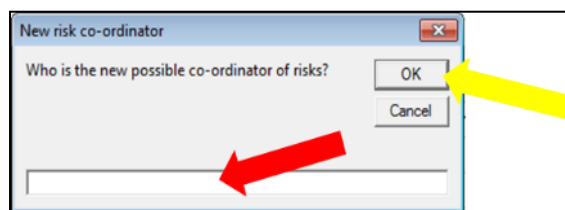**Step 2:**

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

Step 3:

In the 'Coordinator' window, select from the drop down list the name of the Risk Coordinator you want to delete (red arrow) and then click 'ok' (yellow arrow). The deleted name will disappear from the 'Risk Coordinator' drop-down list.

Section 1.5: Adding and removing an Action Owner

1. Adding an Action Owner

Step 1:

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

Step 2:

Above the 'Action Owner' column heading, locate and click the '+' button (red arrow) and this will open the 'Action Owner' window.
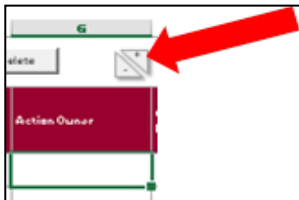
Step 3:

In the 'New action owner' window, input the name of the action owner in the field provided (red arrow) and click ok (yellow arrow). The inputted name will now appear on the 'Action owner' drop-down list.
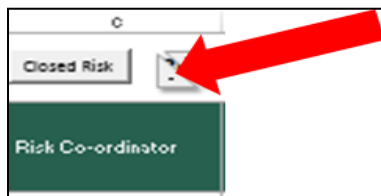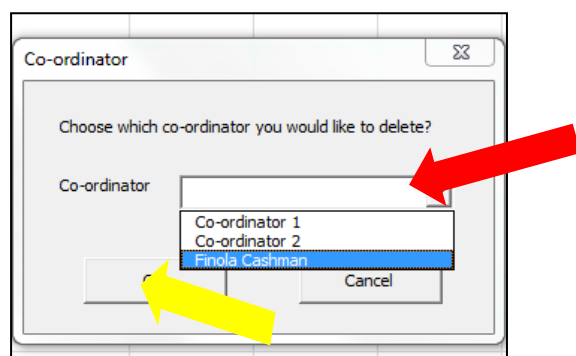

2. Removing an Action Owner

Step 1:

Repeat step 1 as above.

Step 2:

Above the 'Action Owner' column heading, locate and click the '-' button (red arrow) and this will open the 'Action Owner' window.
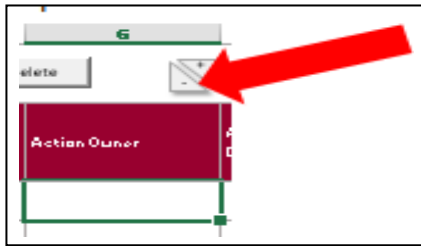
Step 3:

Click on the drop down list (red arrow) and select the name of the Action Owner that you want to delete and click ok (yellow arrow). The deleted name will disappear from the 'Action Owner' drop-down list.

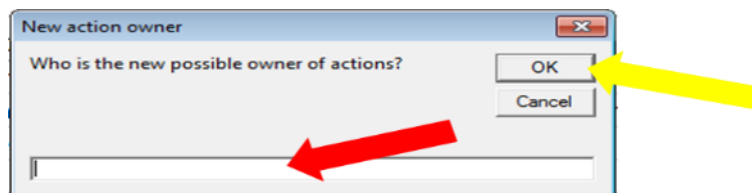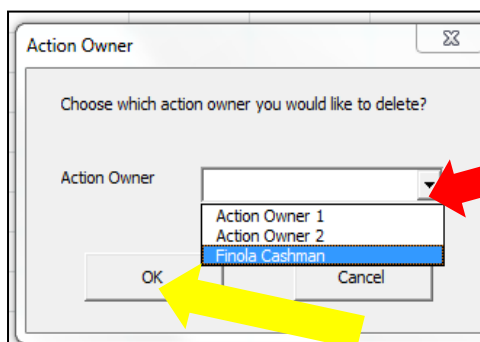

Section 1.6: Unlocking the Excel Risk Register – S38 & S39 Agencies

This function can only be performed on the S38 and S39 Agencies version – it is available in order to change the branding.

Step 1:

Select the "Basic Details" worksheet by clicking it (red arrow).

Step 2:

Locate and click the "Unlock" button (red arrow).

Step 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 service branding.
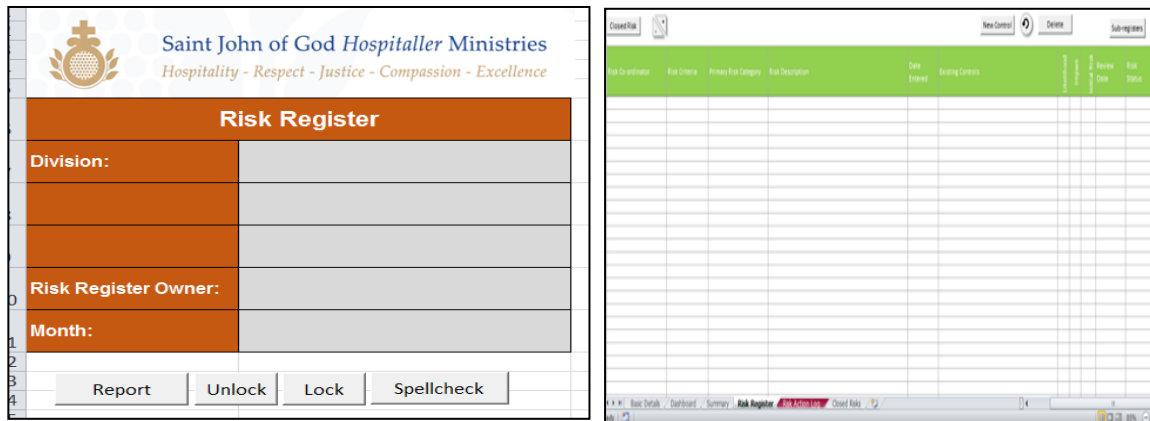
Step 4:

Once all changes have been made, go to "Basic Details" sheet. Locate and press the "lock" button.

It is important that you 'lock' the spreadsheet to prevent further 'customisations'.
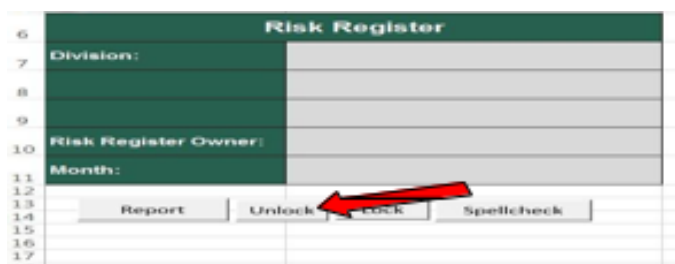

Section 1.7: Running a spell check

Step 1:

Select the 'Basic Details' worksheet by clicking it (red arrow)

Step 2:

Locate and click the "Spellcheck" button (red arrow).
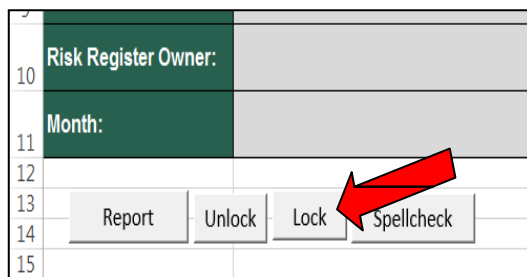
The spell check function will perform and as spelling errors are identified you fix them as required.

