|  |  |
| --- | --- |
| HSE Logo |  |

(Insert name of service)

Risk Register

SAMPLE of a QUARTERLY

Risk Register Managing & Monitoring process

Approved by the Management Team on[enter date]

Note: This document is intended for use in managing and monitoring risk registers at senior management team level i.e. National Divisional, Hospital Group/Hospital, CHO/Head of Service, NAS Corporate/Operational Area



1. Introduction:

Updating the (insert name of) risk register is an on-going process and updates can occur at any time. To ensure the register is actively reviewed and updated, a scheduled process is in place to ensure effective monitoring.

1. Purpose:

The purpose of this document is to outline the process for managing and monitoring the (insert name of service) risk register.

1. Roles and Responsibilities:

|  |  |
| --- | --- |
| Risk Owner | The Risk Owner is the manager of the (insert name of service) |
| Risk Coordinator | The Risk Coordinators are members of the management team who have been assigned responsibility by the Risk Owner to manage a particular risk on the (insert name of service) risk register on behalf of the Risk Owner. |
| Nominated Risk Lead | The Risk Lead is the person who provides risk management technical expertise in the (insert name of service). *E.g. Risk advisor, QPS advisor* |
| Action Owners | Action Owners are:   * the Risk Owner’s manager * the Risk Owner themselves * members of the Risk Owner’s management team   who have been assigned and accepted additional controls/actions which have been assigned to them. |
| Administrator | The Administrator is the person responsible for the day to day administration of the (insert name of service) risk register. |

1. Managing and Monitoring Process:
   1. Quarterly (insert name of service) Risk Register Managing and Monitoring Process

Whilst the risk register process is live and iterative, the (insert name of service) risk register will be formally reviewed by the management team on a quarterly basis. Risk register review meetings will be scheduled in:

* January
* April
* July
* October

A schedule as outlined in **Appendix 1** is required to ensure effective managing and monitoring of (insert name of service) risk register.

Six weeks in advance of the Management Team Meeting

* From the (insert name of service) risk register the Administrator will run the action owner reports and email the reports to the Action Owners.
* The Action Owners have ***two*** weeks from the date of the alert to provide updates on the action owner report that was sent out to them and submit back to the Administrator who in turn enters the updates received onto the (insert name of service) risk register.

Four weeks in advance of the Management Team meeting:

* From the (insert name of service) risk register the Administrator will run risk coordinator reports and email the reports to the Risk Coordinators.
* The Risk Coordinators in consultation with the Risk Lead and with input from Action Owners, if required, will reassess each of the risks for which they are assigned a coordinating responsibility. [**See Appendix 2** – Guidance on reassessment of risks].
* The outcome of the reassessment will be submitted back to the Administrator on the risk coordinator report within ***two weeks***.

Two weeks in advance of the Management Team meeting:

* The Administrator updates the (insert name of service) risk register based on the reassessments received from the Risk Coordinators.
* The Administrator runs the quarterly (insert name of service) risk register report *(in pdf format)* from the risk register and submits this together with a risk register position paper which sets out the key changes since the last report e.g. new risks added, risks closed, actions completed/outstanding, changes to risk rating etc (analysis report) if required to the Manager (Risk Owner) for review prior to submission to management team.

One week in advance of the Management Team meeting:

* The Manager (Risk Owner) circulates the following to the management team members:
  + (insert name of service) risk register quarterly report
  + (insert name of service) risk register position paper (analysis report) (if required)
  + Any proposed new risks received for consideration for that period

At the Management Team meeting:

The following will be reviewed at the management team meeting:

* All active risks on the (insert name of service) risk register. (i.e. risk status of open and monitor)
* New risks submitted for consideration.

Directly after the Management Team meeting:

The Manager (Risk Owner) will, in writing, inform the Administrator of the decisions made at the management team meeting relating to:

* Any amendment and additions to the existing risks on the (insert name of service) risk register agreed and signed off at the management team meeting.
* The decisions reached on new risks for consideration.

