

SMR Health Check



Answer no? You May Be At Risk!

- 1 Is your solution independent of 'expert' individuals following manual processes?
- 2 Does your solution automatically engage key stakeholders?
- 3 Will your processes keep up with regular changes in governance, roles, responsibilities, reporting lines and people?
- 4 Can you effectively communicate changes within your business and to the regulators?
- 5 Have you the got the capability to apply robust version controls to your map, SORs and all associated evidence?
- 6 Can you, with 100% confidence, know which map version and associated documentation was in place on any given date?
- 7 Is all of the necessary evidence in one place, easily accessible and tightly linked together? Will it still be, in 5 years time?
- 8 Do you have an indelible record of Senior Managers attesting to their understanding of their functions and responsibilities?
- 9 When the person 'managing' your SMR solution moves on, can the resulting 'control' risk be easily managed?
- 10 Does your solution provide a clear view of people risks in your areas of responsibility and support 'reasonable steps' to monitor and manage them?