Section 1.8: Exercise

- Download and save HSE Excel Risk Register from the website and save to desktop

- Populate the "Basic Details Spreadsheet" with the following identification details

    o *Division* :   Acute Hospital Division

    o *HG/CHO/National:* Saolta Hospital Group

    o *Hospital/Directorate:* Letterkenny General Hospital

    o *Month:*   31-August-2018

- Add Michelle Obama and Annie Lennox as Risk Owners

- Remove Annie Lennox as a Risk Owner

- Add David Bowie, Donald Duck and Jane Austin as Risk-Coordinators

- Remove Donald Duck as a Risk Coordinator

- Add David Bowie, Jane Austin, Kate Bush and Michelle Obama as Action Owners

- Remove Kate Bush as an Action Owner.

Section 2: Entering a risk onto the Excel Risk Register

This section includes the following:

- 2.1 Copying and pasting text from another word or Excel document into the Excel Risk Register.
- 2.2 Entering a risk onto the Risk Register.
- 2.3 Adding existing controls
- 2.4 Adding inherent risk rating
- 2.5 Adding residual risk rating
- 2.6 Adding risk review date
- 2.7 Adding an action
    - o Assigning an action owner from the drop-down list
    - o Adding action due date
    - o Adding action Completed date
- 2.8 Adding target risk rating
- 2.9 Exercise

Section 2.1 Copying and Pasting from one source document into the Excel Risk Register

For copying and pasting from a Word or Excel document into this Excel Risk Register template it is recommended to have the source document and the Excel Risk Register open as you will be flipping between the two documents.

When copying and pasting it is important to copy and paste the text only. If you do not copy and paste correctly you will copy the source documents formatting into the Excel Risk Register cells and this will LOCK the cells. This prevents the ability to edit the text in that cell going forward.

In the source document highlight the required text only (not the cell or table) and 'right click' on the mouse and select 'copy'. Then click into the Excel Risk Register template and double click into the required cell and 'right click' on the mouse and select 'paste'.

> **Top Tip: When copying and pasting Risk Descriptions in the New Risk window it is important to have copied the risk description from the source document BEFORE you click the 'New Risk' button. To paste the text into the risk description cell in the New Risk window you have to use Ctrl V (right clicking and selecting paste does not work in the risk description** field **in the New Risk window)**

Section 2.2: Entering a risk onto the Risk Register

All risks **MUST BE** entered onto the Excel Risk Register by using the 'New Risk' Radio button on the Risk Register worksheet.

Adding a risk without using the 'New Risk' radio button will distort the whole risk register.
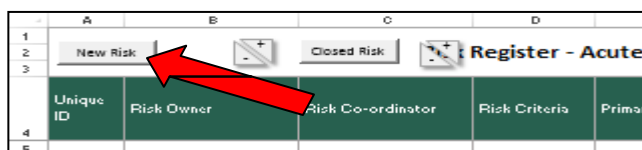
Step 1:

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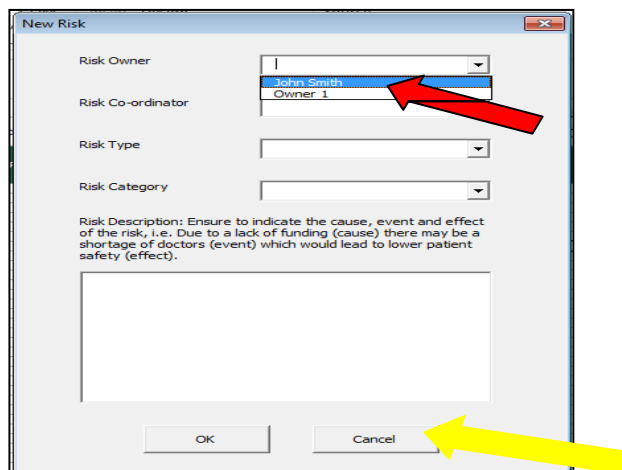

Step 2:

To input a new risk, locate and click on the "New Risk" button (red arrow) and this will open the 'New risk' window.
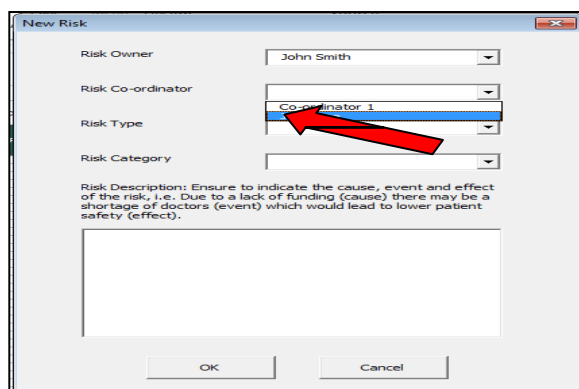

Step 3:

In the 'New Risk' window, select the risk owner from the drop-down menu in the 'Risk Owner' field (red arrow).

TIP: If the Risk Owner name is not already in the drop down list click the 'cancel' button (yellow arrow) and follow the instructions in Section 1.3 to add Risk Owner to drop down list. Once you add the risk owner move to Section 2.2 Enter a risk onto the Risk Register.
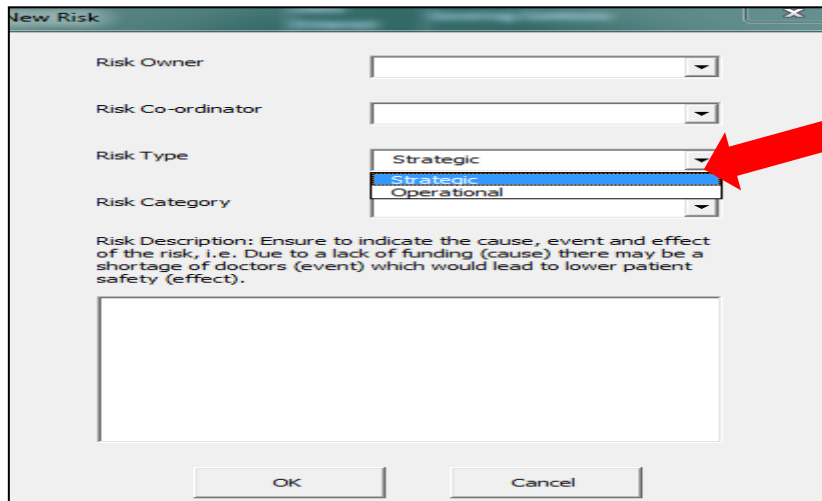
Step 4:

Select the risk coordinator from the drop-down menu in the 'Risk Coordinator' field (red arrow).

