**Please note additional information and guidance related to each of the areas outlined below can be found in the** [**HSE Enterprise Risk Management Policy and Procedures 2023**](https://www.hse.ie/eng/about/who/riskmanagement/risk-management-documentation/hse-enterprise-risk-management-policy-and-procedures/)**.**

| **No** | **Enterprise Risk Management Self-audit and Implementation Checklist** | **Y/N/Na** | **Action Plan / Comments** | **Due Date** |
| --- | --- | --- | --- | --- |
|  | **ERM Mandate and Management Commitment**  |
| 1. | Have you/your team located and read the HSE Enterprise Risk Management Policy and Procedures 2023?  |  |  |  |
| 2. | Are you aware of your role and responsibilities in relation to risk management and in line with the ERM 2023 Policy?*[1.5.6 Risk Roles Common to Each Level of the Health Service, page 11]*  |  |  |  |
| 3. | Have you/your team attended relevant training in relation to the ERM 2023 policy?*[*[*2023 HSE Enterprise Risk Management Training - HSE.ie*](https://www.hse.ie/eng/about/who/riskmanagement/risk-management-documentation/2023-hse-enterprise-risk-management-training/)*]*  |  |  |  |
| 4. | Is there a reporting process in place to ensure appropriate levels of communication, notification and escalation in relation to risk?*[3.7 Procedure: Communication and Consultation, page 50]* |  |  |  |
|  |  |  |  |  |
|  | **Establishing the Context, Scope and Criteria**  |
| 5. | Have you established the context and scope of the risk assessments? *[3.0 Procedure: Scope, Context and Criteria, page 26]* |  |  |  |
| 6. | Have you identified the criteria/type [Strategic or Operational] to be used to evaluate the risks?*[2.1.4 Establishing the Criteria (including Risk Appetite)* *and* *2.1.4.1 Strategic and Operational Risks, page 16]* |  |  |  |
| 7. | Have you identified the relevant key internal stakeholders including risk owners, risk lead and risk co-ordinator who have accountability, authority and competence for managing risk?*[1.5.6 Risk Roles Common to Each Level of the Health Service, page 11]* |  |  |  |
| 8. | Where relevant, have you identified the key external stakeholders? *[2.1.3.2 Understanding the External Context, page 15 and 3.0 Procedure: Scope, Context and Criteria, page 26]* |  |  |  |
|  |  |
|  | **Identifying Risks**  |
| 9. | Have you undertaken an exercise to identify relevant risks to the achievement of objectives?*[3.1 Procedure: Risk Identification, page 27]* |  |  |  |
| 10 | Have you described all risks using the Event, Cause and Impact format?*[3.2 Procedure: Risk Description, page 29]* |  |  |  |
| 11. | Have you identified the causes of risk, impact and the likelihood of the risk occurring?*[3.2 Procedure: Risk Description, page 29 and 3.3.1.1 Likelihood of a Risk, page 32]* |  |  |  |
|  |  |  |  |  |
|  | **Analysing Risks**  |
| 12. | Have you assessed the inherent level of risk? *[ 3.3.2 Inherent Risk Level, page 36]* |  |  |  |
| 13. | Have you identified the controls in place?*[3.3.4 Effectiveness of Controls, page 39]* |  |  |  |
| 14. | Have you assessed the residual level of risk? *[3.3.5 Residual Risk Level, page 40]* |  |  |  |
|  |  |  |  |  |
|  | **Evaluating Risks**  |
| 15. | Have you assessed the target level of risk? *[3.3.6 Target Risk Level, page 42]* |  |  |  |
| 16. | Have you compared the residual level of risk to the target level to determine the need for additional actions?*[3.3.6 Target Risk Level, page 42]* |  |  |  |
|  |  |  |  |  |
|  | **Implementing Risk Treatment** |
| 17. | Have you identified and agreed the relevant risk treatment option as detailed below?1. Avoid/Terminate: Details of the decision and approval.
2. Transfer: Details of the transfer to who, what, where, when and why.
3. Treat/Reduce: List of actions, action owners, and due dates.
4. Accept: Details of the decision and approval.

*[3.5 Procedure: Risk Treatment, page 46]* |  |  |  |
| 18. | Have you put in place a process to monitor the risk treatment options? *[3.5 Procedure: Risk Treatment, page 46]* |  |  |  |
|  | **Recording and Reporting**  |
| 19. | Have you completed the HSE Risk Assessment Form? *[3.6.1 Documenting your Risk Assessment, page 47]* |  |  |  |
| 20. | Where relevant, has the risk been recorded on the HSE Excel Risk Register tool? *[3.6.2 What is the Process for Entering the Risk Assessment onto the Risk Register?, page 47]* |  |  |  |
| 21. | If the risk has been escalated, have you completed the HSE [‘Proposed risk for consideration’ form](https://www.hse.ie/eng/about/who/riskmanagement/risk-management-documentation/hse-enterprise-risk-management-supporting-tools/)?*[3.7.3 Risk Escalation, page 52]* |  |  |  |
|  |  |  |  |  |
|  | **Communication** |  |  |  |
| 22. | Is risk management a standing agenda item for all management meetings?*[3.8.5 Ongoing Risk Reviews, page 54]* |  |  |  |
| 23. | Have you documented the results of your risk communication and consultation?[e.g. Minutes of meetings; reviewed and approved Risk Assessment Forms][3.7.1 Risk Communication, page 50*]* |  |  |  |
| 24 | Is the risk register reviewed at the management team meetings and on quarterly basis?[2.6 Monitoring and Review of Risk*, page 23 and 3.8.5 Ongoing Risk Reviews, page 54]* |  |  |  |