

Tuesday, 14 March 2023

To: Members of the MCA - Audit, Standards and Risk Committee and Appropriate Officers

NOTICE OF MEETING

You are hereby summoned to a meeting of the South Yorkshire Mayoral Combined Authority to be held at **South Yorkshire MCA, 11 Broad Street West, Sheffield, S1 2BQ**, on: **Wednesday, 22 March 2023** at **1.00 pm** for the purpose of transacting the business set out in the agenda.



Martin Swales
Chief Executive and Head of Paid Service

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By entering the meeting room, you are consenting to be filmed and to the possible use of those images and sound recordings for webcasting and/or training purposes.

Member Distribution

Councillor Phillip Lofts (Chair)
Rhys Jarvis (Vice-Chair)
Councillor Ian Auckland
Cllr Sophie Castledine-Dack
Councillor Austen White
David Phillips

Barnsley MBC
(Independent Member)
Sheffield City Council
Rotherham MBC
City of Doncaster Council
Independent Member

MCA - Audit, Standards and Risk Committee

Wednesday, 22 March 2023 at 1.00 pm

Venue: South Yorkshire MCA, 11 Broad Street West, Sheffield, S1 2BQ



Agenda

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Afternoon Session			
15.	Internal Audit Approach 2023/24		5 - 12
16.	Updated Assurance and Accountability Framework	Felix Kumi-Ampofo & Lyndsey Whitaker	13 - 92
17.	Governance Improvement Plan Update	Claire James	93 - 102
18.	Code of Corporate Governance Review	Claire James	103 - 112
19.	Initial Findings of the Annual Governance Review 2022/23	Claire James	113 - 128
20.	Committee Effectiveness	Chair	129 - 136
21.	Breach of Controls Report	Gareth Sutton	Verbal
22.	Work Plan	Chair	137 - 142

Date of next meeting: Wednesday, 21 June 2023 at 11.00 am

At: South Yorkshire MCA, 11 Broad Street West, Sheffield, S1 2BQ

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Audit, Standards and Risk Committee

Wednesday, 22 March 2023

Internal Audit Approach 2023/24

Is the paper exempt from the press and public?	No
Reason why exempt:	Not applicable
Purpose of this report:	Discussion
Is this a Key Decision?	No
Has it been included on the Forward Plan of Key Decisions?	Not a Key Decision

Director Approving Submission of the Report:
Gareth Sutton, Director of Resources & Investment/s73 Officer

Report Author(s):
Rob Barnett, Internal Audit - RSM

Summary

The Audit, Standards and Risk Committee is responsible for overseeing and reviewing the Authority's internal audit strategy. This report presents the Internal Audit Approach for 2023/24 from the new Internal Auditors, RSM.

Recommendation(s)

Members are asked to note the Internal Audit Approach 2023/24.

List of Appendices Included:

A Internal Audit Approach 2023/24

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SOUTH YORKSHIRE MAYORAL COMBINED AUTHORITY (SYMCA)

Internal Audit Approach 2023/24

Presented at the Audit, Standards and Risk Committee meeting of: 22 March 2023

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1. DEVELOPMENT OF THE INTERNAL AUDIT PLAN

The internal audit plan will be presented to members of the Audit, Standards and Risk Committee for consideration and approval at a later date.

The key points to note in our approach on the development of the Internal Audit Plan are:



2023/24 Internal Audit priorities: In agreeing the plan of assignments to be covered in 2023/24, we will meet with each of the SYMCA Executive Leadership Team to understand their risk areas and discuss areas of coverage for consideration. The graphic on the following page illustrates key activities and deliverables within our mobilisation plan for the planning and carrying out of audit requirements that will allow us to prepare a focused and tailored internal audit strategy.

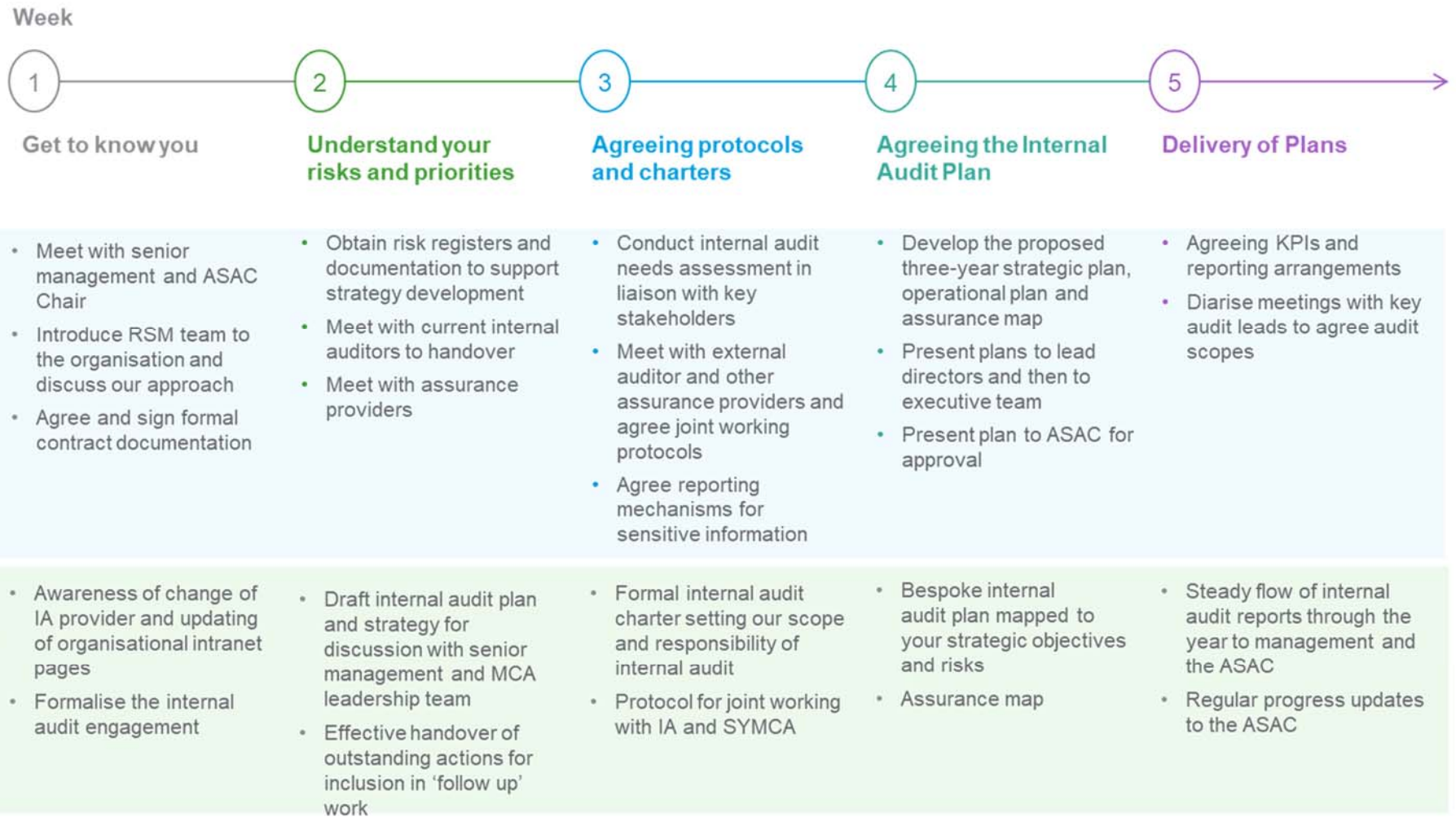
We will then meet with the SYMCA Executive as a collective to discuss the identified areas for Internal Audit reviews for 2023/34, followed by a meeting with the Chair of the Audit, Standards and Risk Committee.



Level of Resource: The level of resource required to deliver the plan is in line with the agreement made upon our appointment. In delivering your internal audit services we will embrace technology when undertaking operational audits. Through tools such as 4questionnaires, MS Teams meetings, secure web portals for audit data sharing (Huddle) and data analytics, our approach consists of a combination of both on-site client presence and remote auditing. This will strengthen our sampling and focus our audit testing.



'Agile' approach: Our approach to working with you will always be one where we will respond to your changing assurance needs. By employing 'agile' or a 'flexible' approach to our service delivery, we are able to change the focus of audits / audit delivery as requested by management or the Audit, Standards and Risk Committee.

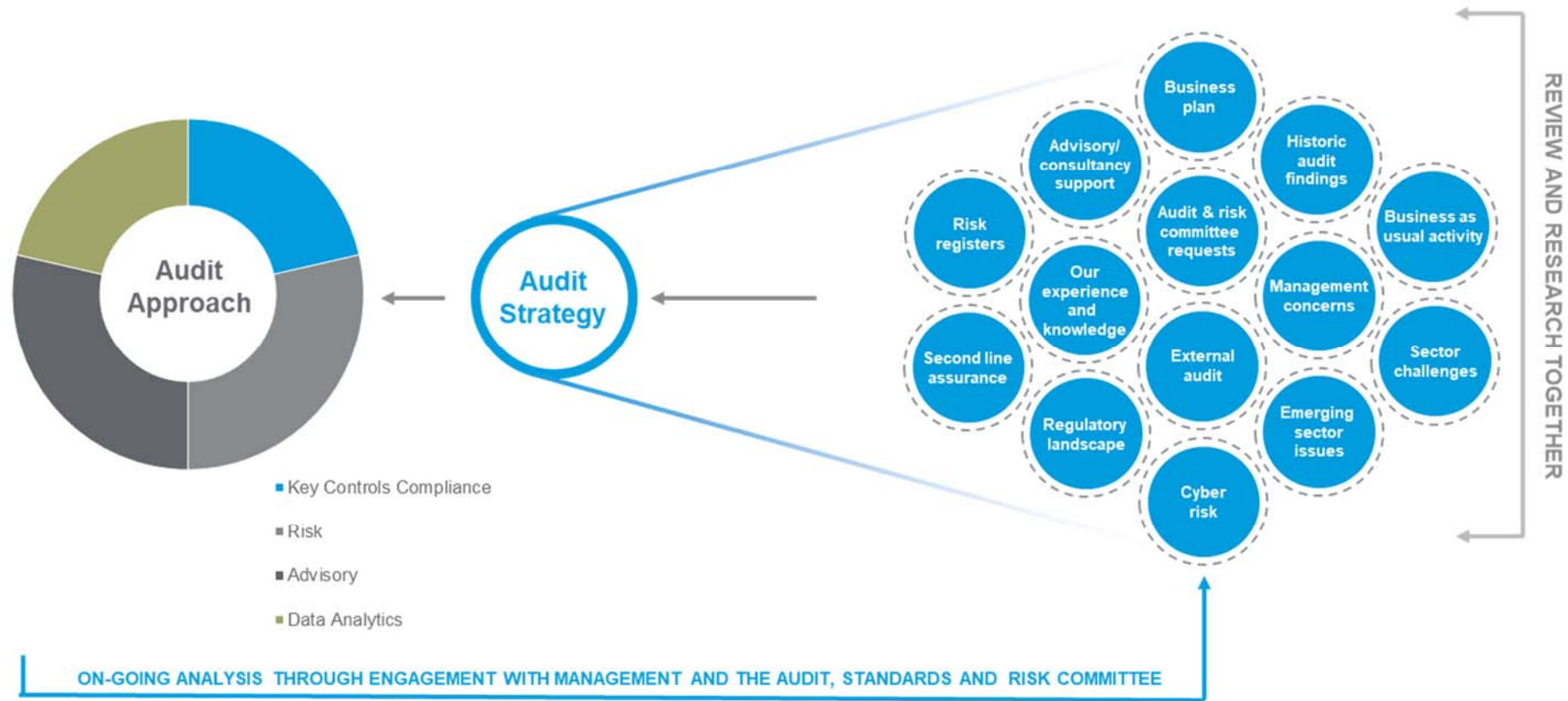


Our approach to developing your internal audit plan is based on analysing your corporate objectives, risk profile and assurance framework as well as other, factors affecting SYMCA in the year ahead, including changes within the sector.

Risk management processes

We will use various sources of information (see Figure A below) and discussed priorities for internal audit coverage with Executive Leadership Team, and the Audit, Standards and Risk Committee.

Figure B: Audit considerations – sources considered when developing the Internal Audit Strategy.



Based on our understanding of the organisation, the information provided to us by stakeholders, and the regulatory requirements, we will develop an annual internal plan for the coming year and a high-level strategic plan.

FOR FURTHER INFORMATION CONTACT

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The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Actions for improvements should be assessed by you for their full impact. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

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We have no responsibility to update this report for events and circumstances occurring after the date of this report.

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Audit, Standards and Risk Committee

Wednesday, 22 March 2023

Assurance Framework

Is the paper exempt from the press and public?	No
Reason why exempt:	Not applicable
Purpose of this report:	Governance
Is this a Key Decision?	No
Has it been included on the Forward Plan?	Not a Key Decision

Director Approving Submission of the Report:

Gareth Sutton, Director of Resources & Investment/s73 Officer

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Summary

Each year the MCA is required to update and publish the Assurance Framework to outline the robust, transparent, and effective governance arrangements that are in place. Following devolution, the Assurance Framework also needs to be approved by four Government departments.

This report summarises the key amendments that have been incorporated into the 2023 Assurance Framework with a supporting slide-deck setting out the revisions that were endorsed by the MCA Board on 6 March 2023.

In considering the changes, account was taken of the performance of the capital programme, the findings of the Business Process Re-engineering review undertaken by a third party, and the need for continuous efficiency improvements in our processes.

The amendments as presented, are intended to speed up business case processes without affecting the quality of submissions. The amendments make use of internal practices and controls within each authority to avoid unnecessary duplication.

The proposed amendments presented to the MCA Board were informed by a series of engagement sessions held with local authority partners.

What does this mean for businesses, people and places in South Yorkshire?

The Assurance Framework outlines in detail how the MCA makes decisions and invests public money to develop and grow South Yorkshire's economy and support its people, businesses, and places.

Recommendations

1. Audit, Standards and Risk Committee Members note, at section 2.1, the amendments to the Assurance Framework to ensure compliance with the Government's requirements and most recent issued guidance.
2. Committee Members consider and agree the draft Assurance Framework in Appendix A for onward publication and submission to the relevant government departments.

Consideration by any other Board, Committee, Assurance or Advisory Panel

Mayoral Combined Authority Board

6 March 2023

1. Background

- 1.1 Each year the MCA is required by Government to update and publish its Assurance Framework by 31 March. The Assurance Framework sets out how the MCA will use public money responsibly, make robust decisions, achieve best value for money and act in an open and transparent manner. It explains the governance structures in place for making decisions, outlines the policies and procedures that support decision-making, summarises how investments and interventions are appraised and managed, and how the MCA will publish information.
- 1.2 The Government requires MCAs with devolution deals to specify, in their Assurance Framework, how all devolved and awarded monies and powers, including Gainshare, the Adult Education Budget (AEB), and the City Region Sustainable Transport Settlement (CRSTS) will be administered. The Department for Levelling Up, Housing and Communities (DLUHC), the Department for Transport (DfT) and the Department for Education (DfE) - must consider and approve the Assurance Frameworks of all MCAs with devolution deals.
- 1.3 The Government also requires MCAs with devolution deals to produce and publish an accompanying Monitoring and Evaluation Framework which details how projects and programmes funded through devolved and awarded funding will be monitored and evaluated.
- 1.4 The revised Assurance Framework attached at Appendix A has been developed in accordance with the most recent National Local Growth Assurance Framework guidance (issued in September 2021) and HM Treasury Green Book (November 2022).
- 1.5 The changes proposed to this year's Assurance Framework, were informed by local authority and wider stakeholder feedback, and considered alongside the wider organisational review. The resulting changes seek to streamline and improve the

speed and efficiency of the assurance process, without compromising quality and rigour.

- 1.6 The changes proposed can be reviewed alongside several other non-process changes such as the introduction of the Project Feasibility Fund to improve the quality and breadth of investment propositions and the introduction of the MCA's new Programme Management Office (PMO) which works with scheme sponsors to develop projects and secure funding approval as efficiently and effectively as possible.
- 1.7 This report includes the draft Assurance Framework and a summary slide deck at appendices A and B. The latter summarises the revised changes to the project development and approvals process that were endorsed by the MCA Board on 6 March 2023. The draft Assurance Framework has been submitted to the relevant government departments for their review and approval.

2. Key Issues

- 2.1 The draft Assurance Framework 2023 includes the following key amendments:
 - **Funding Devolved and Awarded to the MCA** - section 2 references the South Yorkshire Renewal Fund (SYRF) and this lists the updated suite of funding sources, including Multiply and ZEBRA.
 - **Transition of the LEP to a new business advisory board** - section 3 outlines the emerging Terms of Reference for the new business advisory board (the exact name is yet to be agreed) that will replace the LEP and the transition arrangements thereof.
 - **Programme Board** – sections 3 and 4 includes details on the role and function of the MCA Programme Board which consists of the Statutory Officers and senior officers to oversee programme and project development and progression.
 - **Annual Reporting to Government** – section 4 references the requirement for the MCA to produce and submit reports on performance monitoring and management of the Shared Prosperity Fund, Multiply and Devolution Investment Funds (Gainshare).
 - **Updated Approval Process** - section 5 includes several revised diagrams depicting proposed changes to the approvals process as detailed in appendix A.
 - **Gateway Review** – section 7 provides further clarification on the Government's requirements that the MCA must comply with for the Gateway Review on the Devolution Deal, otherwise known as Gainshare. This includes the development and publication of a Local Evaluation Framework, details on Gainshare funded schemes, a Baseline Report outlining what the MCA expects to achieve in terms of outputs, outcomes and economic progress in the five year period to March 2025, and a Mid-Term Review in September 2023 on progress made against the profiled achievements.
- 2.2 A request was made by the Audit, Standards and Risk Committee in January to remove references to the non-executive Audit and Risk Advisory Panel and replace it with Transport Working Group. This amendment has been made.

2.3 The Monitoring and Evaluation Framework which complements the Assurance Framework is currently being updated for 2023, alongside the development of the Local Evaluation Framework which specifically relates to Gainshare funding. Both documents will be presented to the Audit, Standards and Risk Committee for consideration at the June 2023 meeting.

3. Options Considered and Recommended Proposal

3.1 Without an agreed Assurance Framework, the MCA will be in breach of its statutory responsibilities. Therefore, the only option is to update and submit the framework.

4. Consultation on Proposal

4.1 A series of workshops and engagements began in November 2022 to obtain feedback and input from MCA staff and local authority officers on changes needed to improve the efficiency of the current assurance process. This engagement is ongoing and further workshops will be held through Spring 2023 to communicate approved changes.

5. Timetable and Accountability for Implementing this Decision

5.1 Following the MCA Board's endorsement on 6 March, the draft framework has been submitted to Government departments for their review and approval.

5.2 Following any required amendments from Government departments, a final draft will be re-submitted to the Government for Ministerial approval and sign-off. The Assurance Framework, and updated Monitoring and Evaluation Framework will be published in draft form on the MCA website on 1 April 2023 and will be replaced with the approved frameworks once approval has been granted by Government.

6. Financial and Procurement Implications and Advice

6.1 The MCA and LEP are required to demonstrate compliance with national guidance in order to receive devolved and awarded funding. The release of Gainshare and other central government funds is dependent on the Government's approval of the Assurance Framework.

7. Legal Implications and Advice

7.1 The Assurance Framework outlines the legal duties of the MCA and the policies and procedures that ensure the MCA and LEP make decisions through a legally compliant, robust and transparent process. This includes referencing the responsibilities of the Section 73 Officer, the purpose of internal and external audit, the role of the Overview and Scrutiny Committee and the project appraisal process (*Appendix 1 – Section 4: Accountability for Decisions and Public Funds*).

7.2 The draft Assurance Framework 2023 includes reference to the legal dissolution of the PTE that concluded earlier this month.

8. Human Resources Implications and Advice

8.1 Not Applicable.

9. Equality and Diversity Implications and Advice

- 9.1 The Assurance Framework outlines the MCA's commitment to equality and diversity. The draft Assurance Framework 2023 also outlines the requirement to comply with the Public Sector Equality Duty and how equality impacts of MCA funded programmes and projects will be assessed from 1 April 2023.

10. Climate Change Implications and Advice

- 10.1 The Assurance Framework outlines the MCA's commitment to the environment and climate change. The draft Assurance Framework 2023 references the new statutory responsibility for developing the Nature Recovery Strategy and how environmental impacts of MCA funded programmes and projects will be assessed from 1 April 2023.

11. Information and Communication Technology Implications and Advice

- 11.1 The Assurance Framework 2023 includes reference to the new Verto electronic system that is used to manage business case submission for programmes and projects as they move through the assurance process and into contract and monitoring.

12. Communications and Marketing Implications and Advice

- 12.1 The MCA is obliged to publish information on the decisions that are being made, particularly on investments, in an open and transparent way. The MCA has always taken the approach of publishing as much information as possible on the website so that it is accessible. The MCA is also required to publish its updated Assurance Framework and Monitoring and Evaluation Framework by 1 April 2023.
- 12.2 *Appendix 1 – Section 8: Publishing Information* outlines how the general public can access information that the MCA holds, the range of information that can be accessed through the website, the Forward Plan of Key Decisions, meeting papers and financial and project performance information.

List of Appendices Included

- A Draft Assurance Framework 2023
B Proposed Revised Scheme Development and Approvals Process as presented to the MCA Board on 6 March (slide deck).

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ASSURANCE FRAMEWORK

MARCH 2023



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1. Introduction

Purpose of the Assurance Framework

- 1.1 The aim of this document is to set out how the South Yorkshire Mayoral Combined Authority (MCA) will use public money responsibly, both openly and transparently, and achieve best value for money. This document outlines:
- The respective roles and responsibilities of the Mayoral Combined Authority Board, the South Yorkshire Mayor and other elements of the decision-making and delivery structure;
 - The key processes for ensuring accountability, probity, transparency, legal compliance, and value for money;
 - How potential investments will be prioritised, appraised, approved, and delivered; and
 - How the progress and impacts of these investments will be monitored and evaluated.
- 1.2 The Assurance Framework sits alongside several key governance and policy documents – most notably the Devolution Agreement and Settlement Letter, the MCA Constitution, the Financial Regulations, the Strategic Economic Plan (SEP), and Monitoring and Evaluation Framework.
- 1.3 The Assurance Framework has been developed in response to the National Local Growth Assurance Framework (September 2021) and in accordance with the HM Treasury Green Book (November 2022).
- 1.4 This Assurance Framework takes effect from 1 April 2023. It will apply to all new decisions, approvals, and funding bids, regimes, and projects from this date. For continuity and consistency purposes, some existing projects which are already part way through the 2022 Assurance Framework process, will conclude their funding approval through that route.

Updating the Assurance Framework

- 1.5 The Assurance Framework is reviewed and updated at the end of each year. The next annual review of this document is scheduled to commence in September 2023. However, this document may be amended and re-published prior to the annual review date if improvements or significant changes are made to the MCA, or its governance and assurance structures and processes, or if new guidance is received from the Government.
- 1.6 A draft of the Assurance Framework is presented to the MCA Board to approve any changes. The Assurance Framework is then submitted to the Department for Levelling Up, Housing and Communities (DLUHC), the Department for Transport (DfT) and the Department for Education (DfE) for approval. The document was also previously reviewed by the Department for Business, Energy, and Industrial Strategy (BEIS). However, following recent departmental changes, information is awaited on which of the new departments may need to consider this Framework.

The Structure of this Document

- 1.7 The remainder of this document is structured into the following sections:
- **Section 2** describes South Yorkshire, the funding devolved by Government to the Mayoral Combined Authority and the plan for economic growth.
 - **Section 3** explains the structures, roles, and responsibilities for decision-making.
 - **Section 4** outlines the processes for ensuring openness and accountability for public funds.
 - **Section 5** describes how the MCA collaborates and engages with other MCAs, partners, and the public.
 - **Section 6** illustrates how decisions are made in a robust, evidenced, and transparent manner.
 - **Section 7** explains how projects are delivered and monitored and evaluated.
 - **Section 8** states how the Mayor and MCA work collaboratively and consult with others
 - **Section 9** outlines how information is published.
 - **Appendix A** provides a summary of the policies in place.
 - **Appendix B** lists the key performance indicators that the MCA assesses funding applications and programme, project, and economic performance against.

2. About South Yorkshire

History

- 2.1 The South Yorkshire geographical area consists of the four local authority districts in South Yorkshire: Barnsley, Doncaster, Rotherham, and Sheffield.
- 2.2 In 2008, the Sheffield City Region (SCR) Forum was created to formalise collaborative working between the South Yorkshire authorities that had taken place since 1986. The SCR Forum evolved into the Local Enterprise Partnership (LEP) in 2010. This was followed by the formation of the Mayoral Combined Authority (MCA) on the 1st April 2014 and the election of the first Mayor on the 4th May 2018.
- 2.3 The South Yorkshire Devolution Deal¹ was signed into law on 27th July 2020.

Geography

- 2.4 The MCA's geographical boundary is South Yorkshire. However, the wider functional economic area also covers five neighbouring districts in Derbyshire and Nottinghamshire: Bassetlaw, Bolsover, Chesterfield, Derbyshire Dales and North East Derbyshire (Figure 1).
- 2.5 These five districts are named as non-constituent members of the MCA in accordance with the 2014 Order² that created the MCA, and they collaborate with the MCA on cross-border economic issues.