TIP: If the Risk Coordinator name is not already in the drop down list click the 'cancel' button (yellow arrow) and follow the instructions in Section 1.4 to add Risk Coordinator to drop down list. Once you add the risk Coordinator move to Section 2.2 Enter a risk onto the Risk Register.

Step 5:

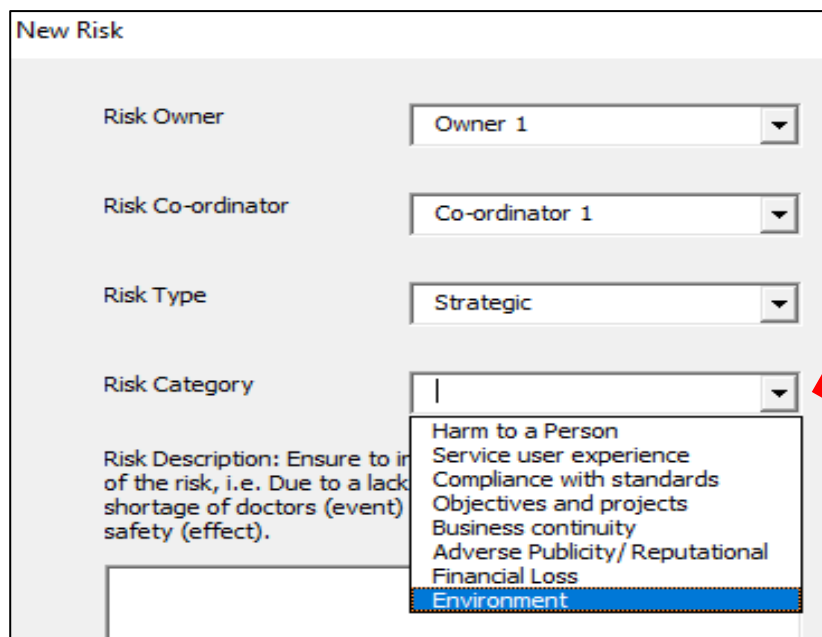Select the risk type from the drop-down menu in the 'Risk Type' field (red arrow).

Step 6:

Select the risk category from the drop-down menu in the 'risk category' field (red arrow). The options included in this drop-down list are aligned to the HSE impact table of the HSE Enterprise Risk Management and Procedures Policy 2023.

Step 7:

Type **or** Ctrl V (paste) the risk description into the into the 'Risk Description' field (red arrow). Then click the 'OK'

button (yellow arrow)

The risk data added in this New Risk window will now appear in the Risk Register worksheet and the date entered will auto-populate (red arrow), and the risk status will default to 'Open' (yellow arrow)

The risk data entered in the 'New Risk' window will also prepopulate on the "Risk Action Log" worksheet (red arrow) and the "Summary" worksheet (yellow arrow).

Section 2.3: Adding existing controls

Step 1:

Select the "Risk Register" worksheet by clicking it (red arrow). If inputting the first existing control to the risk, continue to step 2. If inputting an additional existing control to the risk, skip to step 3.

Step 2:

Select the fist available cell in the Existing Controls column (red arrow) in the row related to the applicable risk (yellow arrow) Double click the cell to activate the cell, **NB.** Type in (or paste) the existing control into that cell.

Step 3:

If more than one existing control is required, select the cell of the most previous control (red arrow). Locate and click the "new control" button (yellow arrow). You can repeat this step to add in as many existing controls as required.

Step 4:

The 'new control' button will merge cells in adjacent columns but will split the 'existing control' cell so that you can enter another existing control as shown below (yellow arrow). If the correct cell was not selected in step 3 you will get an error message (red arrow)

Section 2.4: Adding Inherent risk rating

Step 1:

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

Step 2:

To input the likelihood rating from 1-5 select the 'Liklihood' cell and click the drop-down icon which appears (yellow arrow).

Step 3:

Select and click the required rating (1,2,3,4 or 5) from the drop-down menu (red arrow).

Step 4:

To input the impact rating from 1-5 select the 'Impact' cell and click the drop-down icon which appears (yellow arrow).

Step 5:

Select and click the required rating (1,2,3,4 or 5) from the drop-down menu (red arrow).

Step 6:

The inherent risk rating will then be calculated and inputted to the appropriate cell. The colouring will also represent the severity of the risk rating; Green = Low; Amber = Medium; Red = High.

Section 2.5: Adding Residual risk rating

Repeat **Steps 1 to 6** from *Section 2.4 Adding the Inherent risk rating* for columns N; O; P: (yellow highlighted) to add the Residual Risk rating

Section 2.6: Adding risk review date

The review date is the date that the risk was last reviewed.

Step 1:

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

Step 2:

The risk review date is the date that the risk was last reviewed and is based on the managing and monitoring risk register procedure. To input the date, select the appropriate cell in column 'Q' and input the date in the dd/mm/yyyy format. (yellow highlight).

Section 2.7: Adding an action, assigning an action owner and a due date

Step 1:

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

> **Top Tip:**
>
> **If there are no actions required it is important to enter some text in this cell e.g. enter N/A or none in the cell. You cannot leave this cell blank. If this cell is left blank it distorts the running of the report and closing a risk function.**

Step 2:

If inputting the first action to the risk, continue to step 3. If inputting an additional action to the risk skip to step 7.

Step 3:

Select the first available cell (red arrow) in the row related to the applicable risk (yellow arrow). Double click the cell to activate the cell. **NB**: Type or copy and paste in the action required in that cell.

> **Top Tip:**
>
> If the relevant action owner name is not included in the drop-down menu, add them to the drop-down menu (see section 1.5 above).

Step 4:

To assign the action to an action owner select the associated cell, and select the action owner from the drop-down menu (red arrow).

Step 5:

To input the action due date select the 'Action Due Date' cell and in put the due date in the format of dd/mm/yyyy.

Step 6:

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).

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

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

Step 7:

If an additional action is required, select the cell of the most previous action, (red arrow). Locate and click the "New Action" button (yellow arrow).

Step 8:

This will merge cells in adjacent columns, and will allow 2 rows of cells to be split as these columns are related to actions. Once the cell is split, type or copy and paste in the additional control, assign an action owner and due date (as outlined in Steps 4, 5 & 6 above)

Section 2.8: Target Risk Rating

Step 1:

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

Step 2:

To input the likelihood rating from 1-5 select the appropriate cell and click the drop-down icon which appears (yellow arrow).
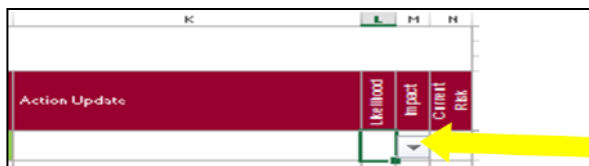
Step 3:

Select and click the required rating (1, 2, 3, 4 or 5) from the drop-down menu (red arrow).
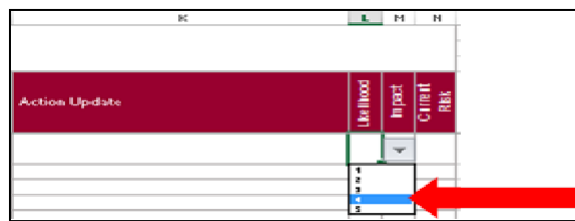
Step 4:

To input the impact rating from 1-5 select the appropriate cell and click the drop-down icon which appears (yellow arrow).

