**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]* | |  |  | |  |