Figure 1: Map of South Yorkshire



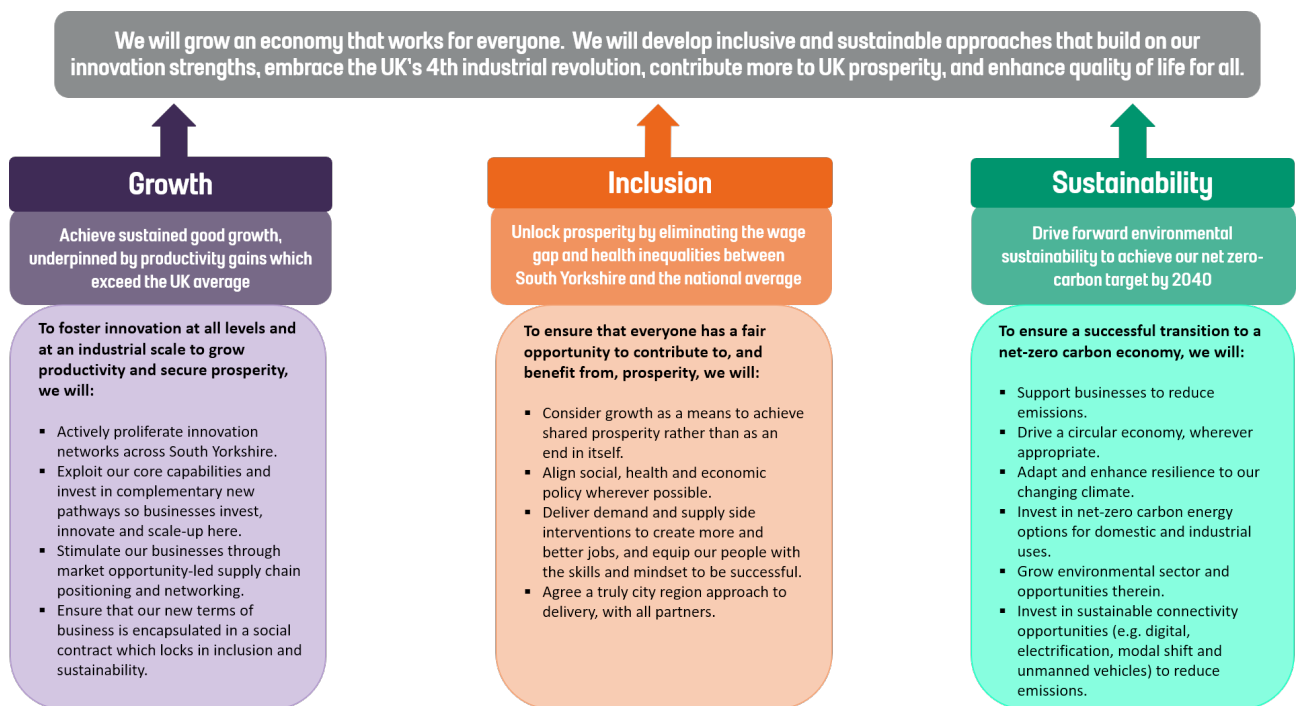
¹ [The Barnsley, Doncaster, Rotherham, and Sheffield Combined Authority \(Functions and Amendment\) Order 2020](#)

² [The Barnsley, Doncaster, Rotherham, and Sheffield Combined Authority Order 2014](#)

Plan for Economic Growth

- 2.6 The Strategic Economic Plan (SEP) is a twenty-year economic strategy which sets out the vision and policy objectives for growing the economy at pace; ensuring that all people and places have a fair opportunity to contribute to and benefit from prosperity and protecting and enhancing our environment
- 2.7 The SEP was approved by the MCA and LEP Boards in January 2021.
- 2.8 The SEP is built on a broad range of socio-economic data and is the result of extensive consultation with business representatives, local industry leaders, local authorities, residents, and stakeholder organisations. The vision and policy objectives for economic growth across South Yorkshire, are set out in Figure 2 below.

Figure 2: Strategic Economic Plan 2021-2041



- 2.9 The SEP will be reviewed and updated on a regular basis to ensure a sound strategic basis for investment.
- 2.10 In addition to producing the SEP, the MCA has a statutory responsibility to develop and publicly consult on two other strategic documents: the Transport Strategy and Nature Recovery Strategy. Together, with the MCA's priorities for Gainshare and the Net Zero Work Programme, these documents set the blueprint for how devolved and awarded funding from Government will be invested. The SEP also sets the criteria that all programmes, schemes and projects will be measured and assessed against; from application stage through to contracting and delivery.

Devolved Powers and Funding

- 2.11 The South Yorkshire Devolution Deal provides the ability to establish a single pot of funding to invest in economic development. Known as the South Yorkshire Renewal Fund, this now includes the Devolution

Investment Fund (Gainshare), the Adult Education Budget, a consolidated transport budget and other devolved monies as detailed below. Further information on how decisions are made and assured to invest the fund is provided in Section 5 of this document.

Gainshare

- 2.12 The Gainshare (grant-based investment funding) allocation for South Yorkshire through the Devolution Deal is £30m per annum for a period of 30 years. This consists of 60% capital and 40% revenue funding and is to be invested in the delivery of the MCA and LEP's strategic and economic priorities.

Adult Education Budget (AEB)

- 2.13 From the start of the 2021/22 academic year, the MCA assumed responsibility for the revenue-based Adult Education Budget (AEB) in South Yorkshire. Devolution of AEB supports the delivery of high-quality adult education at NVQ Levels 1,2 and 3 to individuals aged 19 years and above. This equates to around £42m per academic year.

City Region Sustainable Transport Settlement (CRSTS)

- 2.14 The MCA is responsible for the consolidated devolved capital transport budget. This includes the Highways Maintenance Block (excluding PFI) and Highways Maintenance incentive funding. In October 2021, the MCA was awarded £570m for a period of 5 years.

Transforming Cities Fund (TCF)

- 2.15 Following a successful bidding process, in March 2020, the Government awarded £166m from the Transforming Cities Fund (TCF) to South Yorkshire for a period of three years to improve public transport and support investment in active travel infrastructure. The third year of TCF funding (approximately £72m) is incorporated in the CRSTS allocation.

Brownfield Housing Fund (BHF)

- 2.16 The MCA was allocated £40m in June 2020 to deliver a capital programme of housing schemes on brownfield sites over the next 5 years through the Government's Brownfield Fund.

Community Renewal Fund (CRF) and UK Shared Prosperity Fund (UKSPF)

- 2.17 In November 2021, following a national bidding process, the Government awarded £8.2m of revenue funding to the MCA to fund eight projects as part of the Community Renewal Fund (CRF); a pilot and precursor programme for the UK Shared Prosperity Fund (UKSPF).
- 2.18 The UKSPF is the Government's major economic development fund to replace EU Structural and Investment Funds. There are three UKSPF investment priorities: communities and place; supporting local business; and people and skills.

2.19 South Yorkshire has been allocated £38.9m from the fund for 3 years between April 2022 to March 2025. The focus of South Yorkshire's Plan is to materially improve the life chances of residents (especially the most deprived), support business growth and boost pride and confidence in the region

Multiply

2.20 In 2022, South Yorkshire was awarded £7.2m from the Government's UK Shared Prosperity Fund to invest in the provision of numeracy and maths courses for adults without a GCSE grade C/4 or higher qualification in maths.

Zero Emission Bus Regional Area (ZEBRA)

2.21 In March 2022, South Yorkshire was awarded £8m to invest in a fleet of up to 27 zero emission buses and charging infrastructure.

Powers

2.22 Under the South Yorkshire Devolution Deal, the MCA and Mayor were granted the following devolved powers from Government:

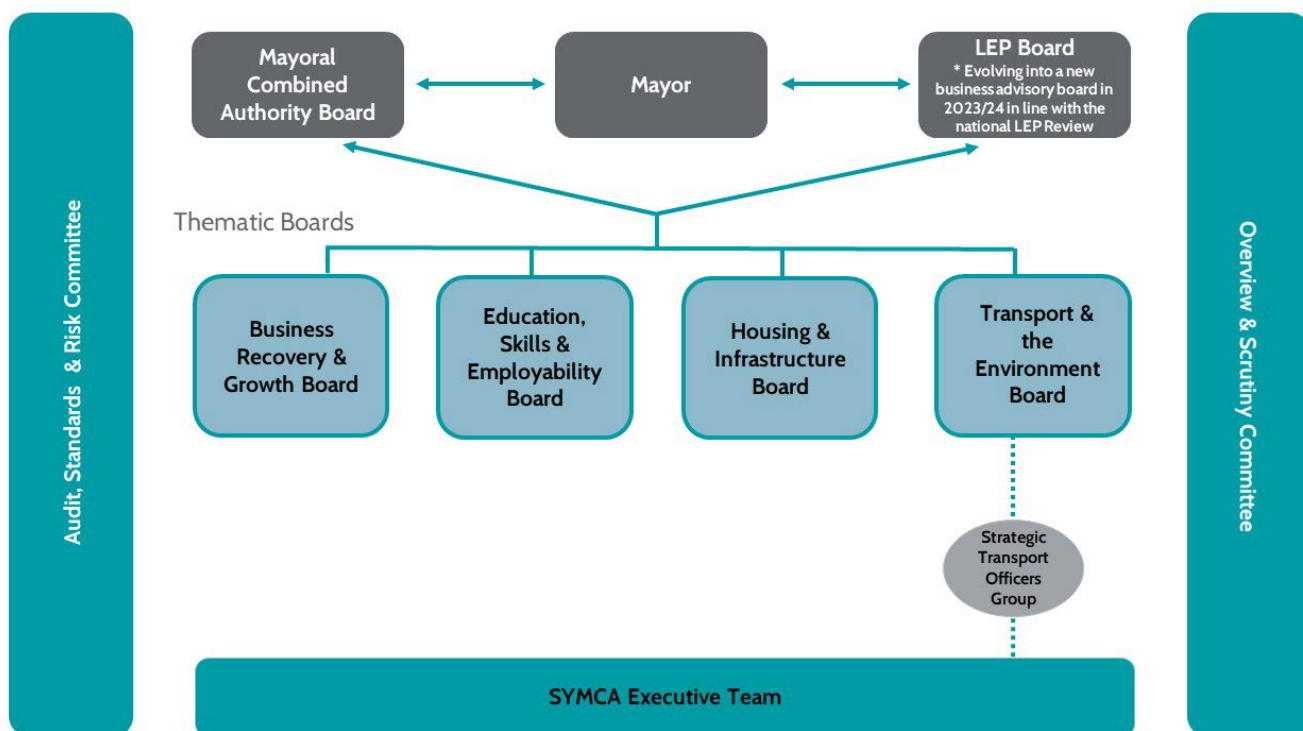
- The full devolution of the 19+ Adult Education Budget for college and training providers
- The ability to borrow against funds
- To improve the supply and quality of housing and secure the development of land or infrastructure
- To create a non-statutory Spatial Framework for South Yorkshire
- The option to establish Mayoral Development Corporations
- To provide grants and make agreements with other bodies on the management of the strategic highway network
- The option to introduce a Mayoral precept.

3. Structures and Roles

Overview

- 3.1 The MCA governance model combines public sector capacity, transparency, and accountability with private sector expertise from the LEP.
- 3.2 The MCA Board is the core decision-making body
- 3.3 The Mayor and MCA Board are supported by four Thematic Boards and the MCA Executive Team. The Thematic Boards are responsible for driving forward the agenda of their thematic area. The MCA Executive Team advises the Mayor, MCA and LEP on policy and commissions, manages, and monitors the delivery of projects.
- 3.4 The MCA Executive Team and local authority Chief Executives also support the decision-making process, with the Chief Executives each leading an operational group which informs and advises the Thematic Boards. Two independent committees, the Audit, Standards and Risk Committee and Overview and Scrutiny Committee, ensure that the MCA and Mayor are fulfilling their legal obligations, and developing and delivering strategies and public transport services that are in the best interests of local people.
- 3.5 In 2021/22, work began to integrate the staffing structures and decision making of the South Yorkshire Passenger Transport Executive (SYPTTE) into the MCA, in line with the devolved powers for transport operations. The formal and legal dissolution of the SYPTTE concluded in March 2023.
- 3.6 Figure 3 sets out the overall structure and how the Boards and Committees relate to one another.

Figure 3: The South Yorkshire Mayoral Combined Authority Organisational Structure



3.7 The following sections provide a description of the different elements of the structure and their respective roles and responsibilities.

The Mayor

3.8 The Mayor is directly elected by the electorate in South Yorkshire (Barnsley, Doncaster, Rotherham, and Sheffield) and serves a four-year term of office. The current Mayor was elected in May 2022 and the next Mayoral Election will take place in May 2026.

Role of the Mayor

- 3.9 The Mayor exercises powers and functions that are devolved to the MCA by central Government.
- 3.10 The Mayor is the Chair of the MCA Board and leads the MCA in terms of proposing and agreeing the revenue and capital budgets of the MCA, including allocation of the consolidated transport budget, appropriate use of the Adult Education Budget and how Gainshare is utilised to support the MCA's policies.
- 3.11 The Mayor is a member of the LEP Board and promotes South Yorkshire as a place to live, work, visit and invest in.

Responsibilities of the Mayor

3.12 The decision-making powers and functions of the Mayor are:

- Development of a strategy and spending plan for the delivery of mayoral functions
- Responsibility for a consolidated, devolved transport budget, with a multi-year settlement
- Responsibility and the power to approve franchised bus services, to support the MCA's delivery of smart and integrated ticketing across South Yorkshire
- Responsibility for an identified Key Route Network of local authority roads that will be collaboratively managed and maintained by the MCA on behalf of the Mayor
- Powers over strategic planning, including the responsibility to create a spatial framework for South Yorkshire
- Ability to create Mayoral Development Areas or Corporations in agreement with the relevant MCA member

The Mayoral Combined Authority (MCA)

3.13 The Sheffield City Region Combined Authority was formally constituted in law in April 2014. It comprises the four constituent local authorities for South Yorkshire of Barnsley, Doncaster, Rotherham, and Sheffield, and five non-constituent local authorities from the neighbouring D2N2 LEP area (Bassetlaw, Bolsover, Chesterfield, Derbyshire Dales and North East Derbyshire). With the election of the Mayor in May 2018, it became the Mayoral Combined Authority (MCA), and in 2022 the MCA changed its name to the South Yorkshire Mayoral Combined Authority (SYMCA)

Role of the MCA

3.14 The MCA is the legal and Accountable Body for funding devolved and awarded to the MCA and LEP. The MCA is also the Local Transport Authority for South Yorkshire. This role and its accompanying responsibilities are defined in the MCA Constitution.

Responsibilities of the MCA

3.15 The MCA's core remit is strategic economic development, housing, skills, transport infrastructure and strategic and operational transport functions.

3.16 The MCA is responsible for setting the policy direction in South Yorkshire and maximising financial investment to achieve economic growth. The MCA is also responsible for making large investment decisions and ensuring that the policy and strategic objectives of the SEP are delivered.

3.17 On this basis, typically the agenda for the MCA is focused on different elements of the SEP and takes decisions and oversees performance on items including:

- Programme updates – on initiatives being delivered
- Investment decisions
- Monitoring of financial and output performance
- Public transport operations and services
- Assurance, strategic risk management and governance
- Strategies and plans

3.18 The constituent members of the MCA are accountable for where and how public money is being spent.

3.19 Additional responsibilities and further powers may be devolved to the Mayor and the MCA, pending agreement by Government, the Mayor, MCA and the constituent authorities.

Membership of the MCA

3.20 Membership of the MCA is set out in Table 1 below. This specifies the type of membership; constituent, non-constituent, and observer.

Table 1: Membership of the MCA 2023/24

Member	Post	Membership Type
South Yorkshire	Mayor	Constituent
Barnsley Metropolitan Borough Council	Leader	Constituent
Doncaster Metropolitan Borough Council	Mayor	Constituent
Rotherham Metropolitan Borough Council	Leader	Constituent
Sheffield City Council	Leader	Constituent
Bassetlaw District Council	Leader	Non-constituent
Bolsover District Council	Leader	Non-constituent
Chesterfield Borough Council	Leader	Non-constituent
Derbyshire Dales District Council	Leader	Non-constituent
North East Derbyshire District Council	Leader	Non-constituent
South Yorkshire LEP	Chair	Non-voting
Barnsley Metropolitan Borough Council	Nominated Representative	Rotational
Sheffield City Council	Nominated Representative	Rotational

3.21 The MCA Constitution stipulates that substitute members will be nominated and agreed by the full members annually.

3.22 Each year the MCA appoints two additional, rotational members from amongst the constituent councils. This is a requirement of the Order by which the Combined Authority was established to ensure that the majority of Members are from constituent councils. In 2023/24, the rotational members are from Barnsley and Sheffield. In 2024/25, they will be from Doncaster and Rotherham. By convention these Members do not attend or vote.

3.23 Organisations are invited to attend MCA meetings as an observer. These can include Government agencies (such as Homes England or Network Rail) and other partners and bodies which have close economic links with South Yorkshire, such as neighbouring Combined Authorities.

3.24 All MCA Board members are expected to conduct themselves in accordance with the Nolan Principles of Public Life. These principles are embedded in the MCA Members' Code of Conduct as detailed in the MCA Constitution.

MCA Board Meetings

- 3.25 The MCA Board meets on an eight-weekly cycle and the meetings are held in public.
- 3.26 All constituent members of the MCA Board and the Mayor have one equally weighted vote. Non-constituent members have no automatic right to vote. The MCA Constitution allows for voting rights to be extended to non-constituent members at the discretion of the constituent members.
- 3.27 Decisions are made by a majority of the members present at MCA meetings and voting when using the powers held by the Authority when it was established in 2014. For the new powers devolved to the MCA through the devolution deal, the Mayor must be part of the majority of members present and voting on the exercise of such functions. These functions are:
- Adult Education Budget
 - Skills powers/duties
 - Housing functions
- 3.28 The Constitution sets the majority as the Mayor plus 75% of the Members from the constituent councils present at the meeting. By convention, if 100% of the Members from the constituent councils are in favour of a resolution, then the Mayor will also vote in favour (as that is the will of the MCA), unless the Mayor gives minuted reasons for not doing so.
- 3.29 The approval of the non-statutory Spatial Framework will require a unanimous decision from all constituent members. The establishment of any Mayoral Development Corporation will require the agreement of the Mayor and the MCA member that represents that place.
- 3.30 The Mayor's budget proposals are approved by the MCA in accordance with the Combined Authorities (Finance) Order 2017 and the Constitution.

Quoracy for MCA Board Meetings

- 3.31 At least three voting members of the MCA must be present for a meeting to be valid. If a decision is required to meet agreed timescales and a meeting of the MCA is either not possible or scheduled, written procedures for decision making apply, in line with the MCA Constitution and the relevant Overview and Scrutiny regulations.

The Local Enterprise Partnership Board (LEP)

- 3.32 The Local Enterprise Partnership (LEP) is a voluntary business-led partnership which brings together business leaders, local politicians, and other partners to promote and drive economic growth across South Yorkshire. The LEP was established in 2010.

Role of the LEP

- 3.33 The LEP leads on strategic economic policy development and sets the blueprint for how the South Yorkshire economy should evolve and grow. The LEP has been the developer and author of the SEP.

The LEP works to raise the profile, image, and reputation of South Yorkshire as a place to visit, live, work, and invest in.

Responsibilities of the LEP

- 3.34 The LEP is responsible for setting strategy and acts as the custodian of the SEP. Prior to the Devolution Deal, the LEP bid for funding and programmes from Government and was responsible for delivering these programmes. This included delivering the Growth Deal programme of activity which concluded on 31 March 2021.
- 3.35 The LEP is also responsible for ensuring that policy and decisions both receive the input of key business leaders, and by extension, reflect the views of the wider business community. The LEP fulfils this responsibility by leading on engagement with local businesses and policy makers at a regional, national, and international level.
- 3.36 The focus of the LEP Board is to discuss and make decisions on the following:
- **South Yorkshire Economy** – such as research on how well the economy is performing and the issues and needs of different sectors and markets
 - **Performance** - of LEP funded programmes
 - **Providing a Forum for Debate** - between the public and private sectors
 - **Economic Strategy and Policy Development** – on new initiatives being brought forward

Membership of the LEP

- 3.37 The LEP currently comprises 9 private sector representatives, the four Leaders of the Local Authorities, the Mayor, and a Trades Union Representative. The LEP can appoint up to five co-opted private sector members who can act as specialist advisers on thematic issues. Membership of the LEP is set out in Table 2 below:

Table 2: Membership of the South Yorkshire Local Enterprise Partnership (LEP) 2023/24

Member	Post	Membership Type
Richard Stubbs	Interim LEP Chair – Permanent Member	Private Sector
Neil MacDonald	LEP Vice Chair – Permanent Member	Private Sector
Gemma Smith	Permanent Member	Private Sector
Professor Koen Lamberts	Permanent Member	Private Sector
Angela Foulkes	Permanent Member	Private Sector
Peter Kennan	Permanent Member	Private Sector
Michael Faulks	Permanent Member	Private Sector
Professor Kevin Kerrigan	HE Representative	Private Sector
Louisa Harrison-Walker	Chambers of Commerce Representative	Private Sector
Bill Adams	Trades Union Representative	Membership Body

MCA	Mayor	Public Sector
Barnsley Metropolitan Borough Council	Leader	Public Sector
Doncaster Metropolitan Borough Council	Mayor	Public Sector
Rotherham Metropolitan Borough Council	Leader	Public Sector
Sheffield City Council	Leader	Public Sector

- 3.38 Private sector LEP Board members are assigned a portfolio of work based on their expertise and knowledge. The portfolios are thematic based, and each LEP Board member leads on the LEP's activity on that theme.
- 3.39 The current composition of the LEP Board is 60% Private Sector members compared to 33% Public Sector members and 7% Membership Body members.
- 3.40 All LEP Board members are expected to conduct themselves in accordance with the Nolan Principles of Public Life. These principles are embedded in the LEP Code of Conduct. LEP Board members are required to sign a document confirming that they will subscribe to Nolan principles as a condition of their appointment.

LEP Board Meetings

- 3.41 The LEP Board meets on an eight-weekly cycle and the meetings are held in private, with the exception of an Annual General Meeting (AGM).
- 3.42 All Board members (apart from co-opted members) have equal voting rights, and decisions are taken on the basis of a simple majority.

Quoracy for LEP Board Meetings

- 3.43 Meetings of the LEP Board are considered quorate when at least one quarter of the Private Sector Members and at least one quarter of the constituent local authority members are present.
- 3.44 A LEP Board Member may be counted in the quorum if they are able to participate in the meeting by remote means such as by internet, audio, or video link. The member must remain available throughout the agenda items where discussions and decisions are made.
- 3.45 Co-opted members, and any LEP Board member who is obliged to withdraw under the LEP Code of Conduct, are not counted towards the quorum.
- 3.46 To ensure that LEP Board members are suitably committed to the work of the LEP, consistent non-attendance at meetings is grounds for termination of membership. This is outlined in the LEP Terms of Reference.

- 3.47 If a decision is required to meet agreed timescales and a meeting of the LEP is either not possible or scheduled, the urgency procedure for decision making applies, as outlined in LEP Terms of Reference will be implemented.

LEP Chair

- 3.48 The LEP Chair must have a private sector background.
- 3.49 The LEP Chair leads on building the reputation and influence of South Yorkshire at a national and international level. The LEP Chair is also a non-voting member of the MCA.

LEP Vice Chair

- 3.50 The LEP can appoint up to two Vice Chairs.
- 3.51 The LEP Vice Chairs must have a private sector background.
- 3.52 The LEP Vice Chairs provide day to day leadership and support to the LEP Board Members, lead on business relations within South Yorkshire, engage with the wider business community and deputise for the LEP Chair when necessary.

Equality and Diversity

- 3.53 The LEP Diversity Policy seeks to ensure that the composition of the LEP Board is diverse and reflective of South Yorkshire in the broadest sense. Consideration is given to gender, race, protected characteristics, and areas of expertise including industry knowledge, geography, sectors, and business size. This is done with a view to obtaining an appropriate balance of membership.

Evolution of the LEPs in England

- 3.54 Following the publication of the Levelling Up White Paper in 2022 and the conclusion of the national LEP Review, the Government confirmed that LEPs operating in Mayoral Combined Authority areas should be encouraged to integrate with their MCA.
- 3.55 The MCA has always been the legally accountable body for all funds awarded to the LEP, with the LEP advising the MCA on how the funds were prioritised. The strong inter-relationship between the MCA and LEP and overlap of membership has brought accountability, transparency, and business insight together
- 3.56 Funding was given to each LEP area by the Government to support transition into a new advisory business board and to develop an integration plan for how businesses would continue to be part of the decision-making process.
- 3.57 Each area will be able to determine what form, structure, and membership their new business board will take, and how it will function. Discussions on the transition of the LEP in South Yorkshire, and how it will function as an advisory group to the Mayor and MCA are ongoing with details published on the new group in 2023.

Thematic Boards

3.58 To support decision-making and delivery, the MCA is supported by four Thematic Boards, which are based on the broad strategic priorities of the SEP. The four Thematic Boards all have delegated authority to make financial decisions on behalf of the MCA up to defined limits.

Role of the Thematic Boards

3.59 The purpose of the Thematic Boards is to provide adequate and experienced capacity to review projects and make investment decisions. These Boards bring together the public and private leadership of the MCA and LEP to drive the delivery of activity, ensuring that the focus remains on the outcomes being delivered.

3.60 The four Thematic Boards are accountable to the MCA and each has a defined portfolio with distinct responsibilities for Business Recovery and Growth, Housing and Infrastructure, Education, Skills and Employability and Transport and the Environment.

3.61 The Transport and the Environment Board has a broader role than the other three Thematic Boards; specifically, co-ordinating the transport activities, and overseeing the performance of public transport operations and services in South Yorkshire.

Responsibilities of the Thematic Boards

3.62 Each of the four Thematic Boards (Business Recovery and Growth; Housing &, Infrastructure; Education, Skills and Employability; and Transport and the Environment) has delegated authority to approve projects with a value of less than £2 million. Decisions made by the Thematic Boards are presented to the MCA Board in a written Delegated Decisions Report. As the delegating body, the MCA has the right to review decisions made by the Thematic Boards.