Step 5:

Select and click the required rating (1, 2, 3, 4 or 5) from the drop-down menu (red arrow).
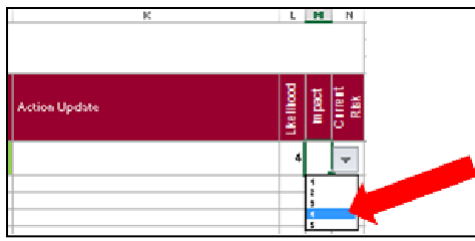
Step 6:

The **target** risk rating will then be calculated and inputted to the appropriate cell. The colouring will also represent the severity of the risk rating;

Green = Low; Amber = Medium; Red = High

Top Tips:

Any changes to a risk rating must be made on the Risk Action Log worksheet.

The inherent risk rating (on the risk register worksheet) and target risk rating must be populated even if they are the same rating. The Dashboards will not work if both are not populated.

Section 2.9: Exercise

- Enter the below risk assessment form manually (by typing each field)
- Enter the risk assessment form using the soft copy saved on your desktop. (Remember the information of copy and pasting and using Ctrl C & Ctrl V.)

At the end of this exercise, you should have 2 risks on your risk register. Each risk should contain 5 existing controls, 5 actions, 1 risk owner and 3 action owners.

Risk Assessment Form

Division:		Source of Risk:
HG/CHO/NAS/Function:		Primary Impact Category:
Hospital Site/Service:		Risk Type:
Dept/Service Site:		Name of Risk Owner (BLOCKS):
Date of Assessment:		Signature of Risk Owner:
Unique ID No:		Risk Co-Ordinator:
Objective being impacted:		[1]Risk Assessor(s):

[2]HAZARD & RISK DESCRIPTION	EXISTING CONTROL MEASURES	ACTIONS [ADDITIONAL CONTROLS] REQUIRED	[3]ACTION OWNER	DUE DATE

[4]Inherent Risk			[5]Residual Risk			[6]Target Risk			Risk Status		
Likelihood [1-5]	Impact [1-5]	Rating [Likelihood x Impact]	Likelihood [1-5]	Impact [1-5]	Rating [Likelihood x Impact]	Likelihood [1-5]	Impact [1-5]	Rating [Likelihood x Impact]	Open	Monitor	Closed

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[1] Risk Assessor required for OSH risks only.

[2] Where the risk being assessed relates to an OSH risk please ensure the HAZARD and associated risk are recorded. Other risk assessments require a risk description only.

[3] Person responsible for the action.

[4] Rating **before** consideration of existing controls.

[5] Rating **after** consideration of existing controls.

[6] Desired rating **after** actions.

Section 3: Editing a risk on the Risk Register

This section includes the following:

3.1 Editing the Risk Owner, Risk Coordinator, Risk Criteria, and Primary Risk Category

3.2 Editing a risk description

3.3 Updating risk status

3.4 Deleting an existing control

3.5 Deleting an Action

3.6 Changing a Target risk rating

3.7 Exercise

Section 3.1: Editing the Risk Owner, Risk Coordinator, Risk Criteria and Primary Risk Category

> **Top Tips**
>
> Edits to Risk owner, risk coordinator criteria, primary risk category, risk description, existing controls, risk review date and risk status **must be made on the Risk Register worksheet** as these changes will be replicated in other worksheets.

Step 1:

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

Step 2:

To edit the risk owner, risk coordinator, risk criteria or risk category, select the applicable cell, and click the drop-down icon which appears (red arrow).

Step 3:

Select and click the appropriate option from the drop-down menu (red arrow).

Section 3.2: Editing the Risk description
Step 1:

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

Step 2:

To edit the risk description select the applicable cell (red arrow) and edit the cell contents.

Section 3.3: Updating risk status
Step 1:

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

Step 2:

To update the status of the risk to "Monitor" (red arrow), clicking the drop-down icon which appears (yellow arrow) and select 'Monitor'

Section 3.4: Deleting an existing control

Step 1:

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

Step 2:

Locate and select the cell containing the existing control you wish to delete and then locate and click the 'Delete' button (red arrow)

Step 3:

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

Section 3.5: Deleting an Action

Step 1:

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

Step 2:

Locate and select the cell containing the action you wish to delete.

Step 3:

Locate and click the 'Delete' button (red arrow)

This will delete the action selected.
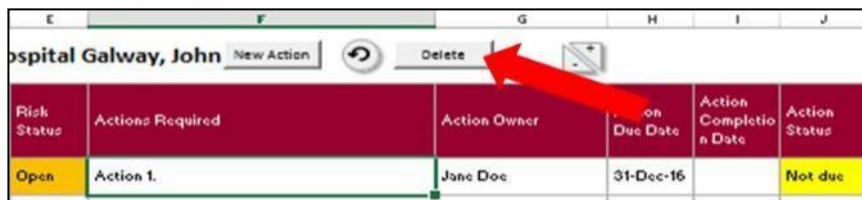
Step 4:

If the correct action was not selected, locate and click the 'undo' button (red arrow); this will reverse the action and then start again at step 2.
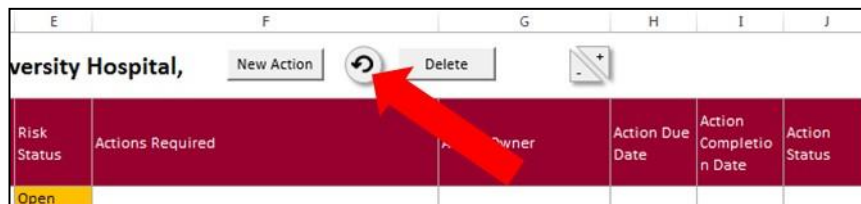
Top Tip

You can delete the text within the cell but you are unable to delete the cell. It is important to place some text for example N/A into this cell as failure to have this cell populated will distort the document.

