



## Terms of Reference

<b>Title:</b>	<b>Executive Risk Management Group</b>
<b>Approving Body:</b>	Board of Directors
<b>Date Approved:</b>	May 2016
<b>Review Date:</b>	May 2017
<b>Purpose:</b>	The purpose of the Executive Risk Management Group is to champion and promote the development of highly effective risk management across the Trust. The Group is responsible for establishing a strategic approach to risk management across the organisation, ensuring that the approach is pro-active. The Group is also responsible for the overall co-ordination of risk management activity. It ensures that the necessary processes are in place to achieve compliance with statutory requirements and to protect the Trusts' patients, staff and assets. Risk management will be an integral part of the Trusts' strategic and operational objectives.
<b>Membership:</b>	Chief Executive (Chair) Director of Finance Director of Clinical Care & Patient Safety Director of Transformation, Strategy & Workforce Chief Operating Officer Medical Director
<b>In Attendance</b>	Head of Risk & Regulatory Services Head of Resilience & Special Operations Business Manager Emergency Care Business Manager PTS Business Manager Contact Centre Assistant Director of Communications and Engagement Commercial Services Business Manager Trust Secretary
<b>Deputies</b>	At the discretion of the Chair
<b>Chair:</b>	Chief Executive
<b>Vice Chair:</b>	Director of Clinical Care & Patient Safety
<b>Quorum:</b>	Chair or Vice Chair and two group members
<b>Secretary:</b>	PA to Chief Executive
<b>Frequency of Meetings:</b>	Monthly
<b>Rules of the Meetings &amp; Proceedings:</b>	To be called by the Secretary at the request of the Chair.
<b>Notice of Meetings:</b>	Unless otherwise stated, notice of each meeting confirming the venue, time and date together with an agenda of items to be discussed and supporting papers, shall be forwarded to each member of the Group and any other person required to attend, no later than 5 working days before the date of the meeting; save exceptional circumstances.

<p><b>Minutes:</b></p> <p><b>Resources:</b></p>	<p>The Secretary shall ensure the minutes of the proceedings and resolutions, including recording the names of those present and in attendance, are taken and transcribed.</p> <p>A draft copy of the Minutes, approved by the Chair, shall be circulated at Executive Team meeting and items escalated to the Board and its committees as required.</p> <p>The Chair of the Group shall also draw to the attention of the Audit Committee any controls / process issues that require escalation.</p> <p>The Group will be supported administratively by the PA to the Chief Executive who will:</p> <ul style="list-style-type: none"> <li>• Agree the agenda with the Chair, collate and distribute papers within time-frames</li> <li>• Ensure Minutes are taken and keep a record of matters arising and issues to be carried forward</li> </ul>
<p><b>Attendance at Meetings</b></p>	<p>Members are expected to attend at least 9 of the 12 meetings in one year. On those occasions when members cannot attend, they shall submit a brief written report on all actions, to be presented by their named deputy; attendance of a named deputy (in such cases) is mandatory.</p> <p>Attendance shall be monitored and recorded by the Secretary.</p>
<p><b>Authority / Tolerances</b></p>	<p>The Group is authorised to commit resources to:-</p> <ul style="list-style-type: none"> <li>• Investigate any activity within its Terms of Reference</li> <li>• Seek reports and positive assurances from Managers on individual functions or overall arrangements for all aspects of risk management.</li> <li>• Secure the attendance/participation of third parties with relevant experience and expertise</li> <li>• Establish time-limited task-groups to undertake specific pieces of work</li> <li>• Commission visits, inspections, research, surveys or other activities, as necessary for it to obtain knowledge and information required</li> <li>• Direct, develop and agree the necessary policy and strategy documents relative to its remit</li> </ul>

