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Risk management – Principer och riktlinjer (ISO 31000:2009, IDT)

Risk management – Principles and guidelines (ISO 31000:2009, IDT)

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Den internationella standarden ISO 31000:2009 gäller som svensk standard. Detta dokument innehåller den officiella engelska versionen av ISO 31000:2009.

The International Standard ISO 31000:2009 has the status of a Swedish Standard. This document contains the official English version of ISO 31000:2009.

Upplysningar om sakinnehållet i standarden lämnas av SIS, Swedish Standards Institute, telefon 08-555 520 00.
Standarder kan beställas hos SIS Förlag AB som även lämnar allmänna upplysningar om svensk och utländsk standard.

Information about the content of the standard is available from the Swedish Standards Institute (SIS), tel +46 8 555 520 00.
Standards may be ordered from SIS Förlag AB, who can also provide general information about Swedish and foreign standards.

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

International Standards are drafted in accordance with the rules given in the ISO/IEC Directives, Part 2.

The main task of technical committees is to prepare International Standards. Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights.

ISO 31000 was prepared by the ISO Technical Management Board Working Group on risk management.

Introduction

Organizations of all types and sizes face internal and external factors and influences that make it uncertain whether and when they will achieve their objectives. The effect this uncertainty has on an organization's objectives is “risk”.

All activities of an organization involve risk. Organizations manage risk by identifying it, analysing it and then evaluating whether the risk should be modified by risk treatment in order to satisfy their risk criteria. Throughout this process, they communicate and consult with stakeholders and monitor and review the risk and the controls that are modifying the risk in order to ensure that no further risk treatment is required. This International Standard describes this systematic and logical process in detail.

While all organizations manage risk to some degree, this International Standard establishes a number of principles that need to be satisfied to make risk management effective. This International Standard recommends that organizations develop, implement and continuously improve a framework whose purpose is to integrate the process for managing risk into the organization's overall governance, strategy and planning, management, reporting processes, policies, values and culture.

Risk management can be applied to an entire organization, at its many areas and levels, at any time, as well as to specific functions, projects and activities.

Although the practice of risk management has been developed over time and within many sectors in order to meet diverse needs, the adoption of consistent processes within a comprehensive framework can help to ensure that risk is managed effectively, efficiently and coherently across an organization. The generic approach described in this International Standard provides the principles and guidelines for managing any form of risk in a systematic, transparent and credible manner and within any scope and context.

Each specific sector or application of risk management brings with it individual needs, audiences, perceptions and criteria. Therefore, a key feature of this International Standard is the inclusion of “establishing the context” as an activity at the start of this generic risk management process. Establishing the context will capture the objectives of the organization, the environment in which it pursues those objectives, its stakeholders and the diversity of risk criteria – all of which will help reveal and assess the nature and complexity of its risks.

The relationship between the principles for managing risk, the framework in which it occurs and the risk management process described in this International Standard are shown in Figure 1.

When implemented and maintained in accordance with this International Standard, the management of risk enables an organization to, for example:

— increase the likelihood of achieving objectives;

— encourage proactive management;

— be aware of the need to identify and treat risk throughout the organization;

— improve the identification of opportunities and threats;

— comply with relevant legal and regulatory requirements and international norms;

— improve mandatory and voluntary reporting;

— improve governance;

— improve stakeholder confidence and trust;

— establish a reliable basis for decision making and planning;

— improve controls;

— effectively allocate and use resources for risk treatment;

— improve operational effectiveness and efficiency;

— enhance health and safety performance, as well as environmental protection;

— improve loss prevention and incident management;

— minimize losses;

— improve organizational learning; and

— improve organizational resilience.

This International Standard is intended to meet the needs of a wide range of stakeholders, including:

a) those responsible for developing risk management policy within their organization;

b) those accountable for ensuring that risk is effectively managed within the organization as a whole or within a specific area, project or activity;

c) those who need to evaluate an organization's effectiveness in managing risk; and

d) developers of standards, guides, procedures and codes of practice that, in whole or in part, set out how risk is to be managed within the specific context of these documents.

The current management practices and processes of many organizations include components of risk management, and many organizations have already adopted a formal risk management process for particular types of risk or circumstances. In such cases, an organization can decide to carry out a critical review of its existing practices and processes in the light of this International Standard.

In this International Standard, the expressions “risk management” and “managing risk” are both used. In general terms, “risk management” refers to the architecture (principles, framework and process) for managing risks effectively, while “managing risk” refers to applying that architecture to particular risks.