3.63 The responsibilities of the four Thematic Boards are to:

- Shape future policy, priorities, and programmes for the MCA Board to approve
- Review programme and funding applications of less than £2 million that have been through the appraisal process and decide whether to approve, defer or reject the application
- Review programme and funding applications of £2 million or more that have been through the appraisal process and make a recommendation to the MCA Board for approval, deferment, or rejection of the application
- Accept grants with a value of less than £2 million
- Monitor programme delivery and performance on their thematic area

3.64 The Transport & the Environment Board has the following additional responsibilities:

- Shaping the development of the transport strategy and strategies for its implementation
- Overseeing the performance of operational transport services and providing political direction
- Recommending the transport capital programme for approval to the MCA
- Recommending the transport revenue budget for approval to the MCA

Membership of the Thematic Boards

3.65 The members of the four Thematic Boards are set out in Table 3 below:

Table 3: Membership of the Thematic Boards 2023/24

Business Recovery & Growth	Education, Skills & Employability	Housing & Infrastructure	Transport & the Environment
One Leader from a South Yorkshire local authority as Chair (Mayor Ros Jones, DMBC)	One Leader from a South Yorkshire local authority as Chair (Cllr Sir Steve Houghton CBE, BMBC)	One Leader from a South Yorkshire local authority as Chair (Cllr Terry Fox, SCC)	One Leader from a South Yorkshire local authority as Chair (Cllr Chris Read, RMBC)
A lead private sector LEP Board member as Co-Chair (Neil MacDonald)	A lead private sector LEP Board member as Co-Chair (Dan Fell)	A lead private sector LEP Board member as Co-Chair (Gemma Smith)	A lead private sector LEP Board member as Co-Chair (Peter Kennan)
A nominated elected representative for each of the South Yorkshire local authorities	A nominated elected representative for each of the South Yorkshire local authorities	A nominated elected representative for each of the South Yorkshire local authorities	A nominated elected representative for each of the South Yorkshire local authorities
A lead Chief Executive from a South Yorkshire local authority	A lead Chief Executive from a South Yorkshire local authority	A lead Chief Executive from a South Yorkshire local authority	A lead Chief Executive from a South Yorkshire local authority
A private sector LEP Board member	A private sector LEP Board member	A private sector LEP Board member	A private sector LEP Board member
Head of Paid Service (or their nominated representative)	Head of Paid Service (or their nominated representative)	Head of Paid Service (or their nominated representative)	Head of Paid Service (or their nominated representative)
A non-voting representative for the other non-constituent local authorities from the MCA	A non-voting representative for the other non-constituent local authorities from the MCA	A non-voting representative for the other non-constituent local authorities from the MCA	A non-voting representative for the other non-constituent local authorities from the MCA
	A representative from the Skills Advisory Network		Executive Director of Infrastructure and Place

3.66 Board decisions are based on consensus. Where this is not possible the issue is escalated to the MCA.

3.67 Operational Groups sit under each of the Thematic Boards to assist in the management and monitoring of individual programmes or projects. The Operational Groups are each chaired by a Chief Executive Officer from a South Yorkshire local authority, and they consist of key stakeholders and thematic experts who can advise the Thematic Board. The Operational Groups have no responsibilities for decision-making.

Thematic Board Meetings

3.68 Thematic Boards meet on an eight-weekly cycle and the MCA Executive Team provides the secretariat function.

Quoracy for Thematic Board Meetings

3.69 Meetings of the Thematic Boards (with the exception of the Transport & the Environment Board) are quorate when five members are present; of which two are from South Yorkshire local authorities and one is a LEP private sector member.

3.70 Transport & the Environment Board meetings are quorate when six members are present. of which two are from South Yorkshire local authorities and one is a LEP private sector member.

3.71 A member who is obliged to withdraw under the MCA Code of Conduct or LEP Code of Conduct shall not be counted towards the quorum.

3.72 If a decision is required to meet agreed timescales and a meeting of the Thematic Board is either not possible or scheduled, written procedures for decision making apply, in line with the Thematic Boards Protocol for Decisions Between Meetings.

Audit, Standards and Risk Committee

3.73 The Audit, Standards and Risk Committee ensures that the MCA and Mayor are operating in a legal, open, and transparent way.

3.74 In accordance with the Chartered Institute of Public Finance and Accountancy (CIPFA) guidance, the Committee provides a high-level focus on assurance and governance arrangements.

3.75 The Audit, Standards and Risk Committee monitors the operation of the organisation and public transport operations. Their role is to ensure that the MCA is fulfilling its legal obligations, complies with statutory requirements, is managing risk effectively and has robust control measures in place for all devolved powers and funding. The Committee scrutinises, reviews, and endorses the Treasury Management Strategy, Financial Regulations, and statutory accounts, before they are finalised and presented to the MCA Board for approval, as well as identifying any risks.

3.76 Membership of the Audit, Standards and Risk Committee is politically balanced and consists of 8 elected Councillors (or their nominated substitute) from the four South Yorkshire local authorities and two independent members.

3.77 A sub-committee of the Audit, Standards and Risk Committee was established in 2021 to focus on operational public transport and the integration of SYPTE into the MCA to ensure that risk assurance and oversight was maintained. The independent members lead a Transport Working Group which reports into and advises the Audit, Standards and Risk Committee.

- 3.78 The Audit, Standards and Risk Committee meets at least quarterly and reports into the MCA on both financial and non-financial performance. The Chair of the Audit, Standards and Risk Committee is invited to present the work that the committee is undertaking to the MCA Board at least once per year. The Chair also meets with the Mayor on a six-monthly basis and meets the Management Board of the MCA Executive Team on a regular basis.

Overview and Scrutiny Committee

- 3.79 The Overview and Scrutiny Committee holds the MCA, Mayor and Thematic Boards to account for all decisions taken, including devolved powers and funding. The Overview and Scrutiny Committee has the authority to review and scrutinise any decision made, or action taken by the MCA, Mayor, Thematic Boards or MCA Executive Team. The Committee can, at their discretion, produce reports and make recommendations for change or improvements.
- 3.80 The Overview and Scrutiny Committee is responsible for checking that the MCA is delivering its objectives, and that policies, strategies and plans are made in the best interests of residents and workers in South Yorkshire. They provide independent scrutiny of initiatives and LEP activities and public consultation on draft strategies.
- 3.81 Membership of the Overview and Scrutiny Committee is politically balanced and consists of 10 elected Councillors from the four South Yorkshire local authorities (or their nominated substitute); typically, the Chair of each local authority's overarching Scrutiny Committee.
- 3.82 The Overview and Scrutiny Committee meets on a quarterly basis. The MCA is required to consider the conclusions of any review by the Overview and Scrutiny Committee at the next available meeting.

Statutory Officers

- 3.83 The MCA appoints three Statutory Officers to discharge duties and obligations on their behalf. The Statutory Officers ensure that the MCA is acting in accordance with its legal duties and responsibilities, operating within the financial regulations and receiving appropriate advice on policy and governance.
- 3.84 The Statutory Officer roles are defined in the MCA Constitution and comprise:
- **Head of Paid Service** – The Chief Executive of the MCA fulfils the role of the Head of Paid Service. The Head of Paid Service discharges the functions in relation to the MCA as set out in section 4 of the Local Government and Housing Act 1989.
 - **Section 73 Officer** – The Group Finance Director fulfils the role of Section 73 Officer in accordance with the Local Government Act 1985. The Section 73 Officer administers the financial affairs of the MCA. The Section 73 Officer is equivalent to a Section 151 Officer.
 - **Monitoring Officer** – The Monitoring Officer discharges the functions in relation to the MCA as set out in section 5 of the Local Government and Housing Act 1989.

Remuneration Panel

- 3.85 An independent Remuneration Panel convenes to identify the salary and allowances that should be paid to the Mayor and Deputy Mayor for their term of office. The MCA does not currently have a Deputy Mayor.
- 3.86 The Remuneration Panel reports their recommendations in a report to the MCA Board who decide the salary and allowances that will be paid.

Local Authority Chief Executives Group

- 3.87 The Chief Executives Group consists of the four Chief Executives of the local authorities in South Yorkshire. They meet monthly with the MCA Chief Executive and MCA Directors, and support the Mayor and MCA in decision-making in four ways:
- Each local authority Chief Executive has a thematic lead and represents the Chief Executives Group on a Thematic Board
 - Each local authority Chief Executive chairs an Operational Group of key stakeholders and thematic experts which advise the Thematic Board on decisions and support the management and monitoring of MCA funded programmes and projects
 - The Chief Executives Group discusses current and future activity of the MCA and act as a key liaison point between the MCA, local authority directorates and support their local authority Leader on MCA business

The MCA Executive Team

- 3.88 The MCA Board, LEP Board and Thematic Boards are supported by the MCA Executive Team. The MCA Executive Team is a dedicated resource that provides impartial advice and works in collaboration with partners and stakeholders.
- 3.89 The role of the MCA Executive Team is to advise and support the MCA, Mayor, LEP and Thematic Boards and to execute the decisions made.
- 3.90 The MCA Executive Team are employed by the MCA and support the following activities:
- **Develop and Propose Policy** - supporting the MCA and Mayor to draft key policies to inform decision-making on investment
 - **Initiate and Recommend Project Ideas** – support project applicants in identifying and bringing forward viable project ideas that will deliver the MCA's strategic objectives
 - **Develop and Commission Solutions** – ensure projects in the funding pipeline are fully developed and that delivery options are fully explored
 - **Advise Funding Applicants** – on how to develop a robust and comprehensive Business Case by working collegiately with the applicant to develop the project, and advise on the assurance process
 - **Manage the Investment Appraisal Process** – ensure that funding applications follow the correct process, and manage the independent review and appraisal of business cases and funding

applications including contracting specialists and subject experts to undertake technical reviews as required

- **Advise the MCA, Mayor and Thematic Boards** – on the value for money, risk, and deliverability of funding applications
- **Programme and Project Design and Development** – design and develop investment programmes and projects to deliver the agreed policy objectives of the Mayor and MCA, in line with the agreed Investment Plan, including the preparation and submission of funding bids to central Government or in response to specific calls and opportunities that may arise
- **Programme and Project Monitoring** – monitor and report on the delivery, performance and achievements of programmes and projects to the MCA and Thematic Boards and DLUHC, DfT and DfE as per the Government’s requirements
- **Manage the Evaluation Process** - manage the monitoring and evaluation framework, ensure that all programmes and projects are appropriately evaluated and provide regular reports and updates to the MCA and Thematic Boards, individual Government departments and nationally appointed evaluators
- **Administration and secretariat function for the Boards** – ensuring MCA, LEP and Thematic Board meetings are planned and arranged in a timely fashion and communicated
- **Compiling Papers and Reports** - for the Mayor and Board members
- **Enquiries** – dealing with the media and handling general enquiries from the public
- **Publishing Information** – ensuring that minutes, agendas, and papers of the meetings of the LEP, MCA Board, Audit, Standards and Risk Committee and Overview and Scrutiny Committee are published promptly on the MCA website and publishing information on MCA policies and procedures
- **Promoting South Yorkshire** – to potential investors and the public as a place to invest, work and live

3.91 The functions of the MCA Executive Team are organised to maintain ‘ethical walls’ and ensure that there are no opportunities for conflicts of interest between project and programme commissioning and project appraisal.

The MCA Programme Board

3.92 The MCA has an internal Programme Board which consists of the Statutory Officers and Directors of the MCA Executive Team. The role of the Programme Board is to oversee programme and project development and progression through approval gateways.

3.93 The Programme Board provides officer level authorisation for projects developed and commissioned by the MCA, to check and challenge and ensure that proposed investments are evidence based and maximise return on investment for the taxpayer.

4. Accountability for Public Funds

- 4.1 Several measures are in place to ensure that the Mayor and MCA are managing and administering public funds in a responsible, efficient, transparent, and accountable manner.

The Accountable Body

- 4.2 The MCA is the legal and Accountable Body for powers and funding devolved by Government and is responsible for all decisions and expenditure.
- 4.3 The MCA holds all funding, enters contractual arrangements and processes payments. The MCA also provides programme management to account for the funding and ensures that the impact of investment is assessed.
- 4.4 The MCA is accountable for:
- Ensuring that its decisions and activities conform with legal requirements regarding equalities, environmental and UK and European legislation (such as Subsidy Control), and that records are maintained so that this is evidenced
 - Retaining overall responsibility for the appropriate use of public funds by the MCA and Thematic Boards
 - Ensuring that the approved Assurance Framework is being adhered to
 - Ensuring that all contracts entered discharge their duties
 - Maintaining and publishing annual accounts (including devolved and other funding sources received from Government), in accordance with the relevant regulations, each year in draft form by 31 May and finalised in July.
- 4.5 In accordance with section 101 of the Local Government Act 1972, and The Openness of Local Government Bodies Regulations 2014, the MCA delegates certain decisions to the Statutory Officers. The Scheme of Delegation in Part 4. E of the Constitution specifies the delegations for funding and decision-making that are available to the Head of Paid Service (the Chief Executive of the MCA), the Section 73 Officer (Group Finance Director), and the Monitoring Officer.

Section 73 Officer

- 4.6 The Section 73 Officer is fully engaged in the operation of the organisation, ensuring that devolved funds are managed responsibly and allocated through a robust application process.
- 4.7 The Section 73 Officer is accountable for:
- Ensuring that devolved funds, including the AEB, are used legally, appropriately and are subject to the usual local authority checks and balances, including discharging financial duties under the Financial Regulations

- Ensuring that the MCA acts in a manner that is lawful, transparent, evidence based, consistent and proportionate, including the publication of annual audited accounts
- Signing-off Value for Money Statements for all funding applications during the appraisal process as true and accurate
- Certifying that funding can be released under the appropriate conditions (in line with statutory duties)
- Accepting grants for funding on behalf of the MCA, where the MCA has approved the submission of a funding bid to Government
- Accepting tenders or quotations for the supply of goods, materials or services provided that the spend is within the MCA approved budget or capital programme
- Signing-off quarterly reports to individual Government departments on programme performance and expenditure
- Ensuring that the established professional codes of practice are applied
- Ensuring that strong governance arrangements policies are in place to ensure that the MCA is operating robustly and transparently (by providing an Annual Assurance Statement).

Internal and External Audit

- 4.8 The MCA has an established process for internal and external audit. Internal audit is a contracted service provided by RSM for the financial year starting 01/04/2023. KPMG are the appointed external auditors for the financial year starting 01/04/2023. The audit arrangements cover the MCA's funding and activities, including devolved monies, and transport operations.
- 4.9 In conjunction with the internal audit team, the MCA Head of Paid Service, Section 73 Officer and Monitoring Officer prepare an annual Internal Audit Plan at the start of each financial year, which is reviewed towards the end of the financial year. The Internal Audit Plan includes all aspects of the appraisal, assurance, monitoring and evaluation processes and transport operations. This provides independent and objective assurance to the MCA. The Plan is approved by the MCA and progress against the plan is discussed by the Audit, Risk and Standards Committee at each meeting.

Audit, Standards and Risk

- 4.10 The Audit, Standards and Risk Committee reviews in detail the opinions of the internal and external auditors on behalf of the MCA. The Committee holds the Statutory Officers to account for any improvements identified and required and contributes to the audit opinion at the end of each financial year.
- 4.11 The Audit, Standards and Risk Committee has an annual Work Programme that they deliver against, which includes undertaking a detailed review of the strategic risk management and financial management processes that are in place, assessing the level of risk, reviewing elements of the MCA funded programmes in detail, and contributing to the setting and approval of the Internal Audit Plan. The Transport Working Group supports the Audit, Standards and Risk Committee in delivering the annual Work Programme and setting of the Internal Audit Plan in relation to public transport operations.

Overview and Scrutiny

- 4.12 The independent Overview and Scrutiny Committee holds the MCA, Mayor and Thematic Boards to account on behalf of the public. They have the authority to review and scrutinise any decisions made including the investment of devolved funds, or actions taken. The Committee can at their discretion, make recommendations for change or improvement.
- 4.13 The Overview and Scrutiny Committee has an annual Work Programme of topics that they will scrutinise. Committee members are encouraged to propose additional topics for scrutiny.

Investment Appraisal

- 4.14 The Assurance Panel oversees the technical review of all business cases. The Panel currently consists of a private sector LEP Board member who acts as a non-executive Chair, the MCA's three Statutory Officers or their representatives (Monitoring Officer, Section 73 Officer and Head of Paid Service) and relevant officers from the MCA Executive Team. The Panel makes recommendations to the appropriate decision-making Board on the value for money and level of risk of a project and whether to endorse, approve, defer, or reject funding applications. The Assurance Panel also advises on any conditions that are required to be met in order for a business case to progress to funding approval and contract. The Panel also advises on the merits of potentially competing funding applications by considering the net impact of the overall investment programme.
- 4.15 The Statutory Officers ensure that the Accountable Body duties are discharged through their representation on the Assurance Panel. This embeds the roles and functions of the Statutory Officers in the project appraisal process. All projects seeking funding are reviewed by the Assurance Panel and are subject to independent technical scrutiny.
- 4.16 The Assurance Panel meets every two weeks, or more frequently, if necessary, to ensure the pipeline of project proposals continues at the required pace.
- 4.17 The MCA Programme Board oversees both the development and delivery of all MCA investment programmes and also meets every two weeks to ensure that funding applications are progressed as efficiently as possible. The Programme Board also provides technical support and advice to the Assurance Panel, such as the identification and mitigation of risk and considerations of funding, including for example the setting of an appropriate interest rate on loans to funding applicants.
- 4.18 The appraisal process is detailed in Section 5.

Ensuring Value for Money

- 4.19 All projects and programmes that apply for funding are appraised and assessed for Value for Money (VfM) using the HM Treasury Green Book and appraisal guidance published by individual Government departments such as the Department for Education, Department for Transport and the Department for Levelling Up, Housing and Communities.
- 4.20 The VfM assessment considers the potential costs, benefits, risks, uncertainties and impacts of the project. A Benefit Cost Ratio (BCR) is calculated for the project wherever possible, but this is just one of

the basket of metrics considered in the VfM assessment. All the wider monetised and non-monetised impacts and benefits of a project are quantified wherever possible and non-quantifiable benefits are also assessed qualitatively. Non-monetised costs and disbenefits are also qualitatively assessed.

- 4.21 The VfM Statement is published on the MCA website, along with the business case. The initial, adjusted, and final BCR for transport projects is calculated in accordance with the DfT's Value for Money Advice Note for Local Transport Decision Makers. The VfM statements and the technical assessment, conducted are proportionate to the level of risk, complexity and funding sought.
- 4.22 The Section 73 Officer is responsible for signing-off VfM Statements, and this must be done before a project can progress a funding agreement can be signed.
- 4.23 The VfM Statement for each project, is presented to the appropriate Board or Thematic Board. The Statement includes the Assurance Panel's justification and recommendation on whether the project should be approved, deferred, or rejected and any conditions that should be put in place if funding is approved.
- 4.24 The ambition is always to support projects that demonstrate High VfM. However, projects that are appraised as offering lower VfM, may still be funded if there is a strong strategic case and the project will deliver the strategic and economic objectives in the SEP (for economic growth, inclusion, and sustainability), or where the project is essential to unlock or enable other development to take place. However, the MCA can decide to remove a project from the programme if the appraisal identifies Poor or Low VfM.

Managing Risk

- 4.25 The approach to risk management is comprehensive and in accordance with HM Treasury's Orange Book principles and other project management guidance. The Chief Executive of the MCA is the named officer for managing risk.
- 4.26 Robust control measures and a Risk Management Framework are in place to provide accountability and support due diligence. The Risk Management Framework guides the identification, assessment, and management of risks for all activities.
- 4.27 Risk management controls and mitigation action plans are agreed and added to the Risk Registers. A plan is then constructed to reduce the likelihood of the risk occurring and/or decrease the impact of a risk, should it occur.
- 4.28 Funding applicants are required to include risk and contingency plans as part of their application for funding. Once a project has received funding approval, the MCA Executive Team works with project applicants to monitor delivery of the contract and risks. Quarterly Monitoring reports are compiled for the Thematic Boards to identify any issues with delivery, perceived or actual risks to the project, any corrective action, and any change requests (for example, a reduction in grant or an extension to the timescale for delivering key milestones).

Annual Reviews by Government

- 4.29 The MCA holds a review meeting with Government each year to discuss delivery of the Devolution Deal and Devolution Investment Funds (known as Gainshare). The meeting is an opportunity to identify achievements and successes and any areas for improvement.
- 4.30 In addition, the MCA is required to submit annual reports to individual Government departments on specific devolved funding programmes including AEB, CRSTS, UK Shared Prosperity Fund and Multiply, to publicly state how the funding is being invested in South Yorkshire and to report on the achieved outputs and outcomes to date.
- 4.31 The LEP is reviewed twice a year by Government; a Mid-Year Review and an Annual Performance Review. The review considers the governance arrangements that are in place, strategic approach and performance against profiled expenditure and outputs on funding awarded to the LEP. A representative of the MCA attends the Annual Performance Review meeting, along with the LEP Chair and/or LEP Deputy Chair. These reviews will continue until the LEP has transitioned into a new business advisory board.

5. Robust and Transparent Decision-Making

- 5.1 In accordance with the Transparency Code and Government guidance on best practice, the Mayor, MCA Board and Thematic Boards act in the interests of South Yorkshire when making investment decisions. All decisions are made via an approved process, free from bias or perception of bias.
- 5.2 To ensure decision-making is robust and transparent, all meetings of the MCA Board, Audit, Standards and Risk Committee and Overview and Scrutiny Committee are held in public. The MCA also publishes a monthly Forward Plan of Key Decisions to alert the public to decisions that will be taken, in advance of the decision being made. The decision-making process is detailed below.

Budget Setting and Allocation

- 5.3 The annual Mayoral Budget is developed by the Mayor, alongside the MCA revenue and capital budget. The budgets are presented to the MCA Board in draft form in November and again for final approval each January. The budgets must be agreed in accordance with the Combined Authorities (Finance) Order 2017 and the Constitution.
- 5.4 All approved capital and revenue budgets are published on the MCA website. Budgets are monitored on a quarterly basis with reports submitted to the Boards. Quarterly financial monitoring reports on individual programmes and projects are also submitted.
- 5.5 The South Yorkshire Renewal Fund (SYRF), established in March 2021, brings all MCA funds under a single umbrella. Deployment is governed by the principles agreed by the MCA Board in March 2022. Place Based Investment Plans (for each local authority area) and a Regional Plan are in development. These will be based on the objectives and outcomes set out in the SEP and will confirm the actions to be taken to deliver across the MCA's remit.
- 5.6 Investment decisions on the allocation and use of the Adult Education Budget (AEB) in South Yorkshire are made with full consideration to the statutory entitlements. Approximately half of the AEB is allocated to the delivery of the following statutory entitlements:
- English and Maths, up to and including Level 2, for individuals aged 19 and over, who have not previously attained a GCSE grade A* to C or grade 4, or higher, and/or;
 - First full qualification at Level 2 for individuals aged 19 to 23, and/or;
 - First full qualification at Level 3 for individuals aged 19-23.
- 5.7 The remainder of the AEB is allocated to non-statutory training and is procured through an open, commissioning process.
- 5.8 The MCA Board is the final decision-making body for AEB funding awards.

Commissioning and Open Calls

- 5.9 In accordance with the agreed policy, programme and project applications for funding usually originate from three sources:
- **A Thematic Board** – the Thematic Boards will proactively identify potential projects which satisfy the policy objectives of the SEP and agreed delivery plans. These are subject to funding availability.
 - **MCA Executive Team** – the MCA Executive Team, in discussion with partners and stakeholders, may identify a need for a programme or project that either meets the policy objectives and strategic outcomes of the SEP or other strategies which will respond to an economic shock. These details may be held within an agreed Commissioning Framework or Delivery Plan.
 - **Via a targeted Open Call for Project Applications** – open calls inviting applicants to bid for funding or propose a project are published on the MCA website. Calls have a specific focus, such as delivering an investment priority or targets in the SEP. Project applicants will then submit a response or bid.
- 5.10 The MCA has a dual approach to the annual commissioning for AEB delivery, including funding for South Yorkshire based providers who had received grants prior to devolution, and targeted procured provision. All AEB training providers are required to submit a Delivery Plan for approval as part of the commissioning process.
- 5.11 The procurement process for AEB delivery follows established rules and best practice for procurement including the latest HM Treasury Green Book and AEB funding and appraisal guidance and will seek best value for money.

Programme Management Office (PMO)

- 5.12 The Programme Management Office (PMO) in the MCA Executive Team provide support to local authority partners and other funding applicants on how to develop an idea for a project or programme into a viable and fundable proposition that can be delivered.
- 5.13 The PMO works with funding applicants to develop their projects and business case documents and guide them through the approvals process. The team provide advice and feedback on every step of the assurance process from initial project idea, through to business case development and approval, and contracting and monitoring.
- 5.14 Funding applicants can procure the services of technical experts through the MCA's Investment and Appraisal Framework to either help them undertake preliminary work, such as feasibility studies or project design, develop a business case or act as a 'critical friend' and assess the applicant's business case prior to submission to the MCA for appraisal. The MCA can provide feasibility and development funding to applicants at various stages through the process.

The Appraisal Process

- 5.15 All schemes seeking investment undergo a proportionate process to assess the merits of the application, its strategic fit and value for money.

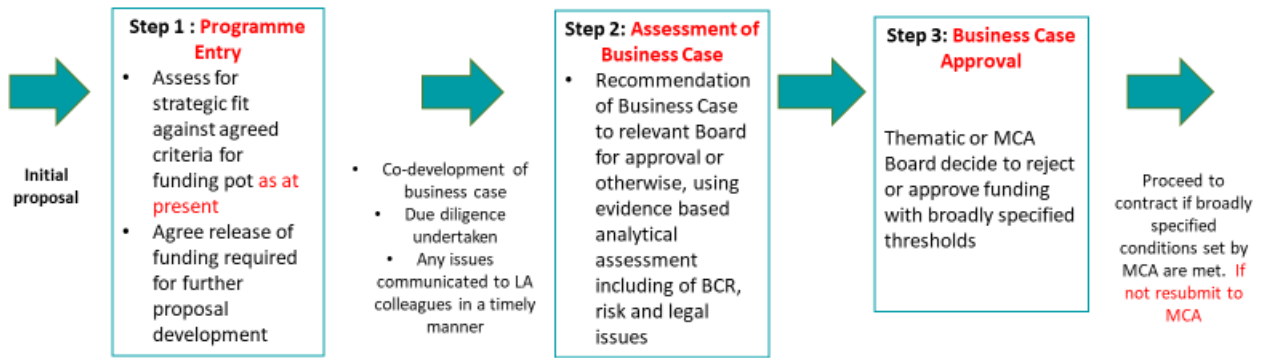
- 5.16 Each project and application for funding is assessed on its own merit, including where there are potentially competing applications for funding.
- 5.17 For transport schemes, central case assessments must be based on forecasts which are consistent with the definitive version of NTEM (DfT's planning dataset). This requirement does not prevent the MCA from considering alternative planning assumptions. Sensitivity test results of alternatives assist in reaching a decision on whether to approve a scheme.
- 5.18 The MCA Executive Team assesses the broad anticipated equality and environmental impacts of programmes and projects at various stages of the appraisal process, alongside social value, value for money and Benefit Cost Ratio. This ensures that the MCA considers economic, social, and environmental impacts of its investment from the outset.
- 5.19 At the earlier stages of project development, funding applicants are required to hold a workshop with key staff, senior officers, and stakeholders where necessary, to discuss the options and possible delivery models for the project or scheme. This assists the applicant in identifying the long-list and short-list of viable options for delivering the scheme in line with guidance from the HM Treasury Green Book.
- 5.20 The steps involved in the full appraisal process are detailed and illustrated in Figure 4. However, the MCA can agree a revised process if circumstances demand it and will ensure that compliance all the relevance conditions and guidance.
- 5.21 In cases where there is a departure from the process, the MCA will agree a revised process and MCA Statutory Officers will confirm this based on an assessment of risk, complexity, value for money, uniqueness and funding availability. This will always be in line with HM Government advice and best practice.

