

## Appendix 3

The Trust is required to operate within a Regulatory Framework which includes:

- **Monitor's Terms of Authorisation** – including the Compliance Framework and the NHS Foundation Trust Code of Governance.
- **The Department of Health** requires all NHS organisations to make an annual statement of internal control as part of their annual accounts. The statement explains how the organisation approaches risk management and is supported by the Assurance Framework. The Framework is a mandatory document showing how the organisation's principle risks are being managed, and what assurances are available to the Board and senior management about the effectiveness of the risk management process. The Trust's internal auditors and external auditors review both the Statement of Internal Control (SIC) and Assurance Framework annually.

**The Care Quality Commission** monitors progress how Trusts are meeting the essential standards of quality and safety, which sees risk management cutting across a number of domains covering both clinical and non-clinical risk standards. All NHS organisations must achieve these minimum standards.

- **The National Health Service Litigation Authority (NHSLA)** provides risk-pooling cover to the NHS for clinical and non clinical claims. As part of its approach to reducing risk across the NHS, it has set out in detail the standards it expects NHS organisations to achieve in their risk management arrangements. The most up to date standards for mental health are at: For mental health Trusts, the required standard is compliance with risk management standards (NHSLA) for Mental Health and Learning Disability Trusts (2009-10), which can be accessed from [www.nhsla.com/publications](http://www.nhsla.com/publications)
- **Partnerships with Commissioners and Stakeholders**  
The Trust will work in partnership with its stakeholders in the implementation of this Strategy to identify risks in relation to partnership agreements as part of the commissioning processes, communication of risk, and provides for assurances to be obtained about the management of those risks.  
A list of main stakeholders is at **Appendix 4**.