<p><b>Duties</b></p>	<p>To ensure that the identification, evaluation and monitoring of key risks that threaten achievement of the Trust's objectives is carried out, and that a register of these risks is maintained via the Board Assurance Framework</p> <p>To agree the strategy in place to manage risks on the organisational risk register, including identification of appropriate risk owners, and monitoring the satisfactory operation of the risk management policy.</p> <p>To gain assurances and evidence that other risks are being actively managed, with the appropriate strategies in place and working effectively.</p> <p>Provide to the Audit Committee <b>six monthly</b> reports on the effectiveness of the systems and processes the group has established relating to risk management, any significant weaknesses or failings that have been identified and the conclusions of any testing carried out by internal and/or external auditors and/or other consultants</p> <p>Champion and promote highly-effective risk management practices, ensuring that the risk management process and culture is embedded throughout the Trust</p> <p>Establish and monitor the Trust's risk maturity level prior to formal ratification by the Trust Board</p> <p>Ensure that risk is identified and managed proactively in accordance with the Board's risk appetite</p> <p>Review and formulate management's recommendations to the Board on risk and risk management;</p> <p>Review and approval of risk-related policies and business continuity arrangements;</p> <p>Consider Trust's strategic risks in the light of the achievement of the Trust's Strategy</p> <p>Review the ORR and invite service lines and corporate functions to attend the Group on a rotational basis and present a risk report on their risk registers and key actions taken. This enables the Group to exercise appropriate challenge over risk scores and progress.</p> <p>Maintain oversight of the risk management function, in particular;</p>
	<ul style="list-style-type: none"> <li>• provide direction to management and employees on risk matters; and</li> <li>• interact with other Committees on the subject of risk and risk management.</li> <li>• to address such other matters related to risk management as may arise from time to time.</li> </ul> <p>Consider and approve the design and remit of the Risk Management Function and ensure that it has adequate resources, processes and appropriate access to information to enable it to perform its function effectively;</p>

	Ensure that procedures are in place for immediate reporting to appropriate levels of management/committees of any significant risks arising, and control failings or weaknesses that are identified, together with details of remediation action being undertaken.
<b>Duties – Standing Agenda Items</b> <ul style="list-style-type: none"> <li>• <b>Every meeting:</b></li> </ul>	<ul style="list-style-type: none"> <li>• Apologies for absence</li> <li>• Minutes of the last meeting</li> <li>• Matters arising</li> <li>• Register of Outstanding Actions</li> <li>• Risk management ORR</li> <li>• Risks emerging from business transacted</li> <li>• Any other business</li> <li>• Date, time and venue of next meeting</li> </ul>
<ul style="list-style-type: none"> <li>• <b>Bi-monthly</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Review of business continuity and resilience report</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Quarterly</b></li> </ul>	<ul style="list-style-type: none"> <li>• <b>Board Assurance Framework</b></li> </ul>
<ul style="list-style-type: none"> <li>• <b>Annually</b></li> </ul>	<ul style="list-style-type: none"> <li>• Review of Group Effectiveness (see self-assessment)</li> <li>• Review Terms of Reference and membership of the Group</li> <li>• Preparation of a Work-Plan for the year ahead</li> <li>• Trust Business Objectives and Risk Management Strategy shall be reviewed annually, prior to formal ratification of work plans</li> </ul>
<b>Sub-groups</b>	Steering Groups will be formed as required, should specific issues need to be addressed by the Group. Where necessary, staff and or specialists from other disciplines may be utilised
<b>Accountability:</b>	The Group will be ultimately accountable to the Board of Directors <b>via direct reporting into the Quality Committee.</b>
<b>Roles, Reporting &amp; Responsibilities:</b>	<p>The Chair shall be responsible for its operation and will ensure that key and appropriate issues are discussed in a timely manner.</p> <p>Following each meeting, the Chair provides an assurance report to Executive Team meetings at the next meeting, highlighting salient and significant issues.</p> <p>The Group will provide the Audit Committee with <b>six monthly reports</b> on the effectiveness of the systems and processes the group has established relating to risk management, any significant weaknesses or failings that have been identified and the conclusions of any testing carried out by internal and/or external auditors and/or other consultants.</p>
<b>Risks:</b>	The Group shall Identify all emerging risks from the business transacted at each of its meetings and report these to the <b>Board of Directors.</b>
<b>Self-Assessment:</b>	The Group shall review its performance annually against its Terms of Reference and prepare a report for consideration by the <b>Board of Directors.</b>