Stage 1 Submission: Programme Pipeline Entry

- 5.22 A Mandate Form is used to capture the essence of prospects to allow for suitable consideration before an investment idea or concept enters the MCA programme investment pipeline. It sets out the rationale for the programme or project, its alignment and contribution to the MCA's policy objectives and the SEP, its outcomes and the estimated cost, and what development funding may be required. This acts as a filter and an early check on the expectations of all parties.
- 5.23 The Mandate Form, which will include a Statement of Strategic Fit is assessed and, if alignment with the MCA's policy objectives and investment priorities is confirmed by the MCA Programme Board, it will be accepted onto the programme pipeline and the relevant Boards will be notified.

5.24 The approval process is illustrated below.

Figure 4: Project Approval Route



5.25 Once in the Pipeline, scheme promoters can access development funding. Up to 14% of total estimated project costs can be released at this stage under a Grant Letter which specifies key milestones. Eligible costs for development funding include feasibility studies or preliminary assessment work to investigate a site for a capital scheme, technical support, and critical friend advice on developing the Business Case, or funding to support any statutory or procurement processes or to fund any environmental or equalities impact assessments.

5.26 The MCA may, by exception, consider releasing more than 14% as development funding. However, this will be on a case-by-case basis and project applicants would be required to justify why additional funding is required.

5.27 Development funding awarded is entirely subject to clawback at the discretion of the MCA Board if the conditions agreed at the time of approval are not met.

Stage 2 Submission: Business Case Development

5.28 The purpose of the Strategic Business Case (SBC) is to establish the case for change and should provide a first detailed (albeit high level) view of the 'how, what and when' the project will deliver. It is important that an SBC can demonstrate its alignment with the SEP and other strategies. The SBC requests the following information from the applicant:

- Project objectives and the rationale for investment
- Project outputs and outcomes against the SEP
- High level timescales
- High level cost estimate of project (a range will suffice at this stage)
- Initial estimate of funding required
- Project sponsor
- Identifying risks, initial options analysis, and the preferred way forward

Stage 2 Appraisal: Strategic Business Case

5.29 The SBC is assessed in line with the five-dimension model in the HM Treasury Green Book and appraisal
SYMCA Assurance Framework 2022

guidance published by individual Government departments, and is therefore appraised against the following criteria:

- **Strategic Dimension** – contribution to strategic objectives and national policy objectives
- **Economic Dimension** – impact on local and national growth, likely BCR category, the social, distributional, and environmental impacts, and an assessment of the value the project adds
- **Financial Dimension** – cost estimate and sources of funding e.g. identified scheme promoter, private sector, and other contributions
- **Commercial Dimension** – proven marketplace for the project, certainty in outcomes, procurement processes and commercial viability, consideration of social value
- **Management Dimension** – demonstration that the project is capable of being delivered successfully, including Delivery Plans, statutory processes, programme, risk management (with appropriate mitigation plans), State Aid and benefit realisation

5.30 The biggest emphasis at this stage is on the Strategic Dimension and to an extent the Economic Dimension. It is at this stage that a decision is made regarding the strategic fit of the proposed intervention's objectives, outcomes, impact and benefits relative to the SEP. This needs to be proven and agreed at this stage. An early assessment of the potential value for money offered by the preferred way forward, relative to the current situation and the do minimum option, is also made at this stage.

5.31 To assess complex, transport or land related schemes, a series of approved and bespoke testing tools and models may be used (such as FLUTE 18, SCRTM1) to better understand the potential outcomes and value for money of an application. A proportionate TAG assessment may be undertaken, relative to the size of the project, to consider aspects such as the quality of the built environment.

5.32 The SBC will be assessed by the applicant's Programme Board or equivalent. This is usually an officer-led group which provides an internal authorising environment for project progress, including check and challenge and gateway approvals. The MCA Programme Board and all other relevant Boards will be kept updated.

Stage 3 Submission: Outline Business Case or Business Justification Case

5.33 The aim of an Outline Business Case (OBC) or Business Justification Case (BJC) is to:

- Identify the investment option which optimises value for money
- Prepare a scheme for procurement
- Ensure that statutory processes are undertaken
- Put in place the necessary finance and management arrangements for the successful delivery of the scheme.

For BJC's the following also applies:

- Identify the procurement opportunity which offers optimum value for money
- Agree the commercial and contractual arrangements for the successful delivery
- Put in place the detailed management arrangements for successful delivery

A BJC is used for projects seeking £1m or less.

Once an OBC or BJC has been developed, there will be a clear understanding of the project plan, project management and governance arrangements, benefits realisation, and risk management arrangements. Project assurance and post-project evaluation details will be fully worked-up. Regarding the BJC, there will also be 95% cost certainty and any statutory processes will have been completed.

- 5.34 The OBC and BJC build on the foundations of the Strategic Business Case in that they provide considerably more detail on each of the five dimensions outlined in the latest HM Treasury Green Book guidance.
- 5.35 The five dimensions help to ensure that all impacts of a project (monetised and non-monetised) are presented in the OBC and FBC for consideration. The business case templates and guidance set out the basis for capturing impacts, including Optimism Bias. The Optimism Bias for transport projects is calculated in accordance with the DfT's Value for Money Advice Note for Local Transport Decision Makers.
- 5.36 It is essential that project applicants and scheme promoters agree the scope of costs and benefits before any substantive business case development is undertaken.
- 5.37 Project applicants and scheme promoters must also ensure that the commercial, financial and management arrangements are appropriate for effective delivery.
- 5.38 For all projects, whenever possible, a summary of the business case is published on the MCA's and applicant's websites to allow members of the public to comment.
- 5.39 A fully developed OBC will have determined the preferred option, potential value for money, ascertained affordability and funding requirements and be preparing the potential deal which enables successful delivery.

Stage 3 Appraisal: Outline Business Case and/or Business Justification Case

- 5.40 An assessment is undertaken of all OBCs and BJCs to quality assure and scrutinise the project as well as undertaking all necessary due diligence checks. Any comments received via the MCA website on the published business case are considered.
- 5.41 The MCA Executive Team ensures there is always a clear distinction and adequate separation between the scheme promoters and the appraisers and eventual decision makers.
- 5.42 All appraisal is proportionate to the size, complexity, novelty, and risk inherent in the project. Transport projects undergo a TAG compliant appraisal. An Appraisal Scoping Report template is used to assess such schemes, comprising the:
- Level of analytical detail to be applied to approve a scheme against overarching Government transport objectives and the rationale for this
 - Modelling tools to be applied
 - Alternative interventions to be considered

- Timescales for business case development

5.43 The MCA Executive Team completes a Value for Money (VfM) Statement and submits the appraisal report to the Programme Board and the Assurance Panel for consideration.

Stage 3 Decision: Outline Business Case or Business Justification Case

5.44 The MCA Programme Board and Assurance Panel review the technical analysis undertaken, including the VfM Statement, and agree what recommendation should be made to the relevant Board; either to approve the project or defer the project for further work. At this stage it is still possible that an application could be recommended for rejection on the grounds of Poor VfM (determined as having a BCR rating of below 1, along with other indicators also showing poor levels accounting for significant non-monetised impacts and key uncertainties) or presenting significant uncertainty or risk.

5.45 The Thematic Board can fully approve funding for projects within their delegated limit of less than £2m, and grant authority to enter into a Funding Agreement. Projects which seeking over £2m are submitted to the MCA Board for funding approval, with the relevant Thematic Board notified of the decision.

5.46 Meeting papers for the MCA or relevant Thematic Board are published on the MCA website a week before the meeting, including the project summaries and VfM assessments of applications seeking OBC approval.

5.47 For all projects, the MCA Board will provide an in-principle decision at this stage, providing that the eventual FBC is within agreed tolerances and thresholds. These tolerances and thresholds will be determined by the MCA Board as part of the in-principle approval on a project by project basis. Delegation will be given to the MCA's Statutory Officers to enter into a funding agreement provided the FBC complies with the conditions set.

Stage 4 Submission and Appraisal: Full Business Case

5.48 Much of the work involved in producing the FBC focuses on revisiting and updating the conclusions of the OBC and documenting the outcomes of the procurement. The purpose of the FBC is to:

- Confirm the procurement opportunity which offers optimum value for money
- Agree the commercial and contractual arrangements for the successful delivery
- Put in place the detailed management arrangements for successful delivery

5.49 Any pre-contract conditions which were put in place as part of the OBC approval should be cleared at this stage.

Stage 4 Agreement: Full Business Case

5.50 The MCA Programme Board reviews the resubmitted business case to confirm that conditions set by the Board have been satisfactorily met.

- 5.51 once the Programme Board is satisfied, funding agreements can be signed and exchanged. All relevant Boards will then be notified.
- 5.52 If conditions cannot be satisfactorily met, the relevant Board will have an opportunity to reconsider the revised business case and may reach a different decision.

Complaints and Appeals

- 5.53 All applicants for funding are made aware of the recommendations made by the Assurance Panel and the decision of the relevant approving Board, along with the rationale for the recommendations. Complaints can be made if the applicant deems that due process has not been followed.
- 5.54 Decisions made by the Mayor, MCA and Thematic Boards can be scrutinised by the Overview and Scrutiny Committee. All decisions on funding must follow the appraisal process outlined above to be valid.
- 5.55 If a complaint is made, the MCA Chair and Monitoring Officer will convene an independent committee to review the issue and make a recommendation to the MCA Board as appropriate.
- 5.56 In any case where it is alleged that the MCA or Thematic Board is (a) acting in breach of the law, (b) failing to adhere to the process outlined in this Assurance Framework, or (c) failing to safeguard public funds, complaints are directed to the MCA's Monitoring Officer or their deputy. This includes complaints from stakeholders, members of the public or internal whistle-blowers.
- 5.57 The Monitoring Officer will address the allegation following the protocols set out in the MCA Constitution.
- 5.58 If the MCA cannot resolve the issue to the complainant's satisfaction, and the complaint relates to funding allocated to South Yorkshire, the issue may be passed to the relevant Government department (such as the DLUHC, or the Department for Transport (DfT)).

Conflicts of Interest and Decision-Making

- 5.59 At all stages of decision-making, the national guidance on registering conflicts of interest is adhered to. This includes any interests declared by members of the MCA and Thematic Boards, the Assurance Panel, and Statutory Officers. This is detailed in the LEP Declarations of Interest Policy.
- 5.60 Each member of the MCA and Thematic Boards is required to declare their pecuniary and non-pecuniary interests (whether they are a member in their individual capacity or representing an organisation). Members are also responsible for reviewing and updating their register. This includes declaring any gifts or hospitality received. Declarations of interest are also sought and recorded in the minutes of each MCA and Thematic Board meeting. The Individual Register of Interest forms and the Register of Declarations Made at Meetings are regularly updated and published on the MCA website.
- 5.61 Senior members of staff within the MCA Executive Team and Statutory Officers also complete and maintain an Individual Register of Interest and update it when circumstances change. These are also published on the MCA website.

6. Contract Management

- 6.1 Once funding is approved for a project, either for project development costs or full award, contracts are issued and regular communication with the project applicant or scheme promoter is maintained throughout the project's lifetime.

Contracting

- 6.2 A Grant Letter (for project development costs) or Funding Agreement (for full award) between the MCA and project applicant/scheme promoter sets out the conditions relating to the MCA's agreement to fund the project and the responsibilities of the MCA and applicant/scheme promoter in managing, delivering and monitoring the project. A Grant Letter will only be required where projects are drawing down development cost funding ahead of full approval and full award.
- 6.3 The Funding Agreement specifies that grants and loans are capped, and applicants/scheme promoters bear the risk for all overspend on the project beyond the approved amount.
- 6.4 The Funding Agreement also stipulates the expected outputs and outcomes that the project will deliver.

Payment Against Claims

- 6.5 Payment milestones are agreed with the project applicant/scheme promoter at the point of contract. The milestones depend on the complexity, cost, and timescales of the project. This forms part of the programme management role of the MCA, which is subject to external audit.
- 6.6 Each grant claim is crosschecked against the approved project baseline information as part of the reporting processes. Prior to payment of grant, evidence checks are conducted on approximately 10% of the claim value. The value of the required checks is determined by the level of risk and project performance to date.

Managing Contract Performance

- 6.7 The MCA Executive Team manages the delivery of the contract and works with the applicant/scheme promoter to monitor the project's progress and risks. Monitoring conditions are set out initially in a grant determination letter from Government for each funding source, so the MCA Executive Team is required to adopt a flexible approach to managing contract performance. This may be dependent on the funding source, value or risk of a particular programme or project.
- 6.8 The MCA Executive Team monitors the delivery of the project, and the progress made in achieving the outputs and outcomes, in line with the Monitoring and Evaluation Framework.
- 6.9 The MCA Executive Team is responsible for immediately addressing any slippages or concerns regarding project delivery and taking corrective action, including updating the Risk Register as necessary.

- 6.10 A change control process is in place to ensure that variations to an approved project are discussed with the project applicant and agreed with the MCA Executive Team. Variations to a project are logged on the project's file and the Verto system and reported to the MCA and Thematic Boards when appropriate. Minor changes can be agreed between the project applicant and MCA Executive Team where the change does not affect the principles of the project and does not exceed the MCA funding allocated for the year. The relevant Board is however, notified of any changes that are significant or contrary to the terms of the Funding Agreement.
- 6.11 Where there is significant underperformance or cause for concern, a project will be referred to the MCA, or Thematic Boards for a decision and reported to the Audit, Standards and Risk Committee.

Clawback

- 6.12 The Grant Letter and Funding Agreement include a mechanism for clawback based on an assessment of risk. This ensures that funding is only spent on the specified eligible activity and is linked to the delivery of outputs and outcomes. It also gives the MCA the option of clawing back funds for poor performance, misuse or defrauding of funds.

7. Measuring Performance and Success

- 7.1 Monitoring and measuring the performance of projects and programmes provides important lessons which are used to improve future decision-making. This increases the likelihood of successful delivery of future projects.

Monitoring and Evaluation Framework

- 7.2 A comprehensive monitoring and evaluation framework is in place which has been designed in accordance with the most recent HM Treasury's Magenta and Green Book principles and other monitoring and evaluation guidance, such as that published by the What Works Centre.
- 7.3 The Monitoring and Evaluation Framework sets out how projects and programmes including devolved funds such as AEB, CRSTS and the UKSPF will be assessed both during their delivery and post-delivery phases, to understand the inputs, outputs and impacts of investment made in South Yorkshire. The framework outlines in detail the processes in place to enable the MCA Executive Team to gather robust feedback on delivery performance and identify the lessons learnt from projects and programmes and any best practice that can be applied to future activity, programmes, and policy. The Framework supports the Government's five-yearly Gateway Review process for evaluating investment funds.
- 7.4 The framework sets out several logic models and identifies the performance metrics and indicators that are used to assess the impact of a project or programme and its contribution to delivering the Devolution Deal, and SEP and RAP objectives and output and outcome targets for economic growth. This includes the specific objectives and targets for devolved funding such as AEB and CRSTS.
- 7.5 The SEP includes a broad range of economic, social, and environmental indicators that new MCA funded schemes and projects will be measured against. The SEP indicators are also used to regularly track the overall performance and health of the South Yorkshire economy. This quantitative data helps to inform the development of new schemes and interventions to address weaknesses and challenges in the local economy.
- 7.6 The process for monitoring and evaluating project and programme performance is summarised in the sections below.

Monitoring

- 7.7 All project applicants/scheme promoters and AEB delivery partners are required to provide regular financial and delivery information, including progress made in achieving the expected outputs and outcomes, to the MCA Executive Team. Performance Reports are expected quarterly as a minimum, however, reporting frequency is based on the assessment of risk. Where a project or programme is considered high risk, the frequency of formal monitoring increases to monthly. The frequency of reporting on the delivery of outputs and outcomes can reduce to every six months following the completion of works or activity. Again, the frequency is determined by the level of risk.

- 7.8 The applicant/scheme promoter and AEB delivery partner submits quarterly reports to MCA Executive Team. All quarterly reports are signed-off by the Section 73 Officer. This enables the MCA to fulfil its duties on reporting and accounting for public monies.
- 7.9 Site visits to project applicant/scheme promoters and delivery partners are conducted once per year as a minimum. Site visits may by exception, be conducted more or less frequently based on an assessment of risk.
- 7.10 Project Applicants/scheme promoters and delivery partners are responsible for informing the MCA Executive Team of any changes to the scope, costs, and implementation timescales for their project. The MCA Executive Team assesses the impact of any changes on the overall programme, budget, and expenditure. Cost increases, financial slippage and significant changes to outputs and outcomes are reported to the appropriate Board where necessary. The MCA does not guarantee that it will meet any cost increases either in full or in part.
- 7.11 The MCA Executive Team presents Performance Reports on project and programme delivery, including AEB, to the MCA and relevant Thematic Board. This ensures that Board members are informed of progress on projects and are sighted on any issues that will result in financial slippage or underperformance.
- 7.12 Performance Reports are also submitted to the relevant Government department, specifically DLUHC, the Department for Education and the Department for Transport. The frequency of reporting is determined by the relevant Government department although it usually consists of the submission of quarterly updates to the department and a formal annual report.
- 7.13 Following devolution of the AEB in 2021/22 academic year, the MCA is required to submit an annual report to Government each January on the delivery of AEB functions from the previous academic year to date including:
- South Yorkshire policies for adult education
 - Expenditure against AEB
 - Data analysis of AEB delivery in South Yorkshire

Evaluation

- 7.14 The frequency and type of evaluation conducted, depends on the contract value, duration, and complexity of the project. The level of evaluation required is determined at Outline Business Case stage so that adequate resource can be allocated to fund the cost of evaluation prior to the project's approval. This enables evaluation to be factored into a project and programme's design from the outset.
- 7.15 Pilot projects and major schemes such as AEB, CRSTS and UKSPF, are subject to more extensive and frequent evaluation; typically, annual interim evaluation and a final evaluation after the project has ended.
- 7.16 As a minimum, all projects are evaluated post-delivery on the project's impact on the South Yorkshire economy, to ascertain whether the project's objectives, outputs and outcomes were achieved, the reasons and results of any under or over performance, and to identify any lessons or recommendations that should be applied to future projects. The evaluation assesses the economic, social, and

environmental impact against the core and supplementary key performance indicators listed in the SEP and the individual Monitoring and Evaluation Plans developed for specific programmes such as TCF, as well as the national key performance indicators for Gainshare, AEB and CRSTS. The MCA's core and supplementary Key Performance Indicators are listed in Appendix B.

- 7.17 The MCA Executive Team procures external and independent evaluation of all MCA funded programmes and projects, including AEB and CRSTS through a Framework Agreement to evaluate the impact of specific funding streams, significant investments, and pilot projects.
- 7.18 Research and evaluation consultants were invited to tender for the provision of evaluation services through the MCA's Investment and Appraisal Framework. Experts are contracted based on their subject and thematic expertise and evaluation experience and produce independent evaluation reports of MCA funded projects, schemes, and programmes
- 7.19 The use of external evaluation experts to provide technical expertise and specialist advice on conducting project and programme evaluation, ensures that all evaluation conducted on projects and programmes funded by the MCA and LEP is as objective and impartial as possible.
- 7.20 Project evaluation provides accountability for the investment made. It also provides local evidence on which to base future projects and programmes. The MCA Executive Team reviews the results of the evaluation against the objectives of the project as set out in the business case and Funding Agreement and the most appropriate counterfactual. Evaluation results for all projects are published on the MCA website.
- 7.21 Where there is a variation between a project's objectives and its outcomes, the MCA Executive Team works with the promoter to agree corrective action. If the corrective action is unsuccessful, clawback clauses in the Funding Agreement can be invoked as a final resort and to secure the desired outcomes via alternative measures.
- 7.22 The MCA Executive Team compiles a summary report for the MCA of all projects that have completed during the previous quarter. This report confirms whether the project has delivered against its spending profile and achieved the outputs and objectives in the Funding Agreement. The report also recommends whether each project can be closed.
- 7.23 As part of the annual report to Government on the delivery of AEB functions from the previous academic year to date, the MCA will also provide an update on interim evaluation findings on the impact that AEB has had in South Yorkshire. These findings will be derived from qualitative data such as employer and learner survey responses and quantitative data on the take-up of AEB funded provision in South Yorkshire and improvements in participation, progression, and attainment in statutory and non-statutory training.

Government's Gateway Review of Devolution Investment Funds

- 7.24 Mayoral Combined Authorities are subject to the Government's national Gateway Review process to evaluate how Devolution Investment Funds (Gainshare) has been invested. An independent panel assesses and evaluates the impact of investments on the economy and economic growth every five

years. The first Gateway Review for the South Yorkshire Mayoral Combined Authority will take place in January 2025, and it will cover the period of April 2020 to March 2025.

- 7.25 The MCA is required to produce and publish a Local Evaluation Framework by May 2023 which identifies the projects and programmes funded by Gainshare and outlines how the progress, outputs, outcomes and impacts of the funded schemes will be monitored and evaluated. The MCA will procure the local evaluation of the Gainshare funded schemes, and the appointed national evaluators will be provided with all data, monitoring reports and evaluation reports on the schemes in order to ascertain the impact of the Gainshare funding in South Yorkshire, and the UK as a whole.
- 7.26 The MCA is required to produce two additional reports as part of the Gateway Review process: a Baseline Report which sets out what the MCA expects to achieve in terms of outputs, outcomes, and economic impact from its Gainshare funded schemes between 2020 and 2025, and a Mid-Term Review Report on progress made against profiled outputs, outcomes and spend to date. Both reports will be produced in September 2023.

8. Inclusive and Collaborative Working

- 8.1 The strength and success of the MCA in South Yorkshire is founded on good governance and partner collaboration. Collaboration and a true partnership approach have been a cornerstone of the MCA and LEP achieving what they have to date. This collaboration is resulting in a focused programme of engagement; designed to accelerate the delivery of the SEP and harness South Yorkshire's latent potential.

The LEP Network

- 8.2 The LEP is an active member of the national LEP Network and is committed to developing and sharing best practice with the LEP Network and its members. The LEP is also committed to learning and embedding the best practice of other LEPs within South Yorkshire.

Collaboration with Metro Mayors, the Northern Powerhouse and LEPs

- 8.3 The Mayor and MCA are committed to working in collaboration with other Mayoral Combined Authorities, the Northern Powerhouse and LEPs, to pool knowledge and resource and enhance the effectiveness, transparency, decision-making and leadership in local economic development.
- 8.4 The Mayor, MCA and LEP have achieved the following by working across geographical borders:
- A series of joint lobbying by the Northern Mayors on transport funding including Northern Powerhouse Rail (NPR), the National Rail Plan and Levelling-Up
 - Led work to support the Metro Mayors (M11) network
 - Collaborated with Public Health England and the integrated care system on health issues throughout the Covid-19 pandemic
 - Explored a pilot project on innovation with peer MCAs including the West Midlands
 - Collaborated with Transport for the North (TfN) and LEPs across the North of England to inform the development of TfN's Strategic Transport Plan. TfN also contributed to the development of the South Yorkshire Transport Strategy and Integrated Rail Action Plan
 - Worked in partnership with the Metro Mayors on an Air Quality Summit and joint lobbying to Government for increased powers and funding
 - Collaborated on Working Win, the health-led employment trial
 - Led a trade delegation to India in conjunction with NP11 members (the 11 LEP areas in the Northern Powerhouse) and led the NP11's presence and programme at MIPIM 2020
 - Shared intelligence on AEB procurement

Engaging with Other Partners

- 8.5 Regular meetings are held with partners to ensure an open and two-way dialogue on activity being undertaken across South Yorkshire, and to discuss the development of strategies and progress in delivering the SEP priorities and objectives. These meetings take place with business representative organisations, including the Chambers of Commerce, Federation of Small Business, CBI, Institute of

Directors and Make UK, as well as local authority partners and the universities, such as the Business Advisory Group meetings.

- 8.6 A programme of engagement events is also held with partners across South Yorkshire. Typically, these events are thematic based, and are used to obtain input and feedback from partners to inform South Yorkshire's policies, strategies, and project formulation. These engagement events are advertised on the MCA website and social media channels and through partners such as the business representative organisations.
- 8.7 Examples of collaboration with partners and agencies have included:
- Establishing a series of boards with key stakeholders and partners from the public, private and voluntary and community sectors to inform policy direction in South Yorkshire, including the Music Board, Innovation Board, Art and Culture and Public Health
 - Establishing a Policy Advisory Group to share and pool economic evidence and data to inform the development of the SEP
 - Establishing a Local Resilience Forum to collaborate on the response to the COVID-19 pandemic
 - Development of a Renewal Action Plan to direct investment towards economic recovery and growth
 - Having representation on the Northern Powerhouse Investment Fund Board
 - Playing an active role in the north of England Growth Hub network, which is designed to share best practice
 - Playing an active part of the national network established for the devolution of the Adult Education Budget (AEB). The LEP led the work around data analysis/labour market intelligence and the contractual arrangements for the operation of the AEB in a devolved model
 - Developing a strong working relationship with Department for International Trade (DIT) on the Northern Powerhouse agenda, including trade missions and having three exciting investment propositions showcased through the Northern Powerhouse Investment portfolio/pitchbook
- 8.8 Local and national partners have been, and will continue to be, fully engaged throughout the development phase of AEB devolution. A Skills Advisory Network brings together employers' representatives, local authority, and further education providers with other partners from South Yorkshire. The Network assists in the identification of skills priorities across South Yorkshire and feeds into the processes of setting the priorities for AEB commissioning, and the development of a Regional Skills Strategy.

Engaging with the Public

- 8.9 The MCA publishes a plan on key decisions that will be taken at least 28 days before the decision is due to be made. The Forward Plan of Key Decisions includes decisions that have a financial implication (such as projects that are seeking investment from the MCA, new programmes or schemes that would be delivered across South Yorkshire, or new strategies) and non-financial decisions which impact on two or more local authority areas. The plan is refreshed and published on the MCA website every month and it enables members of the public to view information on decisions before they are made so that they can comment on them.

