

SMAS Summary for 2020/21

	Not in Place	Limited Application	Mixed Application	Strong Application	Embedded
All relevant risks to directorate and corporate priorities and objectives are identified promptly and I receive a complete and comprehensive directorate risk register at least quarterly.				✓	
My quarterly risk identification, assessment and review processes include effective engagement with all relevant managers, partner organisations, stakeholders, and boards, through which I ensure good awareness and use of all relevant risk information.				✓	
I have at least one dedicated risk champion for my directorate, and I meet with my lead risk champion at least quarterly to review my directorate and corporate risks and ensure all risk registers are complete, accurate, effectively assessed and reported to the Risk Management Team each quarter.				✓	
I ensure proportionate risk responses are applied to manage all directorate risks in a timely manner and to an acceptable level, and I escalate all 'red' risks to SMT at least quarterly.				✓	
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<u>Collaborating Effectively: Partnership Governance, Risk Management and Control.</u> Robust governance, risk management and control arrangements are in place for all partnership / collaborative arrangements.			✓		

<u>Collaborating Effectively: Partnership Assurance</u> I receive timely and complete reports from all directorate partnership and collaborative arrangements, from which I can report assurance on robust governance, risk management and control.			✓		
<u>Involving People Effectively:</u> There is an understanding of who needs to be involved in any discussion about the service, and why. The service area can also present clear evidence that the views of stakeholders represent a vital source of information, and that the full diversity of stakeholders is represented in any engagement activity.				✓	
<u>Preventing issues from escalating: Acting Early</u> The consequences of issues not being addressed effectively is well understood by the service area, particularly if they are allowed to escalate. The broader impact on others is also understood, whether it affects other people, services, organisations, or the wider environment.				✓	
The results of compliance and review reports demonstrate sound compliance with policies, rules, legal and regulatory requirements across my areas of responsibility.				✓	
I am aware of and deliver clear actions promptly to address all areas of non-compliance e.g., training, work instructions, systems development, application of HR policy etc.				✓	
Prior to initiating any new programmes or projects: <ul style="list-style-type: none"> • I demonstrate the rationale and methodology which supports prioritising the project or programme, and 				✓	

<ul style="list-style-type: none"> Where relevant the broad scope is discussed with the OD Operational Manager to determine if it should be delivered as part of the Capital Ambition Delivery Programme (formerly ODP), or directorate managed. 					
All programmes and projects for which I am responsible have robust briefs, plans and business cases which have been appropriately approved in a timely manner, and include clearly defined financial and non-financial outcomes and benefits.				✓	
All programmes and projects proactively manage the achievement of key milestones and record and manage associated opportunities, risks and issues. This is evidenced in timely and robust reporting to oversight boards.				✓	
Throughout my directorate, there are robust mechanisms in place to deliver the budget with strong and effective budget monitoring and control.				✓	
Throughout my directorate, there are robust mechanisms in place to deliver all savings and income targets.				✓	
My directorate has worked effectively to deliver the Corporate Plan, and my Directorate Delivery Plan clearly sets our contribution to achieving corporate priorities and objectives and managing associated risks.			✓		
All decisions include due documented consideration of the sustainability of services and encompass future generation needs.			✓		

Robust business cases outline the savings and the mitigation of associated risks such as sale of assets, technology changes, reduced staffing, restructure, or alternative service delivery models.			✓		
Throughout directorate functions, partnerships and collaborations, sound and complete managerial control systems are in place, including: <ul style="list-style-type: none"> • Clear Roles and Responsibilities • Clear and effective authorisation processes • Robust and complete policies and procedures • Robust monitoring, reporting and review arrangements • Timely identification and mitigation of control weaknesses 				✓	
There is a culture of clear accountability for upholding strong internal controls within the directorate and managing any non-conformance.				✓	
Across all functions, partnerships and collaborations, robust safeguards are in place for: <ul style="list-style-type: none"> • Physical and information assets • Financial Stewardship • Authorisation and approval procedures • Systems 				✓	
I have robust controls in place to prevent and promptly detect fraud, bribery, and corruption.				✓	
I can evidence effective application of the Fraud, Bribery & Corruption Policy, and the Disciplinary Policy				✓	

KPI and benchmarking data is collected for all key areas of service and are used to measure performance and to drive improvement actions.			✓		
All relevant staff have completed their Performance Reviews using S.M.A.R.T objectives and clear performance evidence, from which effective development plans have been produced.				✓	