Section 3.6: Changing a Target Risk Rating

Step 1:

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

Step 2:

To input the likelihood rating from 1-5 select the appropriate cell and click the drop-down icon which appears (yellow arrow)
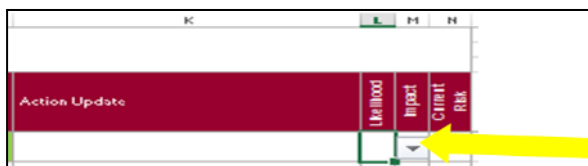
Step 3:

Select and click the required rating (1, 2, 3, 4 or 5) from the drop-down menu (red arrow)
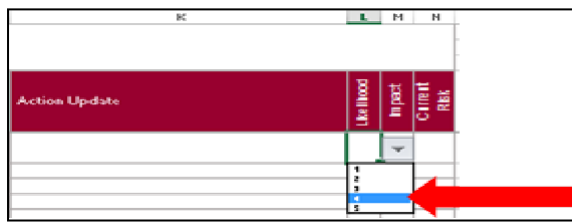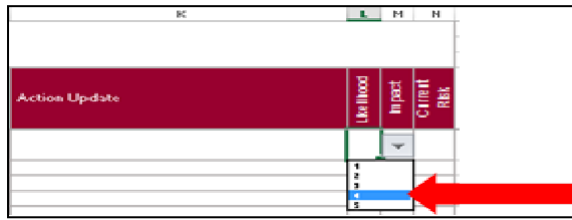
Step 4:

To input the Impact rating from 1-5 select the appropriate cell and click the drop-down icon which appears (yellow arrow)

Step 5:

Select and click the required rating (1, 2, 3, 4 or 5) from the drop-down menu (red arrow)

Step 6:

The new risk rating will then be calculated and input to the appropriate cell. The colouring will also represent the severity of the risk rating;

Green-Low; Amber=Medium; Red = High

Section 3.7: Exercise

- Change the risk category from Compliance to Harm to Person
- Delete the 2nd exiting control in risk 1
- Delete the 1st action in Risk 1

Section 4: Generating Reports from the Excel Risk Register

This section includes the following:

- 4.1 Running "sub-action list" reports for risk action owners
- 4.2 Running "sub-register" reports for risk coordinators
- 4.3 Receiving updated sub-register(s) and sub-action List(s)
- 4.4 Running a Risk Register Report
- 4.5 Exercise

Top Tips:

Before running the Risk Register report, sub-registers or sub action list do the following checks:

1. Ensure reporting period is entered in the basic detail worksheet and that the date format is dd/mm/yyyy.
2. In the risk register worksheet ensure there are no blank cells in the existing control column
3. In the risk action log worksheet ensure there are no blank cells in the action column.
4. In the risk register worksheet ensure that the residual risk rating is complete

Take a copy of the Excel Risk Register and run the reports from the copy.

Section 4.1: Running "sub-action list" reports for risk action owners

The timing of the request for action updates will depend on the Risk Register managing and monitoring procedure that is in place.

In preparing the risk 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 that are owned by a certain person (action owners). If there are 10 action owners assigned to actions on the risk action log, there will be a need for 10 sub-action lists, one sub-action list per risk action owner.

Step 1:

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

Step 2:

Locate and click the "sub - Action List" button (red arrow). Pressing the 'sub -action list' button will generate an action report for each of the risk owners.

Step 3:

The action reports when generated will have a file name of Book1, Book 2, and Book 3 etc. these need to be located, renamed and saved in a folder (red arrow)
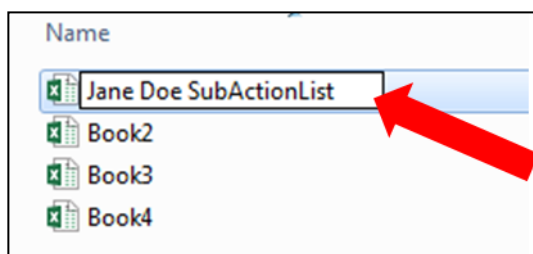
Step 4:

E-mail the sub-action list(s) to the relevant action owner(s), requesting that they provide an update on the actions that are assigned to them. Updates must be provided on the sub-action list template that is sent out to the action owners then returned to the Risk Register Administrator

Note: The sub-actions list created does not have the same functionality as the Risk Register, and there are no buttons or drop-downs included. Risk action owners will update the file as they would with any other Excel file.

When the Risk Action Owner(s) return the updated sub-action reports move to **Section 4.3** for instruction on Receiving Updated Sub-action lists from the Risk Action Owners.

Section 4.2: Running "sub-register" reports for Risk Coordinators

The timing for the request to re-assess the risks will depend on the Risk Register managing and monitoring procedure in place.

In preparing the risk report, information must be gathered from the risk coordinators. 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 coordinators on the risk register, there will be a need for 4 sub-registers, one per risk coordinator.

Step 1:

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

Step 2: Select cell 'Month' and enter the date of the report in the following format dd/mm/yyyy and press return (red arrow) the date will default as month/yy.

Step 3:

To create the risk sub-register(s), select the "Risk Register" worksheet by clicking on it (red arrow)

Step 4:

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

Step 5:

The sub register reports when generated will have a file name of Book 1, Book 2, Book 3 etc. these need to be located, renamed and saved in a folder (red arrow)
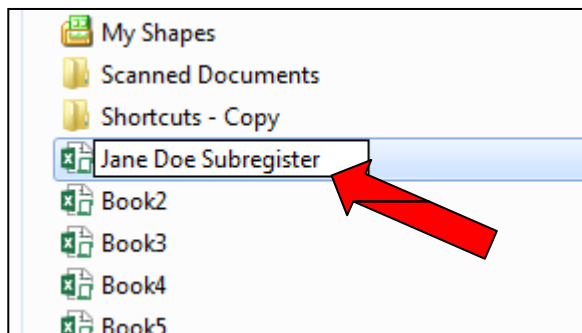
Step 6:

Email the "sub-register(s) to the relevant risk coordinators requesting that they re-assess the risks and provide re-assessment information on the sub register report and submit back to the Risk Register Administrator.

Note: The sub-register(s) does not have the same functionality as the Risk Register, and there are no buttons or drop-downs included. Risk Coordinators will update the file as they would with any other Excel file.

When the Risk Coordinator(s) return the updated sub-register(s) move to **Section 4.3** for instruction on Receiving Updated Sub-Register(s)

Section 4.3: Receiving updated sub-action list(s) and sub-register(s)

Once the risk action owner(s) and the risk coordinator(s) have updated their applicable sub-action list or sub-register, and have sent it back, the updates need to be mirrored to the **master risk register**.

In order to highlight the changes made to the sub-action list and sub-register by the risk action owner(s) and the risk coordinator(s), you can 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.

On the 'Review' tab (red arrow), in the 'Changes' group select 'Highlight Changes…' (yellow arrow) from the 'Track Changes' drop-down (blue arrow). This will open the 'Highlight Changes' window

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).
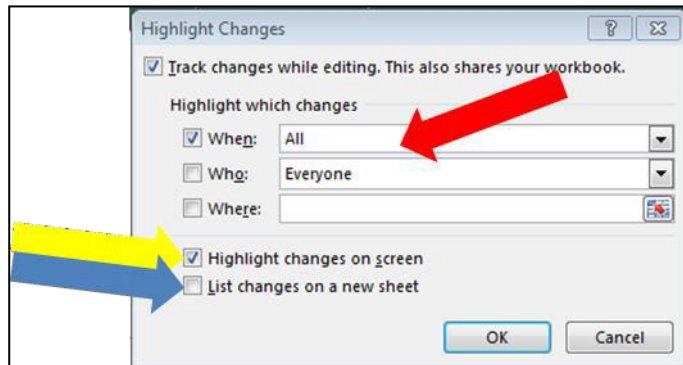
Any cells that have been updated by the risk coordinator will now be highlighted with a colored box around the cell (red arrow). Hover over the cell to expose the note (yellow arrow). This will help mirror updates from the sub-register(s) to the master register.