- 8.10 The plan provides brief information on the project, programme or strategy, the date the decision will be taken, the lead officer's contact details and information on how to access any relevant reports (subject to restrictions on their disclosure).
- 8.11 In addition to publishing information on potential investment decisions in the Forward Plan of Key Decisions, the VfM Statement and business case for each project is published and publicised on the MCA website at every stage of the appraisal process. This enables members of the public and stakeholders to comment on proposed projects before funding decisions are made. All comments received are considered by the Assurance Panel in deciding whether to recommend a project for approval, deferment, or rejection, and are made available to the MCA and Thematic Boards.
- 8.12 The MCA website also explains how members of the public can request information as well as providing feedback and submitting questions for MCA meetings.
- 8.13 The LEP holds an Annual General Meeting (AGM) each year which is open to the public and publicised through the MCA's website and social media networks and press.
- 8.14 The MCA holds its AGM in June each year.

Formal and Public Consultation

- 8.15 In accordance with the MCA's statutory obligations, the MCA Executive Team undertakes a public consultation exercise when revising or developing a new strategic document. The consultation period runs for between 6 and 12 weeks. Information on the consultation is posted on the homepage of the MCA website with a draft document and details of how to submit views, comments and supporting evidence electronically and by post. Information on any scheduled consultation events is also displayed.
- 8.16 Comments and evidence submitted by partners and individuals during the public consultation period are logged, analysed, and categorised, with records kept on how the final draft of the strategy has been amended to reflect the comments and evidence received.
- 8.17 In 2020 the public were consulted on the draft Strategic Economic Plan. In 2022 the MCA publicly consulted on Enhanced Partnerships, an agreement between the MCA as the Local Transport Authority and bus operators in South Yorkshire on delivering bus service improvements. Future public consultations will take place on the development of the Nature Recovery Strategy and re-fresh of the Transport Strategy.

9. Publishing Information

- 9.1 The MCA is subject to the same Transparency Code that applies to local authorities. To deliver the responsibilities under the code, the MCA has developed a robust, but proportionate, approach to sharing and publishing information so that it is accessible to the public.

Access to Information

- 9.2 The MCA Constitution includes a publication scheme which sets out how and when agendas, minutes, papers, and other documents produced by the MCA and MCA Executive Team will be made available to the public. It also sets out any exceptions to publishing information, such as not disclosing information that is prohibited by law or which is exempt under the Local Government Act 1972 Schedule 12A or Freedom of Information Act 2000.
- 9.3 The Publication Scheme is published on the MCA website. MCA and Thematic Board papers clearly state whether the paper will be published under the Publication Scheme and whether any exemptions apply.
- 9.4 The MCA is subject to the Local Government Act 1972, Freedom of Information Act 2000, Data Protection Acts of 1998 and 2018, the General Data Protection Regulations (GDPR) the Environmental Impact Regulations 2004 and Public Sector Equality Duty.
- 9.5 The public are made aware of their right to access information through the MCA website. Requests for information are dealt with in accordance with the relevant legislation and information is not unreasonably withheld. The MCA Executive Team elects to publish more information on activities and decisions than is stipulated in Government guidance, so that Freedom of Information requests are less necessary.
- 9.6 All data supplied to the MCA and MCA Executive Team, including personal, financial, confidential, and sensitive information is processed and handled in line with data protection legislation. Personal information is stored securely to maintain privacy. This process is detailed in the Privacy Policy.

MCA Website

- 9.7 Core information regarding activity being undertaken by the MCA and Mayor is available on the MCA website.
- 9.8 The MCA website is structured into the following sections:
- **Who We Are** – this section contains information on the Board structure and Board membership, agendas, and papers for the MCA, LEP, Thematic Boards and Youth Combined Authority as well as vacancies in the MCA
 - **What We Do** – this section provides information on the SEP, thematic priorities, public consultations on draft strategies, mini-portfolios on funded projects and initiatives and the MCA's Data and Intelligence Hub

- **Growing Our Economy** – this section is targeted at potential inward investors and indigenous businesses and explains the schemes and initiatives available to support businesses to start-up, thrive and grow, including the Growth Hub and the portfolio of land available for investment in South Yorkshire
- **Governance** – this is a dedicated section on how the MCA functions, including MCA policies, procedures, processes, decision-making and expenditure, statutory notices on the Mayoral Election (in the period leading up to an election) and Freedom of Information requests
- **Mayor** – this section contains information on the elected Mayor including the Mayor’s role, powers, priorities and plans, Mayor’s Question Time sessions and the Citizens Assembly

Meeting Papers

- 9.9 The schedule of MCA Board, LEP Board, Audit, Standards and Risk Committee and Overview and Scrutiny Committee meetings for the year ahead are published on the MCA website.
- 9.10 The notice of the meeting, the agenda and accompanying papers are published five clear working days in advance of the meeting. Where papers contain commercially sensitive information or are subject to one of the exemptions under the Local Government Act 1972 Schedule 12A or Freedom of Information Act 2000, they are not published and are categorised as a private item. Decisions on whether individual agenda items are private items are made by the LEP Chair in consultation with the Head of Paid Service and Monitoring Officer using existing local authority regulations.
- 9.11 Draft minutes of meetings are published no more than ten working days after the meetings on the MCA website. All MCA minutes are signed at the same or next suitable meeting of the Authority and published within ten clear working days.

Notice of Decisions

- 9.12 As stated in previous sections, the MCA publishes a Forward Plan of Key Decisions that will be taken by the MCA or Thematic Boards at least 28 days before the decision is made to enable members of the public to view and comment on them.
- 9.13 Details of all project approvals made by the MCA and Thematic Boards are recorded in the Minutes of the meetings. In addition, the MCA Executive Team maintains and publishes a Grants and Contracts Register on the MCA website which provides details of all contracts and agreements signed, a summary of the project, and the value of the contract.
- 9.14 A Delegated Authority Report for decisions taken by each Thematic Board is produced for the MCA which documents all decisions that the Board has taken, including any approval they have given to projects within their delegated authority limit (up to £2 million) and any endorsement, deferment or rejection of projects that exceed their delegation. Delegated Authority Reports is a standing agenda item for discussion at each MCA meeting and they are published in the meeting paper pack on the MCA website.

Information on Board Members

- 9.15 The following information on MCA Board and LEP Board Members is published on the MCA website:
- Biography – including name, job title, organisation represented, membership of Committees and any lead roles
 - Individual Register of Interests
 - Declarations at Meetings
 - Attendance Record
 - Gifts and Hospitalities Record
 - Term of Office
- 9.16 LEP Board members are not remunerated. Members are entitled to claim back travel and subsistence costs incurred whilst undertaking duties and responsibilities on behalf of the LEP. The MCA Executive Team publishes details of all expenses and subsistence claimed by LEP Board Members and authorised by the Head of Paid Service in Quarterly Expenses Reports.
- 9.17 The MCA Executive Team also publishes any gifts or hospitality accepted and received by LEP Board members with a notional or actual value that exceeds £50. Gifts and hospitality are recorded in each LEP Board Members' Individual Register of Interest.

Financial Information

- 9.18 A range of budgetary and financial information is published on the MCA website so that it is transparent and accessible to the public.
- 9.19 MCA and Mayoral budgets are set prior to the start of the financial year within the Budget and Policy Framework. As the Accountable Body, the MCA is responsible for setting and approving the annual budgets for the organisations within the MCA governance structure. This includes approving the transport revenue budget for transport operations in South Yorkshire and setting the transport levy.
- 9.20 The MCA is also responsible for agreeing an annual programme of capital expenditure, together with proposals for the financing of that programme. This includes projects promoted and projects directly managed by the MCA.
- 9.21 Quarterly updates on the performance of capital and revenue programmes are provided to the MCA Board and these are published in meeting papers.
- 9.22 As stated previously in this section, funding decisions are also published on the MCA website in the Grants and Contracts Register. Payments to general suppliers that have a value of more than £250 are published every month in the Payments Made to Suppliers register.
- 9.23 The LEP's finalised capital and revenue income and expenditure is published every year as part of the Group Accounts. The draft accounts are considered by the MCA Board in June/July each year. The finalised accounts which include the Annual Governance Statement, are published alongside the Independent Audit Certificate for the financial year.
- 9.24 The roles and salary bands of all staff employed in the MCA Executive Team which exceed £50,000 per annum are also published on the MCA website.

Procurement and Funding Opportunities

- 9.25 The MCA Executive Team publishes calls for projects on a regular basis on the MCA website and social media feeds. The application templates and guidance documents for each commissioning call are available via the MCA website.
- 9.26 An open and competitive procurement process is in operation. When undertaking any procurement, all Boards, officers, and staff must comply with the Contract Procurement Rules. Opportunities to supply goods and services are advertised on the Procontract website with a link from the MCA website.
- 9.27 Information on how businesses can access advice and support services, including applying for grant-funded programmes, is advertised in the Growing Our Economy section of the MCA website.

Branding

- 9.28 In accordance with branding guidance on awarded and devolved funding, the MCA Executive Team ensures that the correct logos and wording are displayed in all promotional materials for MCA funded projects and programmes. Promotional materials include the MCA website, websites of project applicants/scheme promoters, signage, social media posts, press notices and marketing literature.

Glossary of Terms

AEB	Adult Education Budget
AGM	Annual General Meeting
BCR	Benefit Cost Ratio
BEIS	Department for Business, Energy and Industrial Strategy
BF	Brownfield Fund
BJC	Business Justification Case
BMBC	Barnsley Metropolitan Borough Council
CIAT	Central Independent Appraisal Team
CRF	Community Renewal Fund
CRSTS	City Region Sustainable Transport Settlement
D2N2	Derby, Derbyshire, Nottingham and Nottinghamshire Local Enterprise Partnership
DfE	Department for Education
DfT	Department for Transport
DLUHC	Department for Levelling Up, Housing and, Communities
DIT	Department for International Trade
DMBC	Doncaster Metropolitan Borough Council
FBC	Full Business Case
FLUTE	Forecasting the interactions of Land-Use, Transport and Economy
GBF	Getting Building Fund
LEP	Local Enterprise Partnership
LGF	Local Growth Fund
LTA	Local Transport Authority
MCA	Mayoral Combined Authority
OBC	Outline Business Case
R&D	Research and Development
RMBC	Rotherham Metropolitan Borough Council
SBC	Strategic Business Case
SCC	Sheffield City Council
SCR	Sheffield City Region
SCRMT1	Sheffield City Region Transport Model 1
Section 73	Equivalent to a Section 151 Officer
SEP	Strategic Economic Plan
SYMCA	South Yorkshire Mayoral Combined Authority
SYPTe	South Yorkshire Passenger Transport Executive
TAG	Transport Appraisal Guide (formerly known as WebTAG)
TCF	Transforming Cities Fund
UKSPF	UK Shared Prosperity Fund

Appendix A: Summary of LEP Policies

The South Yorkshire MCA and LEP are strongly committed to putting in place robust decision-making and financial management policies and procedures to ensure that public money is being spent responsibly and is accounted for.

Each year, the suite of LEP policies is reviewed and refined to continually improve governance and accountability. The LEP's policies are listed below and published on the MCA website at <https://sheffieldcityregion.org.uk/about-us-governance-policy/how-we-make-decisions-2/>.

LEP Terms of Reference

The [LEP Terms of Reference](#) outlines the role and aims of the LEP Board and the duties of LEP Board members. It also details the LEP's Board member recruitment and appointment process, the roles of the Chair and Deputy Chair, and the decision-making process.

LEP Board Recruitment

The [LEP Board Appointment Process](#) explains how vacancies on the LEP Board will be openly advertised, and how Board appointments will be made by a LEP Appointments Panel in a transparent, competitive and non-discriminatory way.

Equality and Diversity

The LEP's commitment and approach to ensuring equality and diversity is detailed in the [LEP Diversity Policy](#). The policy covers recruitment and selection and all engagement with individuals and organisations. The policy also outlines the LEP Board's commitment to nominating a LEP Board member to act as Diversity Champion. The policy applies to LEP Board members, the MCA Executive Team, and any Thematic Board members.

Code of Conduct

All LEP Board members proactively sign-up to the [LEP Code of Conduct](#) when they are appointed to the Board, as a condition of their appointment. The Code of Conduct explicitly requires LEP Board members to conform with the Seven Principles of Public Life (Nolan principles) – selflessness, integrity, objectivity, accountability, openness, honesty, and leadership. MCA Executive Team staff are required to sign the employee's Code of Conduct as a condition of their employment which requires them to carry out their duties in accordance with the Nolan principles.

Remuneration and Expenses

LEP Board members are not remunerated. Members are entitled to claim back travel and subsistence costs incurred whilst undertaking duties and responsibilities on behalf of the LEP. The [LEP Expenses Policy](#) explains the requirement for travel and subsistence to be pre-approved by the Head of Paid Service prior to being incurred and the process for claiming expenses.

Gifts and Hospitality

LEP Board members are required to notify the Head of Paid Service in writing of all offers of hospitality and gifts received with a value of more than £50. The [LEP Gifts and Hospitality Policy](#) aligns with Local Authority systems and standards on accepting and declaring gifts. The policy also applies to the MCA Executive Team and any Sub-groups involved in advising on or making decisions.

Conflicts of Interest

The [LEP Declarations of Interest Policy](#) requires all LEP Board members and senior officers to complete and maintain an up to date Register of Declarations to avoid any conflicts of interest when advising on, or making decisions.

Whistleblowing

The [LEP Whistleblowing Policy](#) provides information on how concerns about the LEP, LEP Board members and the MCA Executive Team should be raised, how the concerns will be handled and how concerns will be dealt with sensitively and in confidence.

Complaints

The [LEP Confidential Complaints Policy](#) explains how complaints about the LEP, LEP Board members and the MCA Executive Team should be submitted and how complaints will be dealt with and responded to.

Data Management

The Privacy Policy explains how and why information provided by service users and members of the public is collected and used. This includes data that is provided to the MCA Executive Team via the MCA website, information provided to funded services and projects (e.g. Growth Hub, Skills Bank, Working Win) and data provided over the telephone. The policy ensures that the LEP and MCA Executive Team will only process data in a legally compliant way, and that personal information will be handled in confidence and stored securely to maintain privacy.

Appendix B: Key Performance Indicators

The core and supplementary key performance indicators that the MCA assesses funding applications and monitors programme, project, and economic performance against are detailed below:

Stronger

Performance Management						Reporting			
Core Indicator	Outcome	Data Source	2027 Target	2040 Target	Gap	Approach	Reviewer	Frequency	Director Responsible
Productivity per hour worked	A higher productivity workforce	Labour productivity measured in GVA per employee. Annual Population Survey		Increase productivity rate in South Yorkshire by £6.80 per hour (24%) to match the UK average	South Yorkshire: £28.3 UK: £35.2 GAP: £6.8 per hour	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
High growth businesses	A larger proportion of high growth businesses.	Business Demography Table 7.1		Increase proportion of high growth businesses in South Yorkshire by 25 (0.5%)	South Yorkshire: 3.9% Range: Barnsley (3.3%) – S/R (4.0%) UK: 4.3%	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Business density	A higher density is economically beneficial in terms of GDP	Nomis UK Business Counts 'Business density (businesses per 10,000 people		Increase the number of businesses in South Yorkshire by 20,600 (42%)	Barnsley (312), Doncaster (363), Rotherham (346), Sheffield (335), England (648)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Higher-level occupations	Higher proportion of employees in managerial, technical & professional occupations (SOC 1–3)	Nomis		Additional 42,000 (6.3%) 16–64 year olds working in higher level occupations	South Yorkshire: 43.7% GB: 50.0% Gap: 6.3 p.p (equivalent to 40,500)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills

Supporting Indicator									
Economic output per worker	The size of our economy relative to our workforce (and population) will increase.	Labour productivity measured in GVA per worker. Annual Population Survey.		Parity with UK average	South Yorkshire: range £42,620-45,434 UK: £56,670	Board Report	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Employment	More working-age people are in employment.	Annual Population Survey		Parity with GB average	South Yorkshire: 70.8% GB: 74.4% Gap: 3.6 p.p. (equivalent to 33,000 people)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Enterprise birth rate	Higher density and growing business base	Business birth rate. ONS Business Demography data.		Exceed UK average	South Yorkshire: 14% (range 12.6 [Sheffield]-17.1% [Doncaster]) UK: 13%	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Enterprise survival rate	Higher density and growing business base	New business 1-year survival rate. ONS Business Demography data.		Exceed UK average	South Yorkshire: 89.5% SY range: Sheffield (88.3%) – B/R (91.1%), UK (88.3%)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
R&D expenditure	A greater investment in R&D indicates an innovative economy	R&D expenditure as a % of the economy using ONS and Eurostat data		2.4% of GDP by 2027	South Yorkshire: £440m UK: £69,600m	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Digital connectivity	A higher proportion of SY is covered by full fibre.	Gigabit capable		Parity with England average	South Yorkshire: range (9-38%) England: 36%	Board Report	LEP / MCA	Annual	Director of Transport, Housing, Infrastructure & Planning
Urban centres	Consistent or improving levels of footfall in town and city centres.	(Potentially 'Locomizer' commercial data –		TBC	TBC	Board Report	LEP / MCA	Annual	Director of Transport, Housing,

		currently exploring possibilities)							Infrastructure & Planning
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Greener

Performance Management						Reporting			
Core Indicator	Outcome	Data Source	2027 Target	2040 Target	Gap	Approach	Reviewer	Frequency	Director Responsible
Flooding	Flood risk demonstrably reduced overall by xx% compared to 2020 baseline	TBC		17,000 additional homes and businesses protected from flooding	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning
Carbon	Reduce carbon emissions.	UK local authority and regional carbon dioxide emissions national statistics		Reduction of carbon dioxide emissions in each local authority to be equal to or lower than the England average of 4.9/capita	South Yorkshire (range): 3.8 to 6.4/capita England: 4.9/capita	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning
Modal shift	Car usage and motor traffic falls, indicating mode share and lower pollution due to transport.	Either using DfT source for miles driven, or more local (SYPTTE) data		Additional 29,000 workers using public transport to commute and 14,000 using active travel modes to commute	TBC - net reduction in line with strategy	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning
Supporting Indicator									
Bus patronage	Increase bus patronage	BUS0110 passenger journeys on local bus services per head			South Yorkshire: 20.9 journeys per head England: 27.8 journeys per head	Board Report Programme Dashboard	TEB	Quarterly	Corporate Director of Public Transport

Bus time	More buses on time	Increase in cumulative journey times for an agreed set of frequent services compared to 2017 baseline	-4.0% (BSIP 2025 target)	-4.0%	+0.3% compared to 2017 levels (current)	Board Report Programme Dashboard	TEB	Quarterly	Corporate Director of Public Transport
Reliability	More reliable transport infrastructure	Bus operator data	99.5% (BSIP 2025 target)	99.5%	98.8% (current)	Board Report Programme Dashboard	TEB	Quarterly	Director of Transport, Housing, Infrastructure & Planning
Bus satisfaction	More satisfied users	Transport Focus annual survey	92% (BSIP 2025 target)	92%	89%(current)	Board Report Programme Dashboard	TEB	Quarterly	Corporate Director of Public Transport
Ecosystem services	The value of total ecosystem service flows increases	Natural Capital Solutions report for South Yorkshire (2021)		Increasing value of ecosystem service provision relative to 2021 benchmark	Barnsley (£117m), Doncaster (£131m), Rotherham (£100m) Sheffield (£171m)	Board Report	MCA	Annual	Director of Transport, Housing, Infrastructure & Planning
Commuting mode of travel	More people use public transport and active travel	Census (QS701EW)		TBC	Bicycle (9,395), on foot (63,724)	Board Report Programme Dashboard	MCA	Annual	Director of Transport, Housing, Infrastructure & Planning
Renewable energy generation	Increase	Annual generation (MWh), BEIS		TBC	South Yorkshire (1,174 GWh)	Board Report Programme Dashboard	MCA / LEP Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning
Net Zero Carbon Emissions (Scope 1 and 2) for the region	Reduction	CO2e – ONS		Net Zero	TBC	Board Report Programme Dashboard	MCA / LEP Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning

Air quality	Reduction	Air emissions Nitrous Oxide (N2O) CO2e – ONS		TBC	TBC	Board Report	MCA	Annual	Director of Transport, Housing, Infrastructure & Planning
Carbon intensity	Reduction	per capita and per km2		TBC	TBC	Board Report	MCA	Annual	Director of Transport, Housing, Infrastructure & Planning
Woodland coverage	Increase	% coverage – Natural Capital Mapping		TBC	South Yorkshire (10.6%)	Board Report	MCA	Annual	Director of Transport, Housing, Infrastructure & Planning
Housing stock energy efficiency	All new homes in South Yorkshire are built to Energy Performance Certificate Grade C standard and above	TBC		TBC	TBC	Board Report	MCA / LEP Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning
Active travel	Increase	% using 'active' modes of travel Walking and Cycling Statistics, England – ONS		TBC	TBC	Board Report Programme Dashboard	MCA	Annual	Director of Transport, Housing, Infrastructure & Planning

Fairer

Performance Management						Reporting			
Core Indicator	Outcome	Data Source	2027 Target	2040 Target	Gap	Approach	Reviewer	Frequency	Director Responsible
Economic inactivity	Fewer people are economically inactive	% who are economically inactive - aged 16-64 Annual Population Survey		Reduction of 31,600 (2.2%) 16-64 year olds classified as economically inactive	South Yorkshire (24.0%) UK (21.8%)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Qualifications & skills	Delivering a local workforce for future growth. A higher proportion of working-age population (16-64) possess higher qualifications, indicating progression in education and employment	NVQ 3 and above. Nomis.		Additional 12,000 (2.8%) 16-64 year olds in South Yorkshire obtaining a higher level qualification (NVQ 3+)	South Yorkshire: 58.1% GB: 61.3% Gap: 2.8 p.p (equivalent to 12,000 people)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Wage levels	A lower proportion of employees on low earnings (further work to assess lowest pay gap within 20th percentile of earnings distribution).	Annual Survey of Hours and Earnings. Hourly pay (gross) all workers		Gap of £1.38 per hour between South Yorkshire and UK average is reduced by all workers receiving a 14% pay increase	South Yorkshire: £14.28 UK: £15.71 Gap: £1.48	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills

Personal wellbeing	Estimated levels of worthwhile, life satisfaction, happiness and anxiety are indicators of personal well-being.	Self-reported wellbeing – people with high anxiety score (NHS Fingertips)		Reduction in South Yorkshire residents self-reporting high anxiety to below 2020 level or to England average	South Yorkshire: range (20.1-24.1%) England 21.9%	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Supporting Indicator									
NVQ – all levels	Increasing	Nomis		Parity with GB average	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Health	Our population live increasingly long, healthy lives.	Healthy life expectancy at birth - PHE/ONS		Parity with England average	South Yorkshire: range 77.8-79.3, (male) 81.8-82.5 (female) England: 79.8 (male) 83.4 (female)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Housing costs	The housing system and wider economy means that earning power is not being eroded by inflating house prices.	MHCLG House Price (existing dwellings) to residence-based earnings ratio.		Net decrease in relative housing costs	South Yorkshire: range (4.66-5.92) England: 7.84	Board Report	LEP / MCA Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning

Education & schools	More children leave secondary school with better attainment to boost their prospects in FE and employment.	Attainment 8 scores average. DfE data.		Parity with England average	South Yorkshire: Attainment 8 range (44.0-44.9) England: 46.8 Gap to average: 649 students	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Higher-level occupations	Higher proportion of employees in managerial, technical & professional occupations (SOC 1-3).	Nomis		Parity with GB average	South Yorkshire: 43.7% GB: 50.0% Gap: 6.3 p.p (equivalent to 40,500 people)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Fuel poverty	Fewer households living in fuel poverty.	BEIS Fuel Poverty Statistics use Low Income Low Energy Efficiency (LILEE) indicator.		Parity with England average	South Yorkshire: 17.7% England: 13.4% Gap: 4.3 p.p	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Child poverty	Lower proportion of children living in poverty.	End Child Poverty derived data		Parity with UK average	Barnsley (33.3%), Doncaster (34.7%), Rotherham (34.3%), Sheffield (35.5%), UK (31%)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Cultural participation	Gap for overall participation in cultural activity between SCR and national average closes.	DCMS Active Lives Survey Variable 'Spent time doing a creative, artistic, theatrical or music activity or a craft'		Parity with England average	South Yorkshire: 69.7% England: 76.1% Gap of 6.4 p.p	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Deprivation	Lower share of local areas in deprivation.	MHCLG Index of Multiple Deprivation (2019) - Proportion		Parity with England average	South Yorkshire has 18.59% areas in	Board Report	LEP / MCA	Annual	Deputy CEX

		of LSOAs in most deprived 10% nationally (converted to %)			'bottom 10% index'. By definition this is 8.59% higher than average.	Programme Dashboard	Thematic Boards		
Out-of-work benefit claimant rate	Lower percentage of people claiming out-of-work benefits	CCO1 Regional Labour Market		Parity with UK average	South Yorkshire: 5.6% Range: Barnsley (5.1%) – Doncaster (6.2%) UK: 5.0%	Board Report	MCA / LEP	Annual	Director Business and Skills
Connect to jobs	(a) Increasing the number of economically active people living within 30 minutes of key employment locations and universities by public transport. Improving journey times to employment centres.	Talk to transport team about data sources. Note: if these come from Census, better using sources that refresh much more regularly.		Decrease in journey times relative to 2020 level.	Baseline year to be established.	Board Report	MCA / LEP	Annual	Director of Transport, Housing, Infrastructure & Planning
Affordable housing delivery	Increasing number of affordable housing completions	Live Table 1008C		Increase on 2020 level	Barnsley (228), Doncaster (74), Rotherham (240), Sheffield (207)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning
Net additional dwellings	Increasing number of net new dwellings	Live Table 122		Increase on 2020 level	Barnsley (590), Doncaster (761), Rotherham (566), Sheffield (1,850)	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director of Transport, Housing, Infrastructure & Planning

Avoidable mortality	Decreasing	Premature preventable deaths – ONS		TBC	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Common mental health disorders	Decreasing	Fingertips – ONS		TBC	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Gross disposable household income	Increasing	ONS		TBC	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Deputy CEX
Key stage 4 destination measures	Increasing	Higher % sustained education, apprenticeship or employment destination – ONS		TBC	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
Apprenticeships and trainees	Increasing	DfE apprenticeships and trainees data		TBC	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills
NEET	Decreasing	DfE 'NEET and participation'		TBC	TBC	Board Report Programme Dashboard	LEP / MCA Thematic Boards	Annual	Director Business and Skills