The Administrator will:

* Update the (insert name of service) risk register based on decision made at the management team meeting and run the **Final quarterly** (insert name of service) **risk register and save it as a PDF file.** This is the official quarterly risk register to be retained for audit purposes.
* Record the decision(s) reached on new risks on the local new risk notified for consideration database/spreadsheet. A sample data set required for this database / spreadsheet is outlined in **Appendix 3.**
  1. Process for the addition of new risks onto the (insert name of service) risk register.

Criteria:

The criteria for inclusion of risks onto the (insert name of service) risk register are determined by the (insert name of service) Manager (Risk Owner) and the Management Team and may include:

* Risks that require a management plan, for example where actions may need to be allocated to a number of the members of management team
* Significant risk which require the direct oversight of the management team.

It is recognised that proposals for the addition of new risks onto the (insert name of service) risk register can be made at any time but the decision to include these as risks on the (insert name of service) risk register will be made and recorded at the management team meeting.

Risks can be communicated or notified from:

* Within the (insert name of service) organisational structure level,

Or

* A previously unidentified risk identified e.g. at corporate level or another divisional level

New risks to be considered should be submitted to the (insert name of service) *Manager (Risk* Owner) on the *Proposed risks for inclusion on the* (insert name of service) *Risk Register form* **(Appendix 4).** The receipt of the proposed risks for consideration shouldbe recorded on a local database/spreadsheet held in the office of the Manager (Risk Owner).

At the Management Team meeting, the team can decide to:

1. **Accept** the risk onto the (insert name of service) risk register
2. **Not accept** the risk onto the (insert name of service) risk register
3. **Request** further information

Accept the Risk onto the (insert name of service) Risk Register

The risk is assigned to a Risk Coordinator who is a member of the management team. The Risk Coordinator, Risk Lead and any other persons required assess the risk and complete the risk assessment.

The decision to accept the risk is notified to the Administrator. The Administrator records the decision on the local database/spreadsheet and formally communicates the decision to the management team member who submitted the risk issue for consideration. The management team member who submitted the risk should ensure the risk is also included on their own risk register and that it is managed in accordance with the **HSE Integrated Risk Management Policy**.

The risk assessment when complete is brought back to the next management team meeting for agreement and sign off. After the management team meeting, the signed off risk assessment form is sent by the Manager (Risk Owner) to the Administrator for the inclusion of the new risk onto the (insert name of service) risk register. The risk then gets reviewed as part of the normal managing and monitoring reporting cycle.

Not accept the risk onto the (insert name of service) Risk Register.

If a decision is taken ***NOT*** to accept the risk onto the (insert name of service) risk register, the decision and the reason for the decision should be noted at the management team meeting. The decision ***NOT*** to accept the risk is notified to the Administrator. The Administrator records the decision on the local database/spreadsheet and formally communicates the decision and reason for the decision to the management team member who submitted the risk issue for consideration. The management team member who submitted the risk should ensure the risk is included on their own risk register and that it is managed in accordance with the **HSE Integrated Management Policy**.

Request for further information

If a decision is taken that further information is required and the management team member who submitted the risk is not represented at the management team meeting the Manager (Risk Owner) informs the Administrator who ensures that the required information is available for the next available management team meeting.

Appendix 1 – (insert name of service) Risk Register Schedule at Management Team (6 week cycle – work back from date of meeting)

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| (insert name of service) **Risk** **Register reporting period** | **Administrator sends out action reports to the action owners on:** (date field) | **Action Owner Action updates to be sent back to the Administrator by:**  *(date field)* | **Administrator circulates updated reports to the Risk Coordinators On:** *(date field)* | **Risk Coordinator Reassessment of risks submitted to Administrator by:**  *(date field)* | **Administrator submits the risk register report and position paper to the Risk Owner** (Risk Owner has*2 days to review data)* | **Risk Owner Submits Risk Register report, position paper and new proposed risks to management team by:**  *(approx. 1 week in advance of the meeting)* | **Date of management team meeting where risk register is an agenda item.** |
| Q1 2018 |  |  |  |  |  |  | April 2018 meeting |
| Q2 2018 |  |  |  |  |  |  | July 2018 meeting |
| Q3 2018 |  |  |  |  |  |  | October 2018 meeting |
| Q4 2018 |  |  |  |  |  |  | Jan 2019 meeting |

Appendix 2 - Guidance on reassessment of Risks.