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.

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

Once all updates from sub-register(s) are mirrored in the master register, select the

"Summary" worksheet by clicking it (red arrow).

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

> **Top Tips:**
>
> An alternative and perhaps an easier option to Step 4.3 could be to ask the risk action owners and the risk coordinators to highlight the changes that they made in red text on the sub register and sub action list template that they received. On receipt of the sub register(s) and sub-action lists from the Risk action owners and risk coordinators copy and paste the updates and changes made into the Master Excel Risk Register – see Section 3 for instruction on how to edit a risk register.

Section 4.4: Running Risk Register report

The timing for running Risk Register reports will depend on the Risk Register managing and monitoring procedure that is in place.

Step 1:

Select the "Basic Details" worksheet by clicking it (red arrow).

Step 2:

Select cell "Month" and enter the report date in the following format dd/mm/yyyy (yellow arrow) and press return. The date will default as month/yy. This is the date that will appear on the risk register report.

Step 3:

Locate and click the "Report" button (red arrow).

Step 4:

When the report is finished running a new **Excel** file will be created 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.)

Step 5:

Now, right-click on the "Risk Detail" worksheet (yellow arrow) and click "Select All Sheets" (red arrow).

Step 6:
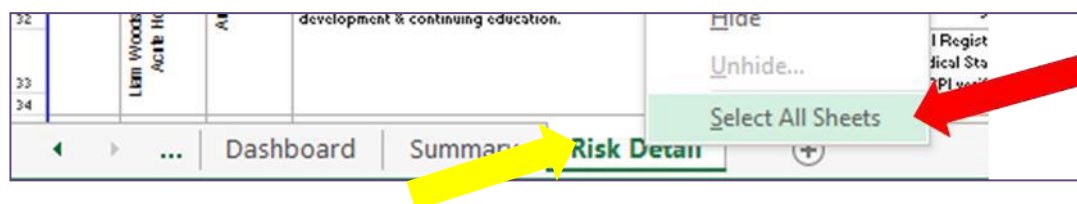
Save the file by clicking 'File' (red arrow), then clicking 'Save As' (yellow arrow), at which point the 'Save As' window will open.

Step 7:

In the "File name" field enter the name of the report e.g. Risk Register report Q2, 2018 (red arrow)

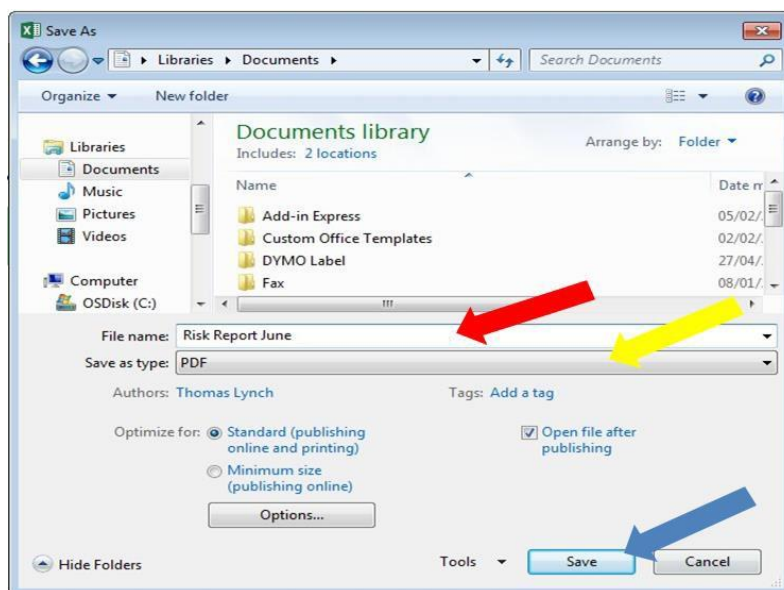In the "Save as type "field it is important to select "**PDF"** from the dropdown list (yellow arrow). If you do not select PDF the report will not publish.

Then click on the "Save" button (blue arrow).

This will publish the risk report in a PDF format. The risk report is a point in time snapshot of the Risk Register which contains the following information:

- Risk Register Cover Page;
- 2 pages of dashboards;
- Risk information Summary Pages, and a
- Full risk register report.

Section 4.5: Exercise

- Run Risk Coordinator(s) sub-register(s)
- Run action owner(s) sub-action list(s)
- Run a point in time Risk Register report

Section 5: Closing a risk

> **Top Tips:**
>
> **Before** moving a risk from the "Dashboard", "Summary", "Risk Register", "Risk Action Log" worksheet to the "Closed Risk" worksheet carry out the following checks:
>
> 1. Ensure the risk is marked closed on the Risk Register worksheet.
> 2. In the risk register worksheet ensure there are no blank cells in the existing control column. If there are blank cells enter N/A in the cells
> 3. In the risk action log worksheet ensure there are no blank cells in the action column. If there are blank cells enter N/A in the cells.
> 4. In the risk action log worksheet ensure that the target risk rating is complete.
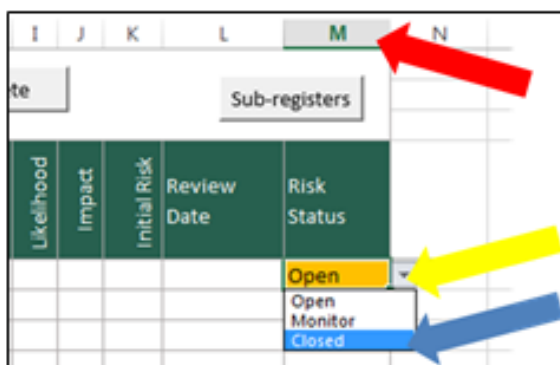
Step 1:

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

Step 2:

Locate the risk that you want to close and select the appropriate cell (red arrow).

Click the dropdown icon which appears (yellow arrow) and selecting "Closed" from the dropdown menu (blue arrow).


Selecting "Closed" on the risk register worksheet does not archive the risk into the "Closed Risk" worksheet. The Risk will remain on the "Risk Register", "Risk Action Log", "Summary" and "dashboard" worksheets, and the status will be noted 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. The risk should then be removed from subsequent reports by archiving the risk in the "Closed Risk" worksheet.

