

ISO 31000

Audit Checklist



GSDC ISO 31000:2018 Risk Management Checklist:

A Guide to Establishing a Comprehensive Risk Management Framework

Introduction

Effective risk management is essential for any organization striving to achieve its objectives while minimizing potential threats.

The ISO 31000:2018 Risk Management Checklist provides a systematic approach to establishing a robust risk management framework in alignment with ISO 31000 standards.

This checklist will guide you through the critical steps of planning, leadership commitment, and assigning responsibilities to ensure that risk management becomes an integral part of your organization's operations.

By following this checklist, GSDC helps organizations establish a well-structured risk management framework, foster leadership commitment, and ensure that all personnel understand and manage risk within their roles.

ISO 31000:2018 RISK MANAGEMENT CHECKLIST

Use this risk management checklist to guide you through the following stages of establishing your risk management framework, as per the ISO 31000 risk management standard.

This checklist document includes the following sections on effective risk management:

- Plan the Establishment of Your ISO 31000 Risk Management Framework
- Show Leadership by Making a Commitment to Risk Management
- Make Your Organization's Personnel Responsible for Managing Risk

Plan the Establishment of Your ISO 31000 Risk Management Framework

ITEM	DONE	TO DO	N/A
Ask key stakeholders to support the establishment of an ISO 31000-compliant risk-management framework.			
Ask top management to support the establishment of the ISO 31000 risk-management framework.			
Evaluate your existing risk management practices and processes.			
Identify gaps in your risk management practices and processes.			
Establish a framework that meets your organization's unique needs.			
Establish a framework that fills the gaps in existing practices and processes.			
Consider how you intend to develop your risk management framework.			
Consider how you're going to design your risk management framework.			
Consider how you're going to fill gaps in your existing practices and procedures.			
Consider how you're going to make risk management part of your organization.			
Consider how you're going to integrate risk management into all significant activities.			
Consider how you're going to build risk management into all decision-making activities.			

Plan the Establishment of Your ISO 31000 Risk Management Framework continued

ITEM	DONE	TO DO	N/A
Consider how you're going to integrate risk management into all significant functions.			
Consider how you're going to build risk management into all governance functions.			
Consider how you're going to implement your risk management framework.			
Consider how you're going to evaluate your risk management framework.			
Consider how you're going to improve your risk management framework.			

Show Leadership by Making a Commitment to Risk Management

ITEM	DONE	TO DO	N/A
Ask your leaders to support a risk management framework.			
Ask your leaders to make a commitment to risk management.			
Ask oversight bodies to make a commitment to risk management.			
Ask oversight bodies to align risk management with the organization's strategy.			
Ask oversight bodies to align risk management with the organization's culture.			
Ask oversight bodies to align risk management with organizational objectives.			

Ask oversight bodies to align risk management with organizational obligations.			
Ask oversight bodies to align risk management with voluntary commitments.			
Ask oversight bodies to be accountable for overseeing risk management.			

Show Leadership by Making a Commitment to Risk Management continued

ITEM	DONE	TO DO	N/A
Ask them to ensure that risks are understood throughout the organization.			
Ask them to ensure that risks are communicated throughout the organization.			
Ask them to ensure that risk management methods are communicated.			
Ask them to ensure that risk management is integrated into all activities.			
Ask them to ensure that risk management systems are implemented.			
Ask them to ensure that risk management systems are operating effectively.			
Ask them to ensure that risk is properly evaluated when setting objectives.			
Ask them to ensure that risk is properly managed when achieving objectives.			
Ask oversight bodies to communicate the value of risk management.			
Ask them to communicate the value of risk management to the organization.			
Ask them to communicate the value of risk management to stakeholders.			

Ask top management to make a commitment to risk management.			
Ask top management to align risk management with the organization's strategy.			
Ask top management to align risk management with the organization's culture.			
Ask top management to align risk management with organizational objectives.			
Ask top management to align risk management with organizational obligations.			
Ask top management to align risk management with voluntary commitments.			

Show Leadership by Making a Commitment to Risk Management continued

ITEM	DONE	TO DO	N/A
Ask top management to ensure that appropriate risk criteria are developed.			
Ask them to ensure that risk criteria are communicated throughout the organization.			
Ask them to ensure that risk criteria are communicated to all relevant stakeholders.			
Ask top management to communicate the value of risk management.			
Ask managers to communicate the value of risk management to the organization.			
Ask managers to communicate the value of risk management to stakeholders.			
Ask top management to be accountable for managing risk management.			

Ask them to ensure that risk management is integrated into all activities.			
Ask top management to monitor the unique risks facing their organization.			
Ask top management to encourage personnel to systematically monitor risks.			
Ask your leaders to establish a risk management framework.			
Ask them to develop a framework that meets the organization's needs.			
Ask them to prepare a general risk management policy statement.			
Ask them to define their general approach to risk management.			
Ask them to prepare a general risk management plan of action.			
Ask them to make people accountable for managing risk.			
Ask them to assign risk management responsibilities.			

Show Leadership by Making a Commitment to Risk Management continued

ITEM	DONE	TO DO	N/A
Ask them to assign responsibilities at all appropriate levels.			
Ask them to delegate risk management authority.			
Ask them to delegate authority at all appropriate levels.			

Ask them to allocate all required risk management resources.			
Ask them to monitor the application of their risk management framework.			
Ask them to ensure that it remains appropriate to the organization's context.			

Make Your Organization's Personnel Responsible for Managing Risk

ITEM	DONE	TO DO	N/A
Make risk management an integral part of your organization's culture.			
Ask everyone in your organization to be responsible for managing risk.			
Ask your governance personnel to be responsible for managing risk.			
Ask them to be responsible for making risk management part of governance.			

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