South Yorkshire Mayoral Combined Authority

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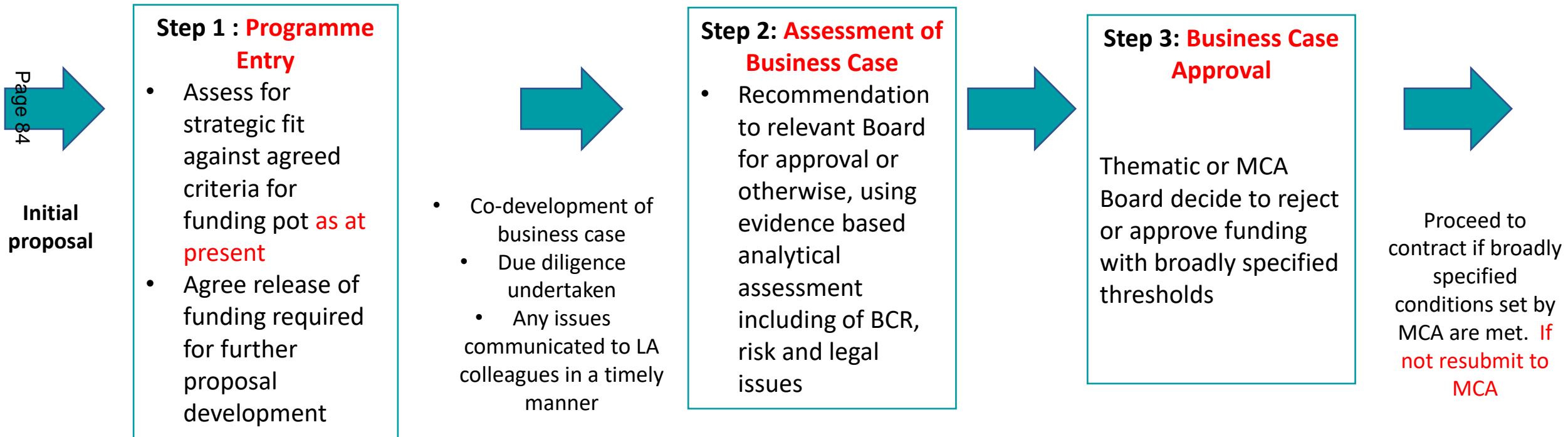
Assurance review

The existing assurance process has been described as bureaucratic, unresponsive and opaque. Changes are being proposed to improve the process in line with the following principles:

- The process needs to be simple, transparent and streamlined
- The process should support pragmatic decision making that acknowledges approvals already in place with government departments
- The process will add value and minimise duplication
- The process is compliant with government requirements
- Decisions will be taken by one Board only (Thematic Board for projects less than £2m and MCA Board for projects more than £2m)

Proposed process for project and programme approvals

Reduced touch-points and streamlined approval process:



Step 1: Programme Entry

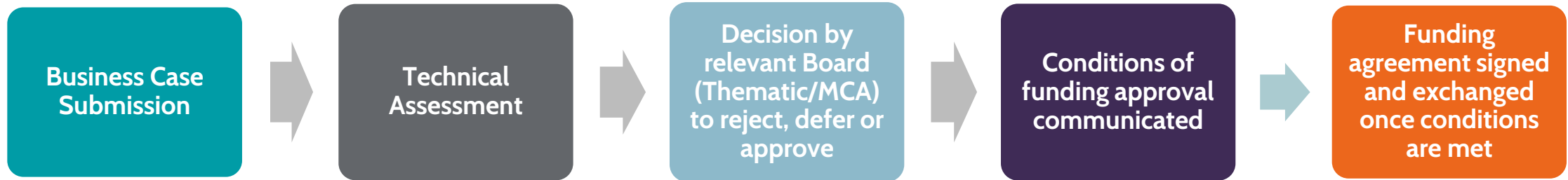
Identifying the right projects early in the process:



- Scheme promoter submits a **Mandate Form including** Statement of Strategic Fit to MCA. Project details will then be captured on Verto – the shared project management system.
- Mandate Form and Statement of Strategic Fit is **assessed** for:
 - **Fit with agreed MCA strategic objectives** (economic growth; social inclusion & inequalities; environmental sustainability)
 - **Contribution to agreed outcomes** as per the co-developed Outcomes Framework (see slides 6 and 7)
 - **Compliance with Government requirements** for the relevant funding pot (where applicable)
- Following approval, Grant Letter sent to scheme promoter confirming any early **release of development funding** to develop the project to **Business Case** stage.

Step 2: Project Development & Business Case Completion

One business case and one decision point:



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- Scheme promoter and MCA co-design and co-develop the project and prepare the **Business Case**
- Scheme promoter submits the **Business Case** to MCA technical assessment including
 - Confirmation of Value for Money
 - Suitability of preferred option
 - Financial and commercial due diligence
 - Confirmation of statutory processes (if any)
 - Risk and deliverability
- **Business Case** and other documentation submitted to relevant Board (Thematic Board for projects up to £2m or directly to MCA Board for projects over £2m) for consideration & approval
- Funding agreements are prepared in parallel
- Conditions of approval, including any tolerances and thresholds are communicated to scheme promoter
- Funding agreements are signed once conditions have been met and revised business case is submit for audit purposes.

Preparation for Contract

Preparing contracts as early as possible to support quick procurement:



- Page 87
- Scheme promoter confirms to MCA that all conditions have been met
 - This triggers completion, signing and exchange of funding agreement

Responsibilities of scheme promoters/local authorities

- Regular Officer Liaison Meetings with the MCA, via the Programme Management Office (PMO), on the progress of projects and business cases to ensure any issues are flagged and resolved
- Each LA to confirm the establishment (or existence) and make-up of their own internal authorising arrangements. This is expected to be an officer-led group which provides the authorising environment for project progress, including check and challenge and gateway approvals.
- Co-design and co-develop schemes with the MCA
- Discuss and agree with the MCA how much funding is required for project development, project approval timings and other resource/support that will be needed to develop the project and business cases
- Seek advice from the Assurance and Evaluation Team on strategic fit, options assessment, Value for Money (VfM), modelling and any technical expertise that may be required
- Call-off technical or specialist expertise through the MCA's **Appraisal, Investment and Evaluation Framework** to help develop a project and/or Business Case – available from 1 April 2023

Expectations of the MCA

- Regular Liaison Meetings with the applicant, via the Programme Management Office (PMO), on the progress of projects and business cases to ensure any issues are flagged and resolved
- Ensure applicant is fully aware of all Board meeting cycle dates and any administrative processes that have a bearing on project timeline
- Confirm to applicant that MCA officers are available and ready to co-design and co-develop schemes. This includes guidance through the process, access to technical expertise the MCA may have on strategic fit, options assessment, Value for Money (VfM) and modelling
- Confirm with the applicant how much funding they may need for project development and the process for unlocking this
- Seek advice from the Assurance and Evaluation Team Call-off technical/specialist expertise and critical friend advice through the MCA's Appraisal, Investment and Evaluation Framework to help develop a project and/or Business Case – available from 1 April 2023
- Share draft Funding Agreement as early as possible, identifying any potential conditions that might have to be met

Background Information

Outcomes Framework – Core Outcomes

Indicator	Outcome	Data source	2040 target	Gap
Productivity per hour worked	A higher productivity workforce.	Labour productivity measured in GVA per employee. Annual Population Survey.	Parity with UK average	South Yorkshire: £28.3 UK: £35.2 GAP: £6.8 per hour
Economic inactivity	Fewer people are economically inactive	% who are economically inactive - aged 16-64 Annual Population Survey	Parity with UK average	South Yorkshire (24.0%) UK (21.8%)
Business density	A higher density shows	Nomis UK Business Counts 'Business density (businesses per 10,000 people'	Parity with England average	Barnsley (312), Doncaster (363), Rotherham (346), Sheffield (335), England (648)
High growth businesses	A larger proportion of high growth businesses.	Business Demography Table 7.1	Parity with UK average	South Yorkshire: 3.9% Range: Barnsley (3.3%) – S/R (4.0%) UK: 4.3%
Air quality	Improvement in air quality as measured by population-weighted annual mean concentrations ($\mu\text{g m}^{-3}$)	Air pollution: fine particulate matter - PM2.5	Parity with England average	South Yorkshire (range): 8.4 to 9.1 $\mu\text{g}/\text{m}^3$ England: 9.0 $\mu\text{g}/\text{m}^3$ Rotherham is 0.1 $\mu\text{g}/\text{m}^3$ higher, other LAs lower
Flooding	Flood risk demonstrably reduced overall by xx% compared to 2020 baseline.	TBC	TBC – to develop with Environment Agency	TBC
Carbon	Reduce carbon emissions.	UK local authority and regional carbon dioxide emissions national statistics	Parity with England average in each Local Authority	South Yorkshire (range): 3.8 to 6.4/capita England: 4.9/capita
Car usage	Car usage and motor traffic falls, indicating mode share and lower pollution due to transport.	Either using DfT source for miles driven, or more local (SYPTTE) data	TBC - net reduction in line with strategy	TBC

Outcomes Framework – Core Outcomes

Indicator	Outcome	Data source	2040 target	Gap
Qualifications & Skills	A higher proportion of working-age population (16-64) possess higher qualifications, indicating progression in education and employment.	NVQ 3 and above. Nomis.	Parity with GB average	South Yorkshire: 58.1% GB: 61.3% Gap: 2.8 p.p (equivalent to 12,000 people)
Wage levels	A lower proportion of employees on low earnings (further work to assess lowest pay gap within 20th percentile of earnings distribution).	Annual Survey of Hours and Earnings. Hourly pay (gross) all workers	Parity with UK average	South Yorkshire: £12.09 (range: £11.29 [Doncaster] to £12.50 [Barnsley]) UK: £13.74 Gap: £1.65
Health	Our population live increasingly long, healthy lives.	Healthy life expectancy at birth - PHE/ONS	Parity with England average	South Yorkshire: range 77.8-79.3, (male) 81.8-82.5 (female) England: 79.8 (male) 83.4 (female)
Personal Wellbeing	Estimated levels of worthwhile, life satisfaction, happiness and anxiety are indicators of personal well-being.	Self-reported wellbeing – people with high anxiety score (NHS Fingertips)	Parity with England average, or lower than 2020 level	South Yorkshire: range (20.1-24.1%) England 21.9%

Audit, Standards and Risk Committee

Wednesday, 22 March 2023

Governance Improvement Plan 2022/23 – Progress Update

Is the paper exempt from the press and public?	No
Reason why exempt:	Not applicable
Purpose of this report:	Monitoring/Assurance
Is this a Key Decision?	No
Has it been included on the Forward Plan of Key Decisions?	Not a Key Decision

Director Approving Submission of the Report:
 Gareth Sutton, Director of Resources & Investment/s73 Officer

Report Author(s):
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Executive Summary

This paper updates the Committee on progress against the 2022/23 Governance Improvement Plan.

What does this mean for businesses, people and places in South Yorkshire?

Continually improving governance enables the Combined Authority to pursue its ambitions and objectives in the most effective and efficient way, bringing about better outcomes for people and businesses in South Yorkshire.

Recommendations

The Committee is asked to consider progress against the plan and a recommendation that the plan is concluded at the end of the financial year, where appropriate any outstanding actions will be transferred to the 2023/24 plan.

Consideration by any other Board, Committee, Assurance or Advisory Panel

N/A

1. Background

- 1.1 CIPFA guidance on the preparation of an Annual Governance Statement prescribes that the statement should include an 'agreed action plan showing actions taken, or proposed, to deal with significant governance issues' (Governance Improvement Plan). This paper provides an update on the progress of the Governance Improvement Plan for 2022/23 which forms part of the Annual Governance Statement for the previous financial year. The Governance Improvement Plan can be found at appendix A.

2. Key Issues

- 2.1 Members are asked to note that in addition to monitoring progress against the Governance Improvement Plan, in line with the Internal Audit recommendation (reported to the Committee in October) a quarterly review of compliance with the Local Code of Corporate Governance was established during the year. This has informed the Annual Governance Review (item 19) and has been reviewed as part of the Governance audit (item 10, appendix A) which has made recommendations to enhance this process further.
- 2.2 The Committee is asked to consider progress against the plan and a recommendation that the plan is concluded at the end of the financial year, where appropriate any outstanding actions will be transferred to the 2023/24 plan a draft of which is included in at item 19.

3. Consultation on Proposal

- 3.1 The Committee was originally consulted on the 2022/23 Governance Improvement Plan in July 2022.

4. Timetable and Accountability for Implementing this Decision

- 4.1 The Governance Improvement Plan has been monitored during financial year 2022/23. The Annual Governance Review has informed a new Governance Improvement Plan for 2023/24. A draft is included at item 19.

5. Financial and Procurement Implications and Advice

- 5.1 There are no financial implications relating to the proposal set out regarding the annual governance review however, non-compliance with the Accounts and Audit Regulations may result in a qualified audit opinion which could lead to a potential withdrawal or withholding of funding.

6. Legal Implications and Advice

- 6.1 There are no legal implications relating to the Governance Improvement Plan.

7. Human Resources Implications and Advice

- 7.1 There are no human resources implications related to this report.

8. Equality and Diversity Implications and Advice

8.1 There are no equality and diversity implications related to this report.

9. Climate Change Implications and Advice

9.1 There are no climate change implications related to this report.

10. Information and Communication Technology Implications and Advice

10.1 There are no information and communication technology implications related to this report.

11. Communications and Marketing Implications and Advice

11.1 There are no communications or marketing implications related to this report.

List of Appendices Included:

A Governance Improvement Plan – Progress Update

Background Papers

None

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The Governance Improvement Plan consists of actions identified from the Annual Governance Review 21/22 which will support the organisation’s strategic priorities.

CIPFA/SOLACE Framework – Principle B - Ensuring openness and comprehensive stakeholder engagement	

	January 2023 Update	March 2023 Update
<ul style="list-style-type: none"> Improve the way we engage with and listen to our customers by actively pursuing their views through an agreed and published plan of consultations based on the priorities of the Corporate Plan, including the Bus Service Improvement Plan and franchising. (Executive Lead Tim Taylor) 	<p>Enhanced Partnership Board established in April 2022 and EP Forum (passenger representation) formed in September 2022. Forum is being engaged to co-design a new passenger charter.</p> <p>MCA undertook a public consultation in August 2022 on the prioritisation of bus service attributes to inform tendered service awards in October 2022. Whilst these have been deferred until July 2023 (at the earliest) the data will still be used for future tendering activity.</p>	<p>EP Forum now well established and playing a key role is designing and recommending the content of the Bus Customer Charter (to be approved in early 2023/24).</p>
<p>Page 97</p> <p>Improve our responsiveness to customer enquiries and complaints by tracking and monitoring issues and making necessary process changes to improve customer experience at an operational level. (Executive Lead Tim Taylor)</p>	<p>Proposal to centralise further customer-facing services and activities (e.g. general enquiries) in to the existing transport Contact Centre (CC). Trial of using the CC for Mayoral Election was successful in April/May 2022.</p> <p>Enhanced Partnership Passenger Charter being developed with support from the EP Forum.</p> <p>Continued use of Director of PT Ops resources to support customer and elected member correspondence; Mayoral Correspondence Officer started in December 2022.</p>	<p>Further examination of processes for customer queries and complaints being developed.</p> <p>A review of the processes for management of elected member correspondence is also underway.</p> <p>Consolidation of digital social media channels in progress with Contact Centre taking ownership from 13 March 2023.</p>

CIPFA/SOLACE Framework - Principle C - Ensuring our outcomes are defined in terms of sustainable economic, social, and environmental benefits	

	January 2023 Update	March 2023 Update
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<ul style="list-style-type: none"> Improve our plans and strategies by ensuring they illustrate the contribution they will make to changing the regions' economic outlook. (Executive Lead Felix Kumi-Ampofo) 	<p>The primary source of evidence will be the Outcomes Framework. This is supported by the new Data and Intelligence Hub (https://southyorkshire-ca.gov.uk/Data-Intelligence-Hub). This has been designed to be the single source of truth about the performance of the South Yorkshire economy and should provide the baseline for all plans and strategies.</p>	<p>The Outcomes Framework has been updated to reflect mayoral manifesto commitments, e.g. health inequalities. This is now part of the "business as usual" will be reviewed and iterated regularly.</p>
<ul style="list-style-type: none"> Improve how we design and develop our programmes of activity, by including a suite of economic indicators and outcomes that clarify the impact the activity needs to achieve to realise the economic growth required. (Executive Lead Felix Kumi-Ampofo) 	<p>A framework of indicators has been developed and agreed with all LA partners. This is comprehensive set of evidence backed information which builds on the indicators and outcomes agreed in the SEP. The framework reflects the Stronger, Fairer and Greener objectives agreed by the MCA and its partners and stakeholders and shows, current relative performance, and the extent of the gap to our peers and the national average, (signalling the ambition needed to address this).</p> <p>This is the reference evidence base for all project design, development, and assurance.</p>	<p>Further work has been undertaken to update this to fully reflect mayoral priorities. And more work is underway to explore how the MCA can illustrate the contribution to the economy (or the drag on the economy) relative to the each of the priority areas e.g. early years, health inequalities etc</p>
<p>Improve the understanding our internal teams and partners have of the impact we are seeking from our programmes and investments. (Executive Lead Felix Kumi-Ampofo)</p>	<p>The agreed Outcomes Framework referred to above is important here too. Corporate Policy team has business partners working closely with all teams to ensure the data, evidence and insights needed to challenge ambition and ensure strategic fit is forthcoming.</p> <p>The MCA is also working closely with all LAs in the development of their Place Based Investment Plans</p>	<p>The business case template now ensures project developers can demonstrate and evidence the impact of schemes and show how this aligns with agreed MCA objectives. This is now part of the MCA's "business as usual" working practice".</p>

<p>CIPFA/SOLACE Framework - Principle D - Planning interventions that optimise the achievement of intended outcomes.</p>	

	January 2023 Update	March 2023 Update
<ul style="list-style-type: none"> Improve how we shape and challenge the options and strategies open to South Yorkshire decision makers by developing relationships with national academics, research and 	<p>Close working is underway with LAs and universities on the development of the Office of Data Analytics. This will, if successful, provide a valuable resource for using big data to answer the big questions of today. Some national research</p>	<p>The MCA is working closely with the two Sheffield universities to ensure robustness and rigour in its thinking and practice. For example, the Yorkshire Policy Engagement Research Network project will support the nascent Office for Data Analytics and</p>

<p>development leaders and policy makers across all our agendas. (Executive Lead Felix Kumi-Ampofo)</p>	<p>funding has been secured to begin to make some progress here.</p>	<p>help deliver the Better Business Challenge manifesto commitment.</p>
<p>• Improve our approach to stakeholder engagement seeking to broaden our stakeholder base and develop significant new relationships with the financial sector to lever far greater investment in South Yorkshire. (Executive Lead Gareth Sutton)</p>	<p>A number of strands of activity are underway to re-shape the way we engage with potential investors. This activity is taking place across sectors and at different scale.</p> <p>Within South Yorkshire the MCA has begun a working relationship with the South Yorkshire Pension Fund, with officers invited to sit on the Fund’s new levelling-up Committee. Work is also underway to shape a future Strategic Investment Partnership with the Fund.</p> <p>Discussions have also taken place with major institutional investors including L&G and Aviva, with future engagement planned.</p> <p>A commitment to support a challenger bank creating a regional hub in South Yorkshire was also approved, providing the potential to address access-to-finance issues at an institutional level. This proposal ultimately fell away due to the failure of a fund-raise amidst the market turmoil that followed the Government’s mini-budget.</p> <p>The Business Growth and Recovery Board has also approved the development of a number of pilot schemes working with angel investors to better stimulate smaller scale pre-revenue investment in the region.</p>	<p>Work continues to develop new working relationships with institutional investors and develop new ways of stimulating over investment.</p> <p>Following close to a year of engagement, South Yorkshire Pension Fund have announced c. £0.50bn in funding that will be directed at investment into South Yorkshire, supporting levelling up missions.</p> <p>SYPF’s announcement is a welcome first-step in a new approach to local pension fund investment supporting the MCA’s economic growth agenda. SYMCA officers will now work with the Fund to drive investment opportunities towards the money.</p> <p>Work also continues with Aviva, with a number of site visits planned and opportunities for partnership working being considered.</p> <p>The MCA is also developing a number of pilot projects aimed at co-investment and angel investment vehicles. These micro-schemes will offer more varied and flexible opportunities when compared to the macro activity with pension funds.</p> <p>The MCA has also commissioned support to help shape its approach to international investment capture. This work helps determine how best the MCA can market the region to foreign audiences.</p> <p>Finally, the MCA continues to engage with Government on investment zones, with the hope that this policy agenda could stimulate greater opportunity for attracting external investment.</p>

CIPFA/SOLACE Framework – Principle E - Developing the entity’s capacity, including the capability of its leadership and the individuals within it	

	January 2023 Update	March 2023 Update
<p>• Improve the support given to our workforce by implementing the agreed Management Code, that sets out the management commitment to teams to ensure colleagues are supported and accountable, and receive feedback. To ensure a consistent and good experience of work and clear pathways to raise any issues. (Executive Lead Gareth Sutton)</p>	<p>The MCA made a commitment to better support colleagues through a structured -communication framework. This included a commitment to quarterly all staff events with the political leadership, monthly all staff briefings, and a commitment for every officer to have twice-yearly meetings with their Director along with monthly team meetings.</p> <p>This meeting cycle has now been embedded with all-staff events recorded where possible. Directors are meeting with their officers on a cyclical basis whilst individual teams are discharging the requirement to meet frequently in different ways best suited to their circumstance.</p> <p>Since the adoption of this framework management have further adjusted the approach to senior-manager meetings with the intention of better facilitating the development and ownership of ideas and tasks and creating dedicated space for strategic leadership. This has led to the creation of an Executive Board and a Corporate Delivery Board. These to Boards replace the previous Management Board and will both draw in a more holistic cadre of officers into discussions but also bring more coherency to which matters are discussed and dealt with where.</p>	<p>Actions described in the January update continue to be embedded across the organisation.</p> <p>To build upon this activity - and since the last update - a new HR and Organisational Design Director has been recruited with a shift towards developing a new ‘People Services’ operating model.</p> <p>In the immediate term, this model will focus on supporting the organisation through the integration of the SYPTE and MCA following the dissolution of SYPTE on the 1st April 2023.</p>
<p>• Improve our business operations by developing and agreeing a corporate development plan to embed, through a number of clearly defined business improvement projects, the vision of the integrated organisation and the core values into our ways of working and behaviour. (Executive Lead Steven Pleasant)</p>	<p>A change in the political and executive level leadership of SYMCA during the 2022/23 has led to a fundamental review of the organisation. This review aims to re-test assumptions made during the first phase of integration regarding organisational structures, systems and processes to ensure the organisation is fit for purpose to deliver the body of activity required to make substantial and lasting change for South Yorkshire.</p>	<p>A Corporate Delivery Team, comprised of leaders across the organisation, who lead and deliver priority programmes of work has been established and will meet monthly. It will be chaired by an Executive Leadership Board member who will provide two-way communication and active engagement with the Board. Its purpose is to address and resolve some of the organisation’s biggest challenges that require cross-cutting</p>

		organisational input and solutions, such as improving agility, responsiveness and collaboration across the MCA and with partners, streamlining processes, reducing duplication and improving internal communication.
<ul style="list-style-type: none"> Improve the physical environment of the workforce to enhance the employee experience and support a culture of collaboration and innovation. (Executive Lead Gareth Sutton) 	<p>During the course of the year, the MCA undertook to transform floor 2 of Broad Street West from rented accommodation to an open plan collaborative space. This space has been used throughout the year by project teams, individuals and groups for a range of activity including staff briefings, team building sessions and employee engagement sessions. A wider estate review is also considering how best to use facility capacity across the region. A key consideration in this activity is the aspiration to ensure all officers, regardless of location, work in appropriate and suitable accommodation.</p>	<p>Since the last reporting date the MCA's Head of Assets and Facilities has left the organisation with a replacement officer now due to join in April 2023.</p> <p>The new Head of Service will undertake the review noted in January.</p>

CIPFA/SOLACE Framework – Principle F - Risks and performance are managed through robust internal control and strong public financial management

	January 2023 Update	March 2023 Update
<ul style="list-style-type: none"> Improve how we use management information to provide assurance on organisational performance. (Executive Lead Gareth Sutton) 	<p>Work is underway to develop a set of metrics that will form a Corporate Health Dashboard and enable the Executive Leadership Team to monitor the performance of the organisation.</p> <p>SYMCA Enhanced Partnership Performance Dashboard has been established to understand bus service operations performance and is reviewed at EP Board quarterly.</p>	<p>The Corporate Health Dashboard work continues to be refined and embedded into day-to-day activity.</p>
<ul style="list-style-type: none"> Improve the management of risks by embedding the new risk management framework. (Executive Lead Steve Davenport) 	<p>The Risk Management Framework was approved by the MCA in July 2022. In parallel to the development of the Framework, a new version of the IT risk management system was trialled. A live system was configured and implemented in line with the project plan in August. Work has been undertaken to populate the system with Corporate and Business Plan level risks and to develop reports. Work</p>	<p>Work continues to embed the risk management approach. The most recent internal audit concluding there is 'significant assurance – with some improvement required' and notes the progress made since the last audit. The findings and agreed actions will be incorporated into a 23/24 Risk Management Support Plan to further embed risk management practice and enhance reporting.</p>

	<p>continues to embed ways of working and review and refresh the Framework.</p>	
<ul style="list-style-type: none"> Improve the management of our corporate policies and procedures that provide a framework for our operating environment. (Executive Lead Steve Davenport) 	<p>A 'Corporate Documentation Management Process' was agreed by Management Board in May 2022. A Corporate Document library managed by the Governance Team working in conjunction with the Communications Team is in place. The overall deadline for the library to be populated with up-to-date documentation that has a clear review cycle is 31st March 2023.</p>	<p>This piece of work is progressing, accelerated by the decommissioning of legacy intranets. The library will not be fully populated by 31st March due to the volume of documents that need to be reviewed and consolidated (particularly where documents may form part of employee terms and conditions) however, this has been communicated clearly to staff. The decommissioning project team will have access to legacy intranets to retrieve any documents that may be required in the meantime and a mechanism to make requests is in place. It is anticipated that, particularly where HR policies are concerned, this piece of work will continue throughout 23/23 and will become a business as usual activity.</p>



Audit, Standards and Risk Committee

Wednesday, 22 March 2023

Code of Corporate Governance

Is the paper exempt from the press and public?	No
Reason why exempt:	Not applicable
Purpose of this report:	Governance
Is this a Key Decision?	No
Has it been included on the Forward Plan?	Not a Key Decision

Director Approving Submission of the Report:

Gareth Sutton, Director of Resources & Investment/s73 Officer

Report Author(s):

Claire James, Head of Corporate Governance

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Executive Summary

This paper presents a Code of Corporate Governance for the South Yorkshire Mayoral Combined Authority.