Step 3:
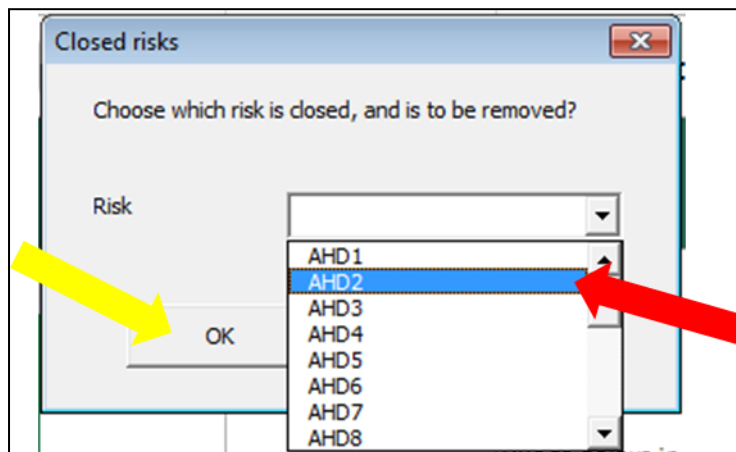
To remove a "closed" risk from the "Dashboard", "Risk Register", "Risk Action Log" and "Summary" worksheets, to the "Closed risk" worksheet (after completing the checks as outlined in the tops tips section) on the "Risk Register" worksheet locate and click the 'Closed Risk' button (red arrow), which will open the

'Closed Risk' window.
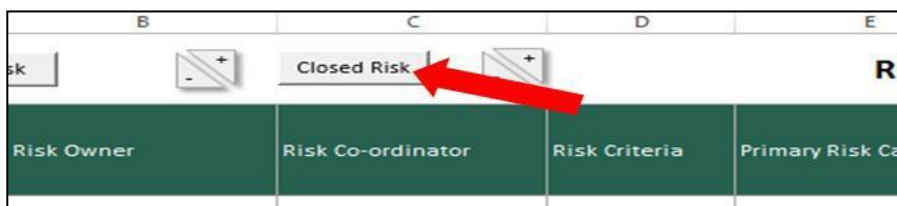
Step 4:

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).

Make sure you select the right risk ID from the dropdown list. It is easy to choose the wrong risk ID from the list.

Selecting "OK" will remove the closed risk from the "Dashboard", "Risk Register", "Risk Action Log" and "Summary" worksheets and move it to the "Closed Risks" worksheet.
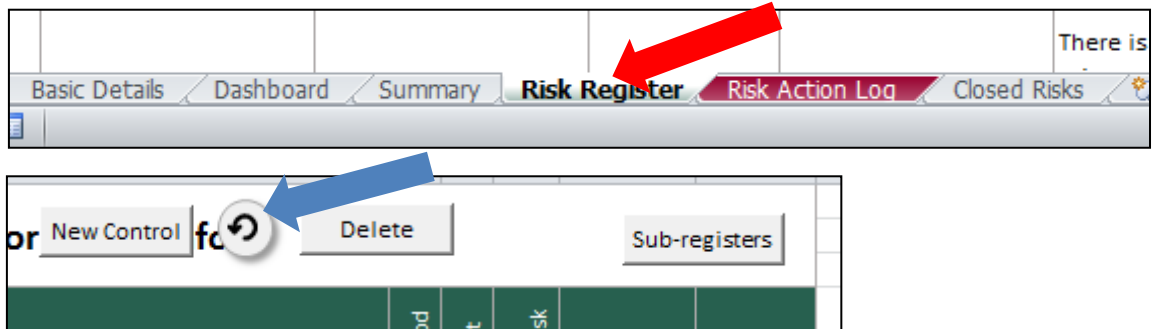
Moving a risk to the "Closed Risk" Worksheet in Error.

If you choose the wrong risk ID from the drop-down you can undo this error by clicking on the "Risk Register" worksheet (red arrow) and select the 'back arrow' button (blue arrow). This will undo the action.

This undo action will only work if you have <u>not </u>saved the document.

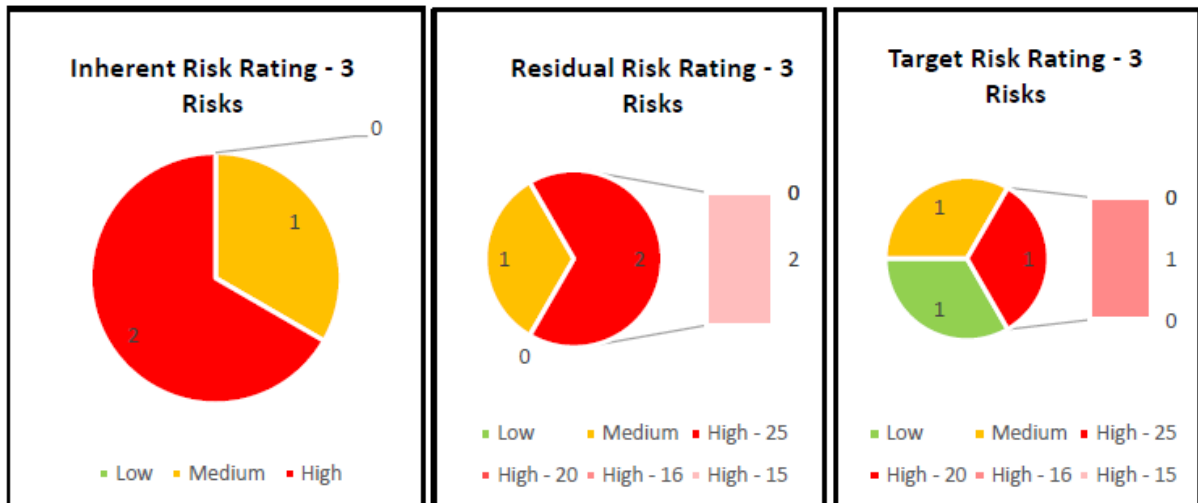
Section 5.1: Exercise

Close Risk 1 on Risk Register

Undo the Closing of Risk 1 on the Risk Register.

Section 6: Reviewing Dashboard

The "Dashboards" worksheet contains a graphical representation of data on the Risk Register.

There are 8 graphical representations of the data on the dashboard and these are shown in each of the figures below:
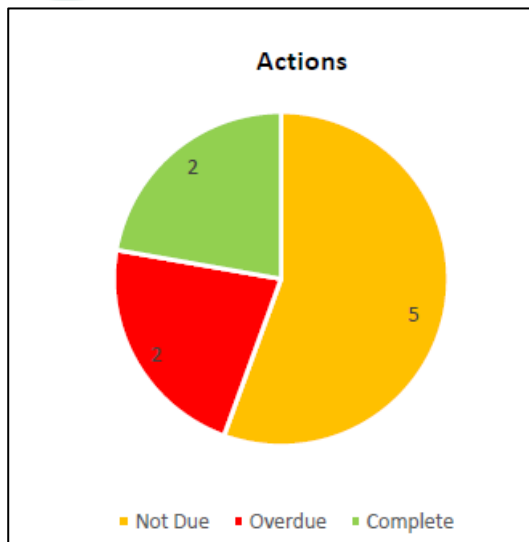

Figure 1. Risk Ratings for Inherent, Residual and Target.