The Risk Coordinators in consultation with the Risk Lead and with input from the Action Owners, if required, must reassess each of the risks for which they are assigned a coordinating responsibility.

#### This reassessment will include a:

* Review of the **latest action updates** received in the reporting cycle.

Where evidence is available that an action is implemented /complete, this needs to be reflected in the risk register. I.e. A decision needs to be taken if the completed action needs to be documented as a new existing control in the ‘existing controls’ section of the risk register.

*(Note: completed actions whilst included in the existing controls section do not necessarily affect the overall rating of the risk e.g. the availability of a revised policy or procedure whereas a new control will not impact on the management of the risk until implemented.*

* Review of the **risk description** to ensure it remains valid.
* Review of the **existing controls.**

As the internal or external context may have changed since the risk was previously reviewed what were considered ‘strong’ controls may no longer be applicable or some new ones may now be in place which are not related to the action plan and require inclusion on the risk register.

* Decision to determine if any new actions / controls, above those already identified on the register are required and assign Action Owner(s) and action due dates if required.

If new actions/controls are required they must be agreed with the Action Owner (with the due date) before sending the reassessed risk back to the Administrator.

* Review of the **risk rating** in context of the above.
* Review of the current **risk status.**

Appendix 3 – Notified risks for consideration database / spreadsheet data set

Date proposal received:

Proposal submitted by:

Proposed Risk Description:

Date for consideration at Management team meeting:

Decision made at Management Team meeting:

Date decision communicated to management team member who submitted the risk:

Appendix 4- *Proposed risks for inclusion on the* (relevant service / function) *risk register form*

**Proposal to Management Team for the inclusion of a new risk on the** (insert name of service) **Risk Register**

|  |  |  |
| --- | --- | --- |
| Name of Management Team member proposing the risk |  | |
| Date: |  | |
| Description of risk being proposed  (please use ICC[[1]](#footnote-1) format for risk description) | | |
| Rationale for the proposal  (Provide a description of the background to the risk and why you consider it should be considered for inclusion on the Corporate Register) | | |
| Basis for inclusion on register (tick one) | | |
| 1. It is a risk that requires substantial cross (insert name of service) collaboration to mitigate | |  |
| 1. It is a significant risk which requires the direct oversight of the Management Team to ensure their mitigation | |  |
| 1. Other (please state) | |  |
| Please return this form to the Manager (Risk Owner) on [email](mailto:nationalhr@hse.ie) addresses (here) | |  |

|  |  |
| --- | --- |
| **For Risk Lead Office Use Only** |  |
| Date Proposal Received |  |
| Further information Required | Y/N |
| Date for consideration at Mgt Team |  |
| Accepted for Risk Assessment | Y/N |
| If no, what is plan for further management? |  |
| If yes, name of Risk Co-ordinator responsible for Risk Assessment[[2]](#footnote-2) |  |

1. ICC refers to Impact, Cause and Context – the risk description should contain these three elements e.g. risk of <*Impact*> due to <*Cause*> within <*Context*>. For a list of risk impact categories for use please refer to Section 6 and Appendix 3 of the HSE Integrated Risk Management Policy. [↑](#footnote-ref-1)
2. When the risk assessment is completed and considered by the Management team the nominated Risk Co-ordinator may change depending on the outcome of the risk assessment process. [↑](#footnote-ref-2)