What does this mean for businesses, people and places in South Yorkshire?

This paper and the Code of Corporate Governance will provide assurance to the businesses and people of South Yorkshire that the Authority is committed to good governance and that the outcomes, or the results of our activity, are defined and achieved and that the MCA Executive Team are accountable, open and transparent in the way it operates.

Recommendations

The Committee is asked to consider the Code of Corporate Governance (appendix A).

Consideration by any other Board, Committee, Assurance or Advisory Panel

Forthcoming Mayoral Combined Authority Board

05 June 2023

1. Background

- 1.1 The Code of Corporate Governance is a public statement setting out how South Yorkshire Mayoral Combined Authority will fulfil the principles of good governance in practice. The Code demonstrates that, collectively, our governance arrangements comply with the core and sub-principles contained in the CIPFA/SOLACE Framework Delivering Good Governance in Local Government 2016.
- 1.2 The underpinning principle of the CIPFA/SOLACE framework is that local government organisations should develop and shape an approach to governance that takes account of the unique environment the organisation is operating in. The Framework assists authority's in developing their approach to ensure that resources are used in accordance with agreed priorities, there is sound and inclusive decision making and clear accountability for the use of resources to achieve the desired outcomes for service users and communities.

2. Key Issues

- 2.1 In line with a commitment to review the Code of Corporate Governance annually, the existing MCA Code has been reviewed against the CIPFA Framework taking into account the priorities and operating environment of the organisation from 1 April. Minor amendments are shown in track changes.
- 2.2 The Code of Corporate Governance will be presented to the Mayoral Combined Authority Board for approval.

3. Consultation on Proposal

- 3.1 The Annual Governance Review process, which has involved MCA officers, members of the Executive Leadership Team and Statutory Officers has informed the proposed changes to the Code of Corporate Governance.

4. Timetable and Accountability for Implementing this Decision

- 4.1 If endorsed The Code of Corporate Governance will be adopted from 1 April and will be submitted for ratification at the Mayoral Combined Authority AGM meeting 5 June.

5. Financial and Procurement Implications and Advice

- 5.1 There are no financial or procurement implications relating to this report.

6. Legal Implications and Advice

- 6.1 There are no legal implications relating to this report.

7. Human Resources Implications and Advice

- 7.1 There are no Human Resource implications associated with this paper.

8. Equality and Diversity Implications and Advice

- 8.1 There are no Equality and Diversity implications associated with this paper.

9. Climate Change Implications and Advice

9.1 There are no climate change implications associated with this paper.

10. Information and Communication Technology Implications and Advice

10.1 There are no ICT implications associated with this paper.

11. Communications and Marketing Implications and Advice.

11.1 There are no Communications or Marketing implications associated with this paper. However, the Code of Corporate Governance will be published on the Authority's website.

List of Appendices Included

A Code of Corporate Governance 2023

Background Papers

None

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1. Introduction

1.1 'Corporate governance' describes how an organisation directs and controls what it is accountable for. This Code of Corporate Governance is a public statement setting out how South Yorkshire Mayoral Combined Authority (from here on referred to as 'the MCA' or 'the authority') will fulfil the principles of good governance in practice. The statement also encompasses the South Yorkshire Local Enterprise Partnership. ~~and the South Yorkshire Passenger Transport Executive (SYPTEx). During 2021/22, work has been undertaken to integrate SYPTEx and the MCA. Organisationally, much of this work is complete, particularly in terms of integrating staffing structures, decision making and governance arrangements. Formal legal dissolution via a Parliamentary Order is anticipated in 2022/23.~~

1.2 By governance, we mean the arrangements that are put in place to ensure that our intended outcomes (the results of our activity) are defined and achieved. Our Governance Framework comprises the systems and processes, cultures, and values by which we direct and control our activities. This framework ensures we operate effectively, efficiently, and ethically.

1.3 To demonstrate good corporate governance, we will carry out our functions in a way that shows accountability, transparency, effectiveness, integrity, and inclusivity. Good governance is about making sure we do the right things, in the right way for the right people, in a timely, inclusive, open, honest and accountable manner. Good governance will enable us to pursue our vision and deliver our agreed objectives in the most effective and efficient manner, bringing about better outcomes for the residents, businesses and visitors to the region.

1.4 Our business will also be conducted in accordance with the 'Seven Principles of Public Life' identified in The Nolan Committee Report (1995) and in accordance with the Cabinet Office Code of Conduct for Board Members of Public Bodies.

1.5 This Code will be reviewed annually to ensure it continues to be relevant and fit for purpose. The effectiveness of the governance arrangements and internal control systems described in this Code will also be reviewed annually and the review outcomes published in an Annual Governance Statement (AGS). The AGS will describe the governance structures and arrangements in place and will report on their effectiveness, including performance against the Code. It will also highlight any significant areas for improvement and identify actions to be taken to address them in the forthcoming year.

2. Governance Principles

We have mapped our Governance Framework against the principles of the Chartered Institute of Public Finance and Accountancy (CIPFA) / Society of Local Authority Chief Executives (SOLACE) Framework Delivering Good Governance in Local Government 2016. These principles

are dynamic and involve continuous evaluation, review, and improvement. The following sections describe how we fulfil the requirements of the seven principles.

The Principles of Good Governance

3. A. Good governance means ensuring Officers behave with integrity, demonstrate a strong commitment to ethical values and respect for the rule of the law

3.1 We uphold the values and high standards of conduct and behaviour of our constituent and non-constituent local authorities. These high standards are supported by Codes of Conduct for Members and Officers, which are incorporated into the MCA Constitution, and set out the standards required of all members, co-opted members, and officers in carrying out their duties. These Codes include, as a general obligation, that members must have regard to the Principles of Public Life as identified in the Nolan Committee Report (1995). Protocols in relation to the disclosing of interests at meetings and the registering of interests both pecuniary and non-pecuniary are also included in this section of the Constitution. These declarations are published on the website.

3.2 The Constitution also describes the delegations to the Monitoring Officer in relation to their contribution to the promotion and maintenance of high standards of conduct and outlines the responsibilities of members to notify the Monitoring Officer regarding the receipt of gifts or hospitality. In addition, the Constitution outlines our approach to dealing with the threat of fraud and corruption as well as setting out a Fraud Response Plan and our commitment to openness, probity and accountability through our Whistleblowing Policy.

3.3 The Overview and Scrutiny Committee and Audit, Standards and Risk Committee are statutory committees and hold us to account providing a 'check and balance' in relation to the discharge of our duties.

3.4 As required by the National Assurance Framework, the LEP has in place a Code of Conduct and Declarations of Interest Policy which sets out the standards required of LEP members in carrying out their duties, and in their relationships with the MCA and its officers. In line with the MCA, the Code of Conduct includes a general obligation that members must have regard to the Principles of Public Life as identified in the Nolan Committee Report (1995) and, also to the Cabinet Office Code of Conduct for Board Members of Public Bodies. The Declarations of Interests Policy also sets out protocols in relation to the disclosing of interests at meetings and the registering of interests both pecuniary and non-pecuniary. The LEP also has in place its own Confidential Complaints Process and Whistleblowing Procedure.

3.5 We are committed to ensuring compliance with relevant laws and regulations, internal policies and procedures, and that expenditure is lawful. Reports of any breaches or potential breaches will be fully investigated by our internal audit partners.

3.6 Standard contract clauses stating compliance with applicable laws relating to anti-bribery, anti-corruption, human rights, human trafficking and counter terrorism, information laws and environmental regulations are included in our contracts with all external service providers.

3.7 We will strive to attain and optimise the use of full powers available for the benefit of citizens, communities, and other stakeholders, through the strategically aligned investment of gainshare monies and using the additional borrowing powers derived from the devolution deal.

4. B. Good governance means ensuring openness and comprehensive stakeholder engagement

4.1 We recognise that we have been established for the public good and should therefore ensure openness in our activities. We aim to ensure clear, trusted channels of communication are used to engage effectively with our stakeholders.

4.2 We do this by:

- Documenting and demonstrating our commitment to openness through, but not limited to, the publishing of agendas and minutes and of Codes of Conduct and through publicly held MCA Board and statutory committee meetings. Ensuring public records and explanations to stakeholders include clear reasoning and evidence for decisions made and provide clear justification regarding any information or decisions that require confidentiality
- Establishing clear channels of engagement and communication, and effective feedback mechanisms with all stakeholders, and, through inclusive, meaningful consultation, encourage, collect, and evaluate the views and experiences of communities, businesses and residents of South Yorkshire ensuring they are considered when developing strategies, plans and services, taking into account the impact of decisions on future generations of taxpayers and service users
- Incorporating good governance arrangements into partnerships and other joint working to ensure relationships challenge our thinking and support the development and design of high-quality strategies and plans.

5. C. Good governance means outcomes are defined in terms of sustainable economic, social, and environmental benefits

5.1 We recognise that the long-term nature and impact of any actions we take means that planned, defined and sustainable outcomes are vital, and the decisions we make should further our aims and contribute to intended benefits and outcomes.

5.2 To ensure this we:

- Have in place a formal statement, in the form of a Strategic Economic Plan (SEP) 2021-2041 that describes our vision and sets out our objectives of building a stronger, greener fairer South Yorkshire. This statement includes key indicators, targets and outputs that will be reviewed regularly and take into account wider economic, social and environmental changes to identify and manage risks to the achievement of outcomes
- Appraise schemes seeking investment against a robust set of criteria that consider and balance the combined economic, social, and environmental impact of policies and plans at the earliest possible opportunity
- Have in place a comprehensive monitoring and evaluation framework that sets out how our projects and programmes will be assessed using performance metrics and indicators, during their delivery and post-delivery phases, to understand the impacts of the investment made in South Yorkshire.

6. D. Good governance means determining and planning the interventions necessary to optimise the achievement of the intended outcomes

6.1 We are committed to ensuring robust decision-making mechanisms and processes are in place that enable decision-makers to be fully informed and confident that decisions take into account the needs and ambitions of the region, and that defined outcomes can be achieved.

6.2 To achieve this we

- Develop relationships with leading academics and critical friends to challenge our thinking and support the development and design of high-quality strategies and plans, providing options to decision makers based on objective, robust information including an outline of the risks involved
- Ensure, as appropriate, that the views of stakeholders, citizens and service users are considered in the decision-making process to balance competing demands for limited resources including people, skills, land and assets and bearing in mind future impacts
- Ensure decision-making arrangements are robust but flexible enough to adapt to changing circumstances and service requirements
- As part of the planning process, ensure appropriate performance indicators are established for commissioned projects and services to provide clarity on how performance will be measured
- Ensure there is sufficient capacity/resource to generate the information required to review and monitor the performance of projects and services
- Use realistic estimates of revenue and capital expenditure to inform medium and long-term resource planning to develop a sustainable funding strategy
- Ensure the achievement of 'social value' through planning and commissioning

7. E. Good governance means developing the entity's capacity, including the capability of its leadership and the individuals within it

7.1 We are committed to ensuring an appropriate structure and effective leadership is in place and that there is organisational capacity to fulfil our aims.

7.2 To do this we:

- Have in place a clear corporate vision, that is regularly shared and understood, setting out the direction of the organisation.
- **Periodically review our organisational performance via a substantive organisational review of capacity and capability.**
- Have in place governance arrangements to support a culture of empowerment and accountability including appropriate delegations to officers and clarity on the decisions reserved for the MCA Board
- Ensure Statutory Officers have the skills, resources and support to effectively perform their roles in a changing environment and in preparation for further phases of devolution
- Have in place an effective workforce plan including recruitment, development and appraisal which supports the strategic allocation of resources
- Provide opportunities for Members to enhance and strengthen their knowledge and skills, in relation to their strategic roles, by providing training and development opportunities as necessary
- Ensure a clear protocol exists to support a constructive working relationship between Members and Officers and seek to develop partnerships and collaboration where most value can be added

- Take steps to consider leadership effectiveness and ensure leaders are open to constructive feedback from peer review and inspections
- Ensure arrangements are in place to maintain the health and wellbeing of the workforce and support individuals in maintaining their own physical and mental wellbeing
- Ensure organisational development through shared learning, including lessons learnt from internal and external governance weaknesses

8 F. Good governance means risks and performance are managed through robust internal control and strong public financial management

8.1 We recognise that effective performance management underpins the effective and efficient delivery of intended outcomes, and that risk management is a vital and integral part of this. We are committed to ensuring a strong system of financial management is in place to enforce financial discipline, strategic allocation of resources, efficient service delivery and accountability. Underpinning this is a culture and structure encouraging scrutiny and challenge.

8.2 To achieve this, we:

- Through clearly defined investment plans, that set out desired benefits and outcomes, ensure financial management supports both long terms achievement of outcomes and short-term financial and operational performance
- Ensure effective arrangements and delegations are in place for the Chief Financial Officer to discharge their functions and leadership responsibilities, utilising a properly resourced and skilled Finance team with embedded compliant processes and robust internal control to ensure that all expenditure is lawful
- Review the effectiveness of our decision-making framework, including delegation arrangements regularly including ensuring risk management arrangements are robust, effective and integrated in all aspects of decision making
- Ensure commissioned projects and services are monitored effectively at all stages and progress is reported regularly
- Ensure secure, robust, and effective arrangements are in place regarding the processing of data (including personal data), this includes (but is not limited to) mandatory Data Protection training for all Officers

9. G. Good governance means good practices in transparency, reporting and audit to deliver effective accountability are implemented

9.1 We are committed to ensuring good practice in transparency, reporting and audit arrangements to deliver effective accountability.

9.2 To achieve this we:

- Publish all agendas and reports for the MCA Boards Committees in accordance with statutory access to information requirements, ensuring they are presented in a fair, balanced, and understandable style and hold the MCA Board and statutory committee meetings in public, unless there are good reasons to exclude the press and public
- Regularly review the effectiveness of our decision-making framework, including delegation arrangements, to ensure Statutory Officers and Directors are able to discharge their functions and leadership accountabilities
- Have in place an effective and active Audit, Standards and Risk Committee, who are accountable to the MCA and, amongst other responsibilities, lead on ensuring we have

robust, effective risk management arrangements in place, that are understood and implemented, and that these are evaluated regularly

- Have in place robust arrangements for internal and external audit to provide assurances over the effectiveness of systems of internal control and ensure senior management take ownership of the results of any evaluation
- Ensure that our Annual Accounts are reviewed by external auditors and that their opinion together with the final accounts are published and are available for inspection
- Ensure effective and robust internal controls are in place including counter fraud and anti-corruption arrangements
- Keep governance arrangements under review and have in place an action plan for improvements, including responding to recommendations made by external audit
- Welcome peer challenge, reviews, and inspections from regulatory bodies

10. Monitoring and review of governance

10.1 We recognise the importance of good governance in maintaining and enhancing stakeholder confidence. Each year we publish an Annual Governance Statement (AGS) together with our Annual Accounts. This statement is prepared following an internal review of governance arrangements and outlines actions identified to strengthen them.

10.2 The review is informed by the work of:

- The Statutory Officers who have responsibility for the development and maintenance of the governance environment
- The Internal Auditor's annual report and opinion, and by comments made by the external auditors and other review agencies and inspectorates
- The **Group** Chief Financial Officer who has statutory responsibility for ensuring the proper management of the financial affairs

10.3 The framework for evaluating the effectiveness of internal control includes:

- An evaluation of progress against previously identified governance issues
- Reviews of:
 - External Audit's Opinion
 - Annual Internal audit report and opinion
 - **Strategic** Risk Management Action Plans
 - Issues identified through business planning and performance management
 - Complaints
 - Freedom of Information requests
 - Data Protection and Information Governance issues

The AGS is discussed by the Audit, Standards and Risk Committee and examined by External Auditors and approved by the Mayoral Combined Authority Board.

Audit, Standards and Risk Committee

Wednesday, 22 March 2023

Annual Governance Review – Initial Findings

Is the paper exempt from the press and public?	No
Reason why exempt:	Not applicable
Purpose of this report:	Governance
Is this a Key Decision?	No
Has it been included on the Forward Plan?	Not a Key Decision

Director Approving Submission of the Report:

Gareth Sutton, Director of Resources & Investment/s73 Officer

Report Author(s):

Claire James, Head of Corporate Governance

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Executive Summary

This paper reports the initial findings of the Annual Governance Review which has been carried out in line with CIPFA guidance and indicates the high-level areas of governance improvement.

What does this mean for businesses, people and places in South Yorkshire?

Good governance enables the MCA to pursue its ambitions and objectives in the most effective and efficient way, bringing about better outcomes for residents and businesses in South Yorkshire.

Recommendations

The Committee is asked to note the initial findings of the Annual Governance Review and consider and contribute to the draft the governance improvement plan.

Consideration by any other Board, Committee, Assurance or Advisory Panel

Not applicable

1. Background

- 1.1 Regulation 6(1)(a) of the Accounts and Audit Regulations 2015 requires an authority to conduct a review, at least once in a year, of the effectiveness of its systems of internal control and include a statement reporting on the review with any published Statement of Accounts. The scope of the Mayoral Combined Authority's (MCA's) governance and internal control framework spans the whole of the organisation's activities and is described in the local Code of Corporate Governance. This Code stands as the overall statement of the corporate governance principles and commitment. The Code demonstrates that governance arrangements comply with the core and sub-principles contained in CIPFA's "Delivering Good Governance in Local Government Framework".
- 1.2 This paper reports the initial findings of the Annual Governance Review which has been carried out in line with the CIPFA guidance and as agreed with the Committee in January and proposes the high-level areas of governance improvement.

2. Key Issues

2.1 Annual Governance Review Activity

As agreed by the Committee in January, during February and March an assessment of compliance with the Code of Corporate Governance has been undertaken to gain assurance of the effectiveness of current governance arrangements and to identify any opportunities for improvement. In line with the Internal Audit recommendation (reported to the Committee in October) a quarterly review of compliance with the Local Code of Corporate Governance was established during the year and has contributed to this process. This evidence base has also been reviewed as part of the Governance audit (item 10, appendix A) which has made recommendations to enhance this process further.

The assessment has culminated in sessions with the Executive Leadership Board on the 28 February and 7 March where the Code of Corporate Governance was reviewed along with the compliance evidence base. The Board also considered the draft Annual Governance Statement and reflected on the challenges faced by the organisation and the effectiveness and robustness of governance arrangements in dealing with these.

Through work undertaken to date, a good level of compliance has been identified.

The Board provided a steer on the emerging governance improvement areas for 2023/24 agreeing that the plan should be aligned to the key objectives of the organisational review.

2.2 Areas for governance improvement

The Governance Improvement Plan (section 7 of the draft Annual Governance Statement) consists of actions identified from the Annual Governance Review 22/23 and are grouped around 5 key principles:

Principle	Deliverables
Strengthening MCA officer leadership and organisation performance	Reviewed and updated officer scheme of delegation
Increasing agility and responsiveness	Implemented Revised Assurance Framework
Changing structures and processes to facilitate deepening of relationships and collaboration	Reviewed governance decision making process and implementation of any agreed changes
Supporting team members to thrive	Reviewed and consolidated HR policies Induction for new elected members Programme of knowledge development sessions for members
Driving a new operating ethos and culture	Embedded Risk Management Framework Cyber Essentials Plus attainment Reviewed Information Governance policies and training delivered Reviewed and updated Information Asset Registers Corporate Document Management Process implemented

2.3 **Next steps**

- A finalised governance improvement plan will be circulated to members before April for comment.
- The draft annual governance statement including the governance improvement plan (Appendix A) will be presented to the MCA Board in June.

3. **Financial and Procurement Implications and Advice**

- 3.1 The outcome of the annual governance review will be published in the Annual Governance Statement as part of the Authority's statutory accounts. It is important that the review assesses the adequacy of the Authority's internal financial controls as per the Financial Regulations. Failure to do so could result in a qualified value for money opinion issued by the external auditor, thus undermining confidence in the Authority's stewardship of public funding.

Furthermore, the risk associated with poor governance practice could result in poor financial decision making could result in material financial penalties including the withholding or reduction in funding received from Government.

4. **Legal Implications and Advice**

- 4.1 Failure to comply with the principles of good governance could ultimately lead to an external audit opinion qualification.

5. **Human Resources Implications and Advice**

- 5.1 There are no human resources implications related to this report.

6. Equality and Diversity Implications and Advice

6.1 There are no equality and diversity implications related to this report.

7. Climate Change Implications and Advice

7.1 There are no climate change implications related to this report.

8. Information and Communication Technology Implications and Advice

8.1 There are no information and communication technology implications related to this report.

9. Communications and Marketing Implications and Advice.

9.1 The activity described in this paper is internally focussed however it will culminate in the publication of the Annual Governance Statement alongside the Authority's accounts.

List of Appendices Included

A Draft Annual Governance Statement

Background Papers

None

South Yorkshire Mayoral Combined Authority
Annual Governance Statement Year Ended 31st March 2023
Executive Summary

Scope of Responsibility

The South Yorkshire Mayoral Combined Authority (“the Authority”) is responsible for ensuring that its business is conducted in accordance with law and that proper standards of governance are employed; that public money is safeguarded and properly accounted for and used economically, efficiently and effectively. The Authority has a duty under the Local Government Act 1999 to make proper arrangements for the governance of its affairs and to secure continuous improvement in how its functions are exercised.

This statement explains how we have complied with our Local Code of Corporate Governance and also meets the requirements of Regulation 6 (1a and 1b) of the Accounts and Audit (England) Regulations 2015 in relation to conducting a review at least once per year of the effectiveness of systems of internal control. These regulations also require a statement reporting on the findings of the review to be published with the Statement of Accounts in the form of an Annual Governance Statement.

What do we mean by Governance?

By governance, we mean the arrangements that are put in place to ensure that our intended outcomes are defined and achieved. The term ‘Governance Framework’ is used to describe the systems and processes, cultures and values, by which the activities we are accountable for, are directed and controlled. We recognise that to be truly effective, these arrangements must be robust but also adaptable to changing circumstances including the expectations of the public and of other stakeholders. We are committed to addressing governance issues as they arise and to keeping our arrangements under review.

What is ‘good governance’?

Fundamentally, good governance is about making sure we do the right things, in the right way, for the right people. Our commitment to good governance is set out in our Code of Corporate Governance. This Code, aligned the CIPFA/SOLACE Delivering Good Governance in Local Government Framework 2016, has been in place for the year ended 31st March 2023, and describes how we will carry out our functions in a way that shows accountability, transparency, effectiveness, integrity, and inclusivity.

Working in this way will allow us to deliver our objectives in the most effective and efficient manner, bringing about better, sustainable outcomes for the residents, communities and businesses of South Yorkshire.

Summary of governance issues during 2022/23

There have been a number of factors that have challenged and tested our governance arrangements during the year:

- Following a mayoral election in May 2022, the Authority came under new political leadership with new agenda and manifesto and a subsequent change in the executive leadership of the organisation
- The integration of the MCA and PTE Executive teams and further preparation for the legal dissolution of SYPTE
- Increased programme costs due to inflationary pressures
- Time restricted programme delivery in response to Government grant funding
- Legacy Covid 19 pandemic issues continue to impact the Authority, particularly around the sustained pressure on the viability of the public transport network due to short term recovery funding commitments from central government and lower levels of patronage than pre-Covid
- The loss of key regional infrastructure – Doncaster Sheffield Airport

Our evaluation of the effectiveness of our governance arrangements in the context of these issues has concluded that arrangements were fit for purpose and robust yet flexible enough to respond to the challenges presented. The organisation has been able to undertake its day-to-day activities effectively and the systems and processes in place have provided a robust level of control.

Statement by the Chair of the South Yorkshire Mayoral Combined Authority and the Chief Executive

On the basis of the sources of assurance set out in this statement, we are satisfied that, throughout the year 2022/23, and up to the date of the approval of the accounts, a satisfactory system of internal control has facilitated good governance of the Authority's affairs and the effective exercise of its functions.

We are satisfied that the comprehensive evaluation process undertaken has identified the relevant areas for attention over the forthcoming year. The action plan, monitored by the Audit, Standards and Risk Committee, will (when implemented) further enhance the Authority's governance, risk and internal control framework.

.....

On behalf of the South Yorkshire Region Mayoral Combined Authority

1. Identification of key governance arrangements

The organisational governance structure in place during the year is shown below:

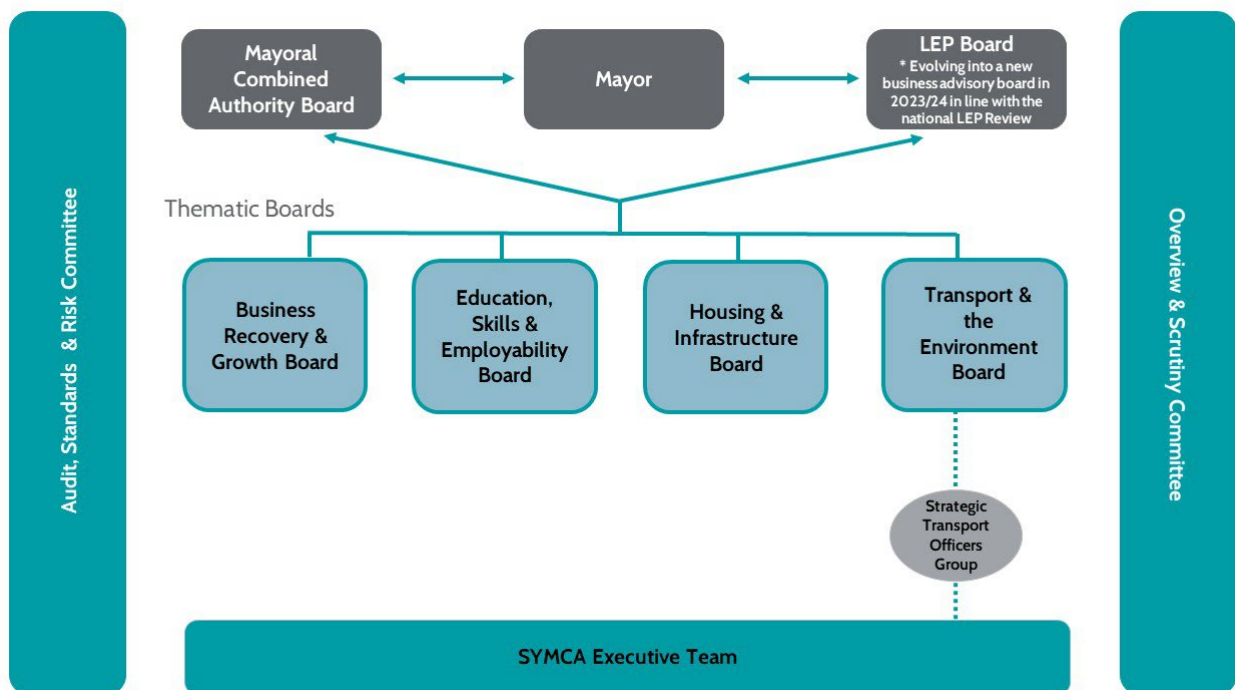


Fig 1: 2022/23 Governance Structure

The Authority's Constitution sets out the governance arrangements of the organisation including terms of reference for four thematic boards and two statutory committees (shown above). The Constitution defines the operating principles of the Authority and embraces a suite of policies including, but not limited to, Codes of Conduct, Whistleblowing, Anti-fraud and Bribery, Contract Procedure Rules, Finance Regulations and the Code of Corporate Governance.