- Inherent shows there are 2 high and 1 medium
- Residual shows there are 2 high and 1 medium
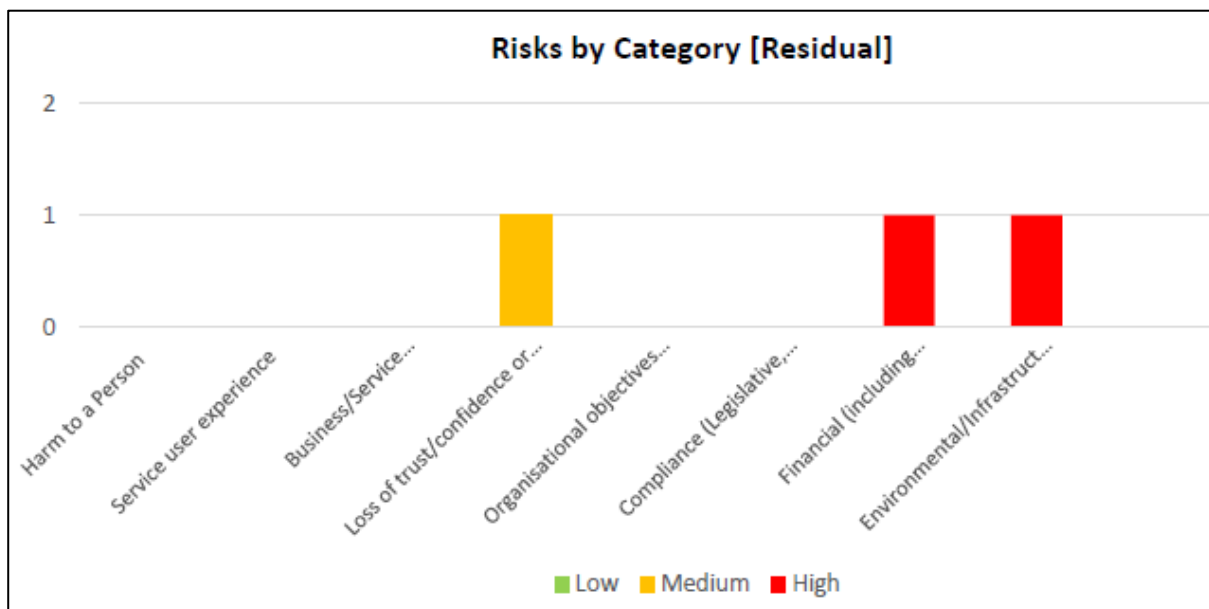- Target chows there is 1 high, 1 medium and 1 low
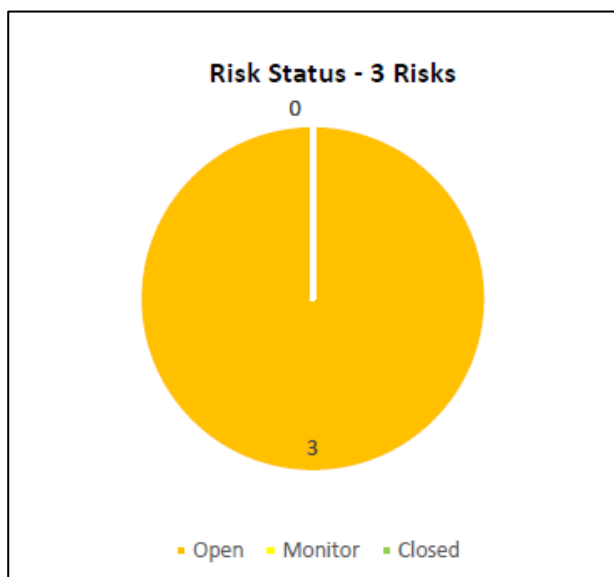
Figure 2. Risk status. There are 3 risks and all are open.
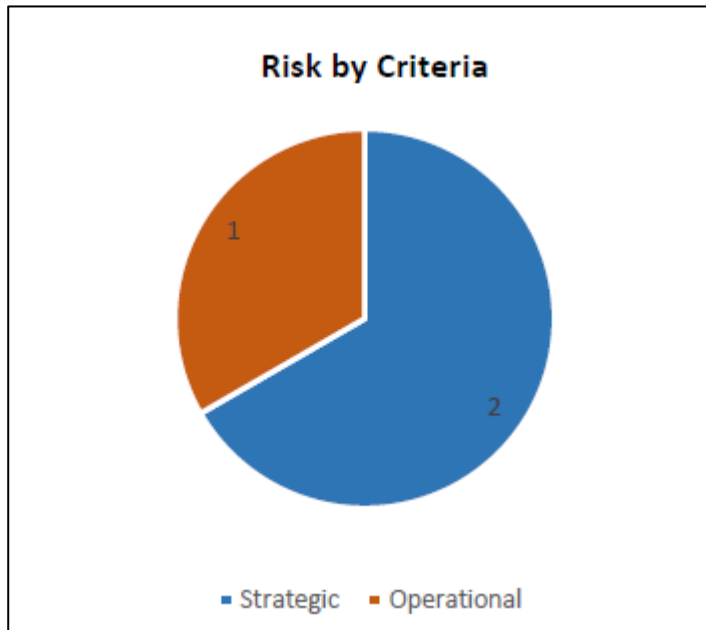
Figure 3. Actions.

There are 9 actions in total.

- 5 are not due.
- 2 are overdue.
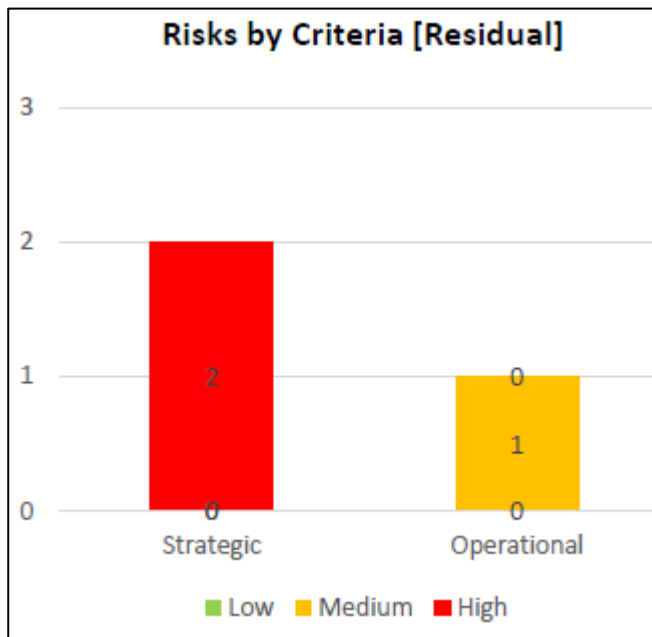- 2 are complete.

Figure 4. Risks by Category (Residual)

There is one risk for 3 of the categories shown. 2 are high and 1 is medium.

Figure 4. Risk by Criteria.

There are 2 strategic and 1 operational risks.

Figure 5. Risks by Criteria (Residual)

There are 2 high strategic risks and 1 medium operational risk.