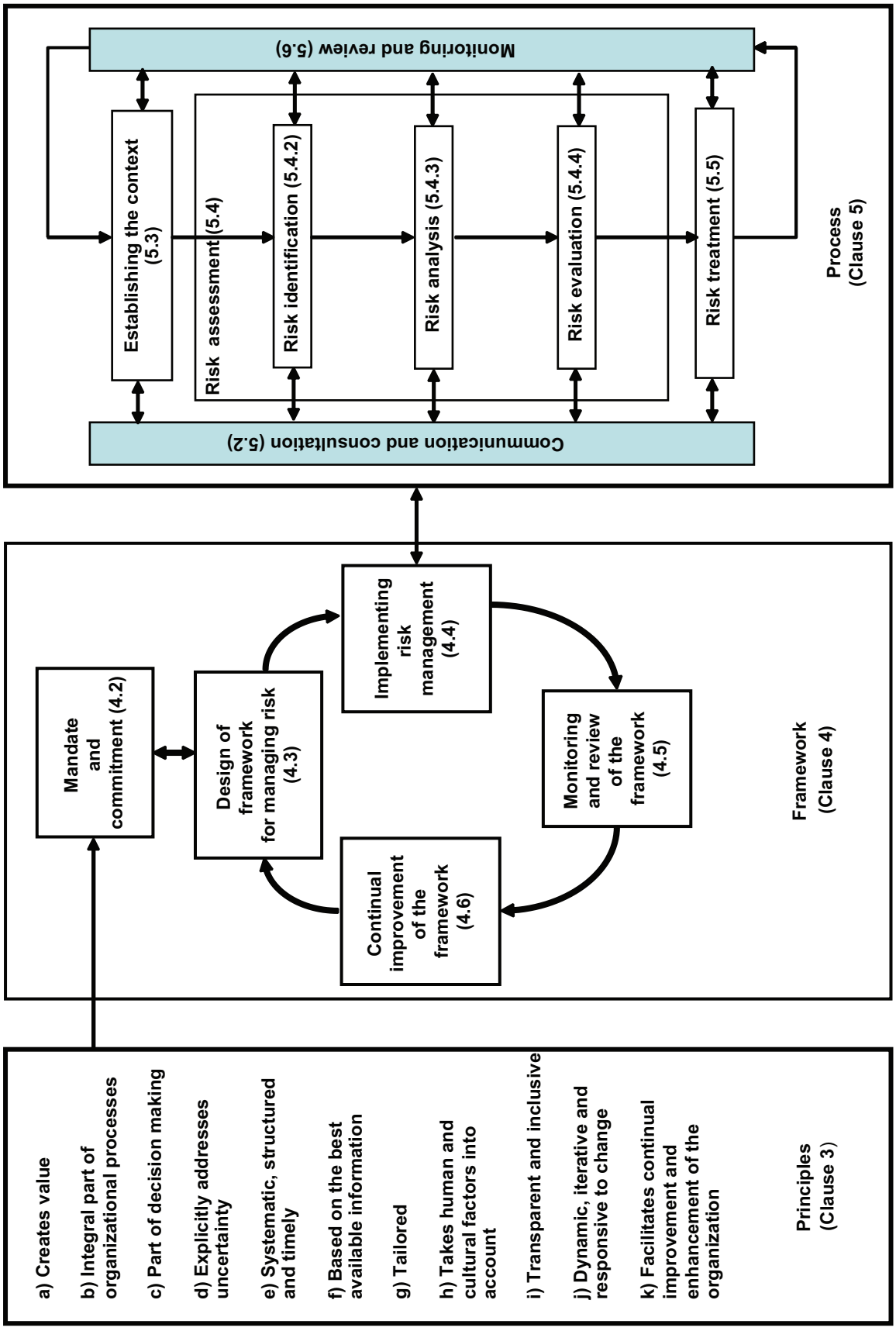

Figure 1 — Relationships between the risk management principles, framework and process

Risk management — Principles and guidelines

1 Scope

This International Standard provides principles and generic guidelines on risk management.

This International Standard can be used by any public, private or community enterprise, association, group or individual. Therefore, this International Standard is not specific to any industry or sector.

NOTE For convenience, all the different users of this International Standard are referred to by the general term “organization”.

This International Standard can be applied throughout the life of an organization, and to a wide range of activities, including strategies and decisions, operations, processes, functions, projects, products, services and assets.

This International Standard can be applied to any type of risk, whatever its nature, whether having positive or negative consequences.

Although this International Standard provides generic guidelines, it is not intended to promote uniformity of risk management across organizations. The design and implementation of risk management plans and frameworks will need to take into account the varying needs of a specific organization, its particular objectives, context, structure, operations, processes, functions, projects, products, services, or assets and specific practices employed.

It is intended that this International Standard be utilized to harmonize risk management processes in existing and future standards. It provides a common approach in support of standards dealing with specific risks and/or sectors, and does not replace those standards.

This International Standard is not intended for the purpose of certification.