The Constitution also sets out the functions and delegated responsibilities of the statutory officers, namely the Head of Paid Service (Chief Executive), the Section 73 Officer (Chief Finance Officer) and the Monitoring Officer.

The Chief Finance Officer (CFO) operates in line with the CIPFA Statement on the Role of the CFO in Local Government (2016) and is actively involved in, and able to bring influence to bear on all material decisions to ensure that immediate and longer-term implications, opportunities and risks are fully considered. The CFO leads on the promotion and delivery of good financial management, which aims to ensure that public money is safeguarded and used in an appropriate, economic and effective manner.

All Statutory Officers have direct access to the Chair of the Combined Authority with reference to their core statutory and professional roles.

The Authority also has in place an Assurance Framework which is updated annually and sets out how public money will be used responsibly, outlining the processes for ensuring openness and accountability for public funds.

The Audit, Standards and Risk Committee provide a high-level focus on assurance and governance arrangements. Their role is to ensure that the Authority fulfils its legal obligations, complies with statutory requirements, is managing risk effectively and has robust control measures in place for all devolved powers and funding.

The Overview and Scrutiny Committee holds the Authority to account for all decisions taken, including those relating to devolved powers and funding. They have the authority to review and scrutinise any decision made, or action taken and are responsible for checking that the Authority is delivering objectives, and that policies, strategies and plans are made in the best interests of residents and workers in the region.

Our Strategic Economic Plan 2020-40 sets out our vision and policy objectives to grow the economy at pace and at scale, ensuring that all people and places have a fair opportunity to contribute to, and benefit from prosperity. During the year work has been undertaken to develop a delivery plan that reconciles existing Strategic Economic Plan activities with Mayoral Manifesto commitments. The delivery of this plan will commence during financial year 2023/24 and will engage key partners and stakeholders.

2. Reviewing and evaluating of the effectiveness of the Governance Framework

The review of effectiveness has been informed by:

- The Head of Internal Audit's Annual Report which provides an opinion on the adequacy and effectiveness of the MCA's risk management, control and governance processes
- The Risk Register which sets the culture and tone for the management of threats, concerns and assurances across the organisation
- The work of the Audit, Standards and Risk Committee which includes responsibility for monitoring the effectiveness of the Authority's governance arrangements and control environment
- Internal management processes
- The report of the MCA's External Auditor
- Recommendations from external bodies/government departments
- A series of interviews with officers and an Executive Leadership Board workshop where we have assessed and evaluated our compliance with our Code of Corporate Governance and the effectiveness of our governance framework.

We are content that our system of internal control is satisfactory and has facilitated compliance with the principles of good governance during the year.

3. Head of Internal Audit Opinion

The role of the Internal Auditor is to provide an independent assessment of the system of internal control. They undertake a cyclical review of the main financial and operational systems on a rolling three-year Audit Plan which is based on an analysis of where there is most risk. Core financial systems are reviewed on an annual basis. Internal Audit works closely with External Audit and complies with the Public Sector Internal Audit Standards (PSIAS).

The Head of Internal Audit's Annual Report for 2022/23 has included the following **draft** opinion:

Significant assurance with some improvement required

*My overall opinion for the period 1 April 2022 to 31 March 2023 is that based on the scope of reviews undertaken and the sample tests completed during the period, **Significant assurance with some improvement required** can be given on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control.*

In issuing this opinion, we have taken into consideration where reviews have concluded in a Partial Assurance Opinion with improvement required.

We have not issued any "No assurance" reports during the year and our work carried out to date has not resulted in any high risk recommendations being made, however we have reported 16 medium risk issues.

We identified weaknesses in some areas which put system objectives at risk. These include Net Zero Governance and an area of Grant Controls. We have provided a summary of the key issues on the following pages of this report.

We acknowledge these were areas of known risk to the Authority and were included in our audit plan on this basis, however, the weaknesses identified lead us to conclude that only a Partial assurance with improvement required opinion could be given to the risk based reviews and therefore the Framework of Internal Control.

This has not prevented us from issuing a Significant assurance with some improvement required opinion overall due to the assurance identified in the core review areas, but bring to your attention that our opinion takes all reviews into account and is therefore at the lower end of the significant assurance scale.

4. CIPFA Code of Financial Management

During the year we have also continued to monitor our compliance with the new CIPFA Code of Financial Management. The Code includes six principles of good financial management:

- Leadership
- Accountability
- Transparency
- Standards
- Assurance
- Sustainability

The Code then translates these principles into an explicit set of standards (17 in total) which is re-assessed on an annual basis.

Accountability and Action Plans

4.1 Audit Recommendations

- **External Audit**

At the time of drafting the 2021/22 external audit is ongoing therefore no formal recommendations have been made.

There were two recommendations made as a result of the 2020/21 external audit both of which were implemented and adopted on an ongoing basis. These related to reviewing the fixed asset register and disclosure notes.

There are no outstanding recommendations from any years prior.

- **Internal Audit**

The most significant weakness identified through internal audit activity during the year relates to Net Zero Governance. Five recommendations were around strengthening the leadership and governance of the Net Zero Programme. Since the conclusion of the audit, progress has been made in terms of re-setting the strategy using baseline data to identify any gaps and monitor progress, the development of a range of early ‘deliverables’ to be taken forward during 2023 and building a team to support this work. In addition, a twice-yearly progress report has been included in the Forward Plan for the MCA Board and as well as Net Zero featuring on the Authority’s risk register both at a strategic and operational level meaning regular oversight by the Executive Leadership Team and Audit, Standards and Risk Committee.

A new Internal Audit provider has been appointed commencing 1st April 2023 any outstanding recommendations made by the current provider will continue to be monitored by the Audit, Standards and Risk Committee until complete.

5. Progress against our Governance Improvement Plan for 2022/23

Although no significant issues were identified in the previous financial year, we identified areas for improvement and put in place a Governance Improvement Plan. The plan, and our progress against, has been monitored by the Audit, Standards and Risk Committee during the year. The Committee agreed to the conclusion of the plan at their meeting in March 2023, recognising that some actions, whilst ‘completed’ would continue to be implemented or embedded into the new financial year and become part of business as usual.

Table 1: Progress against our Governance Improvement Plan for 2022/23

Improvement Action	Progress in year
CIPFA/SOLACE Framework – Principle B - Ensuring openness and comprehensive stakeholder engagement	
Improve the way we engage with and listen to our customers by actively pursuing their views through an agreed and published plan of consultations based on the priorities of the Corporate Plan, including the Bus Service Improvement Plan and franchising.	Enhanced Partnership Forum now well established and playing a key role is designing and recommending the content of the Bus Customer Charter (to be approved in early 2023/24). MCA undertook a public consultation in August 2022 on the prioritisation of bus service attributes to inform tendered service awards in October 2022. Whilst these have been deferred until July 2023 (at the earliest) the data will still be used for future tendering activity.

<p>Improve our responsiveness to customer enquiries and complaints by tracking and monitoring issues and making necessary process changes to improve customer experience at an operational level.</p>	<p>Proposal to centralise further customer-facing services and activities (e.g. general enquiries) in to the existing transport Contact Centre. Trial of using the Contact Centre for Mayoral Election was successful in April/May 2022. A review of the processes for management of elected member correspondence is also underway.</p> <p>Consolidation of digital social media channels in progress with Contact Centre taking ownership from 13 March 2023.</p> <p>Enhanced Partnership Passenger Charter is being developed with support from the Enhanced Partnership Forum.</p> <p>Public Transport Operation Team continue to provide support for responses to customer and elected member correspondence.</p>
<p>CIPFA/SOLACE Framework - Principle C - Ensuring our outcomes are defined in terms of sustainable economic, social, and environmental benefits</p>	
<p>Improve our plans and strategies by ensuring they illustrate the contribution they will make to changing the regions' economic outlook.</p>	<p>The primary source of evidence is the Outcomes Framework which has been updated to reflect mayoral manifesto commitments, e.g. health inequalities. This is supported by the new Data and Intelligence Hub (https://southyorkshire-ca.gov.uk/Data-Intelligence-Hub) and has been designed to be the single source of truth about the performance of the South Yorkshire economy and should provide the baseline for all plans and strategies. This is now part of the "business as usual" will be reviewed and iterated regularly.</p>
<p>Improve how we design and develop our programmes of activity, by including a suite of economic indicators and outcomes that clarify the impact the activity needs to achieve to realise the economic growth required.</p>	<p>A framework of indicators has been developed and agreed with all LA partners (the Outcomes Framework referred to above). This is a comprehensive set of evidence backed information which builds on the indicators and outcomes agreed in the SEP (see section nine of the SEP). The framework reflects the Stronger, Fairer and Greener objectives agreed by the MCA and its partners and stakeholders and shows, current relative performance, and the extent of the gap to our peers and the national average, (signaling the ambition needed to address this).</p>

	<p>This is the reference evidence base for all project design, development, and assurance.</p> <p>Further work has been undertaken to update this to fully reflect mayoral priorities. And more work is underway to explore how the MCA can illustrate the contribution to the economy (or the drag on the economy) relative to the each of the priority areas e.g. early years, health inequalities etc</p>
<p>Improve the understanding our internal teams and partners have of the impact we are seeking from our programmes and investments.</p>	<p>The agreed Outcomes Framework referred to above is important here too. Corporate Policy team has business partners working closely with all teams to ensure the data, evidence and insights needed to challenge ambition and ensure strategic fit is forthcoming. The business case template ensures project developers can demonstrate and evidence the impact of schemes and show how this aligns with agreed MCA objectives. This is now part of the MCA's "business as usual" working practice".</p> <p>The MCA is also working closely with all Local Authorities to develop and deliver their Place Based Investment Plans</p>
<p>CIPFA/SOLACE Framework - Principle D - Planning interventions that optimise the achievement of intended outcomes.</p>	
<p>Improve how we shape and challenge the options and strategies open to South Yorkshire decision makers by developing relationships with national academics, research and development leaders and policy makers across all our agendas.</p>	<p>Close working is underway with Local Authorities and universities on the development of the Office of Data Analytics. This will, if successful, provide a valuable resource for using big data to answer the big questions of today. Some national research funding has been secured to begin to make some progress here.</p> <p>The MCA is working closely with the two Sheffield universities to ensure robustness and rigour in its thinking and practice. For example, the Yorkshire Policy Engagement Research Network project will support the nascent Office for Data Analytics and help deliver the Better Business Challenge manifesto commitment.</p>
<p>Improve our approach to stakeholder engagement seeking to broaden our stakeholder base and develop significant new relationships with</p>	<p>Work continues to develop new working relationships with institutional investors and develop new ways of stimulating over investment.</p>

the financial sector to lever far greater investment in South Yorkshire.

Following close to a year of engagement, South Yorkshire Pension Fund have announced c. £0.50bn in funding that will be directed at investment into South Yorkshire, supporting levelling up missions.

SYPF’s announcement is a welcome first-step in a new approach to local pension fund investment supporting the MCA’s economic growth agenda. SYMCA officers will now work with the Fund to drive investment opportunities towards the money.

Work also continues with Aviva, with a number of site visits planned and opportunities for partnership working being considered.

The MCA is also developing a number of pilot projects aimed at co-investment and angel investment vehicles. These micro-schemes will offer more varied and flexible opportunities when compared to the macro activity with pension funds.

The MCA has also commissioned support to help shape its approach to international investment capture. This work helps determine how best the MCA can market the region to foreign audiences.

Finally, the MCA continues to engage with Government on investment zones, with the hope that this policy agenda could stimulate greater opportunity for attracting external investment.

CIPFA/SOLACE Framework – Principle E - Developing the entity’s capacity, including the capability of its leadership and the individuals within it

Improve the support given to our workforce by implementing the agreed Management Code, that sets out the management commitment to teams to ensure colleagues are supported and accountable, and receive feedback. To ensure a consistent and good experience of work and clear pathways to raise any issues.

The MCA made a commitment to better support colleagues through a structured - communication framework. This included a commitment to quarterly all staff events with the political leadership, monthly all staff briefings, and a commitment for every officer to have twice-yearly meetings with their Director along with monthly team meetings.

This meeting cycle has now been embedded with all-staff events recorded where possible. Directors are meeting with their officers on a

	<p>cyclical basis whilst individual teams are discharging the requirement to meet frequently in different ways best suited to their circumstance.</p> <p>Since the adoption of this framework management have further adjusted the approach to senior-manager meetings with the intention of better facilitating the development and ownership of ideas and tasks and creating dedicated space for strategic leadership. This has led to the creation of an Executive Leadership Board and a Corporate Delivery Board. These two Boards replace the previous Management Board and will both draw in a more holistic cadre of officers into discussions but also bring more coherency to which matters are discussed and dealt with where.</p> <p>A new HR and Organisational Design Director has been recruited with a shift towards developing a new 'People Services' operating model.</p> <p>In the immediate term, this model will focus on supporting the organisation through the integration of the SYPTE and MCA following the dissolution of SYPTE on the 1st April 2023</p>
<p>Improve our business operations by developing and agreeing a corporate development plan to embed, through a number of clearly defined business improvement projects, the vision of the integrated organisation and the core values into our ways of working and behaviour.</p>	<p>A Corporate Delivery Team, comprised of leaders across the organisation, who lead and deliver priority programmes of work has been established and will meet monthly. It will be chaired by an Executive Leadership Board member who will provide two-way communication and active engagement with the Board. Its purpose is to address and resolve some of the organisation's biggest challenges that require cross-cutting organisational input and solutions, such as improving agility, responsiveness and collaboration across the MCA and with partners, streamlining processes, reducing duplication and improving internal communication.</p>
<p>Improve the physical environment of the workforce to enhance the employee experience and support a culture of collaboration and innovation.</p>	<p>During the course of the year, floor 2 of Broad Street West has been transformed from rented accommodation to an open plan collaborative space. This space has been used throughout the year by project teams, individuals and groups for a range of activity including staff</p>

	<p>briefings, team building sessions and employee engagement sessions. A wider estate review is also considering how best to use facility capacity across the region. A key consideration in this activity is the aspiration to ensure all officers, regardless of location, work in appropriate and suitable accommodation.</p> <p>A new Head of Service will undertake this review following the departure of the previous Officer.</p>
<p>CIPFA/SOLACE Framework – Principle F - Risks and performance are managed through robust internal control and strong public financial management</p>	
<p>Improve how we use management information to provide assurance on organisational performance.</p>	<p>Work is underway to develop a set of metrics that will form a Corporate Health Dashboard and enable the Executive Leadership Team to monitor the performance of the organisation. The Corporate Health Dashboard work continues to be refined and embedded into day-to-day activity.</p> <p>SYMCA Enhanced Partnership Performance Dashboard has been established to understand bus service operations performance and is reviewed at EP Board quarterly.</p>
<p>Improve the management of risks by embedding the new risk management framework</p>	<p>Work continues to embed the risk management approach. The most recent internal audit concluding there is 'significant assurance – with some improvement required' and notes the progress made since the last audit. The findings and agreed actions will be incorporated into a 23/24 Risk Management Support Plan to further embed risk management practice and enhance reporting.</p>
<p>Improve the management of our corporate policies and procedures that provide a framework for our operating environment.</p>	<p>A 'Corporate Documentation Management Process' was agreed by Management Board in May 2022. A Corporate Document library managed by the Governance Team working in conjunction with the Communications Team is in place. As part of the 'Formal Dissolution Project' activity is being undertaken transfer existing documentation from legacy intranets and prioritise documentation for immediate review. It is anticipated that this project will extend into the new financial year. work is progressing, accelerated by the decommissioning of legacy intranets. It is</p>

	anticipated that, particularly where HR policies are concerned, this piece of work will continue throughout 23/23 and will become a business as usual activity.
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6. Governance Improvement Plan for 2023/24

Although no significant issues have been identified as a result of this year's evaluation, we are committed to continually strengthening and improving our governance arrangements and, during 2023/24, will particularly focus on the following key activities.

The Governance Improvement Plan consists of actions identified from the Annual Governance Review 22/23 and are grouped around 5 key principles.

Principle	Deliverables
Strengthening MCA officer leadership and organisation performance	Reviewed and updated officer scheme of delegation
Increasing agility and responsiveness	Implemented Revised Assurance Framework
Changing structures and processes to facilitate deepening of relationships and collaboration	Reviewed governance decision making process and implementation of any agreed changes
Supporting team members to thrive	Reviewed and consolidated HR policies Induction for new elected members Programme of knowledge development sessions for members
Driving a new operating ethos and culture	Embedded Risk Management Framework Cyber Essentials Plus attainment Reviewed Information Governance policies and training delivered Reviewed and updated Information Asset Registers Corporate Document Management Process implemented

Audit, Standards and Risk Committee

Wednesday, 22 March 2023

Committee Effectiveness

Is the paper exempt from the press and public?	No
Purpose of this report:	Monitoring/Assurance
Is this a Key Decision?	No
Has it been included on the Forward Plan?	Not a Key Decision

Director Approving Submission of the Report:

Gareth Sutton, Director of Resources & Investment/s73 Officer

Report Author(s):

Claire James, Head of Corporate Governance

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Executive Summary

This paper outlines the findings of the annual effectiveness survey undertaken via an online survey active between 8 and 24 February.

What does this mean for businesses, people and places in South Yorkshire?

Continually improving governance enables the Combined Authority to pursue its ambitions and objectives in the most effective and efficient way, bringing about better outcomes for people and businesses in South Yorkshire.

Recommendations

The Committee is asked to consider the findings of the annual effectiveness survey and recommend any further actions.

Consideration by any other Board, Committee, Assurance or Advisory Panel

None

1. Background

- 1.1 The Chartered Institute for Public Finance and Accountancy (CIPFA), Financial Reporting Council (FRC) and the National Audit Office (NAO) state, and recommend, that audit committees should annually review their own effectiveness.

The Audit, Standards and Risk Committee previously agreed that a structured questionnaire seeking feedback on the effectiveness of the Committee should be prepared and the findings used to highlight any areas where development or improvement is required. The findings of the survey will be reflected in the Chair's Annual Report to the MCA Board in June.

2. Key Issues

2.1 The survey was launched on Tuesday 8 February with a deadline of 24 February to allow members time for completion. The survey (included at appendix A) aims to evaluate, and understand any development requirements, relating to:

- The skills and knowledge of the Committee;
- Relationships between members, members and MCA officer and members and the MCA Board and Mayor;
- Administration and operational requirements of the Committee.

New questions were added this year to ask members their opinion on the use of Working Groups and on the impact of the reduced membership of the Committee which had been agreed with the MCA Board as a trial.

2.2 Findings

The survey had an 80% response rate. The results are summarised below:

Skills and Knowledge

Members were asked about the Committee's effectiveness in:

- Advising on Annual Governance Review and Statement.
- Scrutinising Treasury Management Strategy.
- Considering and recommending the Accounts.

As well as overseeing:

- Risk management arrangements.
- The effectiveness of the control environment.
- Anti-fraud and corruption arrangements.
- The internal audit strategy and plan.

Responses indicated that in general, Members were satisfied that the Committee was effective in these areas. Members did however, indicate that an opportunity to develop knowledge around the MCA's strategies and plans and assurance processes, and develop more knowledge around anti-fraud and corruption issues would be welcomed. In line with feedback from the previous survey, it was commented that a structured induction for new members would be beneficial.

Proposed action:

Following the ratification of 23/24 appointments at the MCA Board on 5 June, Elected and Independent members will be invited to a session with the Mayor and Statutory officers. Webinars will be scheduled on a quarterly basis for members to keep abreast of key policy issues.

Relationships

In general, responses indicated that relationships between members and between members and officers are effective although it was suggested that there may be some benefit in members having more opportunity to build relationships with each other. There was still an absence of a relationship with the MCA Board and the Mayor.

Proposed action:

The Mayor is currently scheduled to attend the June meeting of the Committee. Members are asked to highlight any key objectives or issues they would like to be addressed.

Administration and Operational

Members were satisfied that the work plan covers the assurance needs of the Committee but recognised that agendas are very full and report packs quite lengthy.

Proposed action:

Members will be asked to consider the Work Plan alongside the Terms of Reference for the Committee (to ensure all accountabilities are met) at the next meeting and enhance and rationalise as appropriate to ensure agendas are manageable.

Committee Size

Members were asked if the reduced size of the Committee had had a positive impact on the quality of debate at meeting and on the overall effectiveness of the Committee. Responses were mixed but did not indicate the reduction had been detrimental and that the reduced membership had at least had a positive impact on the ability to meet quoracy requirements.

Proposed action:

It is proposed that a recommendation is made to the MCA Board via the Nominations and Appointments Report and ASRC Chair's Annual Report to the MCA Board in June to maintain the reduced membership of one elected member from each of the 4 constituent local authorities.

Working Groups

Members were asked about the usefulness of Working Groups (such as the Transport Risk Working Group) and whether any might be required in other specific areas to add an additional layer of oversight. None were identified via survey responses.

Proposed action:

Members are asked to consider, as part of Committee work planning for 23/24 if any specific working groups are required.

3. Consultation on Proposal

- 3.1 The Committee is asked to feed into the action plan to address the improvements required to increase effectiveness.

4. Timetable and Accountability for Implementing this Decision

4.1 Any recommendations and actions resulting from the survey will be implemented in a timescale agreed with the Committee.

5. Financial and Procurement Implications and Advice

5.1 There are no financial implications directly associated with this report.

6. Legal Implications and Advice

6.1 There are no legal implications relating to this report.

7. Human Resources Implications and Advice

7.1 There are no human resources implications related to this report.

8. Equality and Diversity Implications and Advice

8.1 There are no equality and diversity implications related to this report.

9. Climate Change Implications and Advice

9.1 There are no climate change implications related to this report.

10. Information and Communication Technology Implications and Advice

10.1 There are no information and communication technology implications related to this report.

11. Communications and Marketing Implications and Advice

11.1 There are no communications or marketing implications related to this report.

List of Appendices Included

A Committee Effectiveness Survey Questions

Background Papers

[Audit, Standards and Risk Committee – 15th July 2021 - Item 17 – Committee Engagement and Annual Report Proposal](#)



SYMCA Audit, Standards & Risk Committee Annual Effectiveness Survey

The Chartered Institute for Public Finance and Accountancy (CIPFA), Financial Reporting Council (FRC) and the National Audit Office (NAO) state, and recommend, that audit committees should annually review their own effectiveness.

The Audit, Standards and Risk Committee agreed that a structured questionnaire seeking feedback on the effectiveness of the Committee would be prepared and the findings used to highlight any areas where development or improvement is required. This information will be shared with Committee members in report form at the March meeting and will be reflected in the Chair's Annual Report to the MCA Board in June.

Skills and Knowledge

This section aims to gather information to evaluate the skills and knowledge of the Committee and to identify any development requirements.

1. How would you rate your own understanding of the role and responsibilities of the SYMCA Audit, Standards and Risk Committee?



2. On a scale of 1 to 10 (1 being ineffective and 10 being highly effective) how would you rate
 - the effectiveness of the Committee in considering and advising on the findings of the **Annual Governance Review** and preparation of the **Annual Governance Statement**?
 - the effectiveness of the Committee in overseeing the effectiveness of **risk management arrangements**?
 - the effectiveness of the Committee in overseeing the effectiveness of the **control environment**?
 - the effectiveness of the Committee in overseeing **anti-fraud and anti-corruption arrangements**?
 - the effectiveness of the Committee in overseeing and reviewing the **internal audit strategy and plan**?
 - the effectiveness of the Committee in scrutinising the **Treasury Management Strategy**?
 - the effectiveness of the Committee in considering and advising on the **Code of Corporate Governance**?
 - the effectiveness of the Committee in considering and recommending the **Statement of Accounts** to the MCA Board?
3. How satisfied are you that the Committee possess the wider skills necessary to be fully effective, for example, in relation to the core business of the organisation, the wider political landscape and other strategically relevant issues?
 - Satisfied
 - Somewhat satisfied

- Neither satisfied nor dissatisfied
 - Somewhat dissatisfied
 - Very dissatisfied
4. If you have indicated that you are less than satisfied with the wider skills set of the Committee. Could you provide more detail please?
 5. To further enhance your contribution to the work of the Committee, in which areas would you be interested in developing your knowledge? (Please choose more than one if appropriate)
 - Code of Corporate Governance/Annual Governance Review/Annual Governance Statement
 - Risk Management
 - Control Environment
 - Anti-fraud and anti-corruption
 - Treasury Management and MCA budgets
 - Statement of Accounts
 - MCA Assurance Processes
 - MCA Strategies and Plans
 - Other
 6. How could new members be supported better when joining the Committee?

Relationships

This section aims to evaluate the effectiveness of relationships between members, between members and MCA Executive officers, and between members and the MCA Board and Mayor.

7. How effective would you say your relationship and communication is with other Committee members?
 - Effective
 - Somewhat effective
 - Neither effective nor ineffective
 - Somewhat ineffective
 - Very ineffective
8. If you have indicated that you feel your relationship and communication with other Committee members is less than effective. Could you tell us more about this please? How could it be improved?
9. How effective would you say your relationship and communication is with MCA Executive Officers?
 - Effective
 - Somewhat effective
 - Neither effective nor ineffective
 - Somewhat ineffective
 - Very ineffective
10. If you have indicated that you feel that your relationship and communication with MCA Executive Officers is less than effective. Could you tell us more about this please? How could it be improved?

11. How effective would you say the relationship and communication is between the Committee and the MCA Board and Mayor?
- Effective
 - Somewhat effective
 - Neither effective nor ineffective
 - Somewhat ineffective
 - Very ineffective
12. If you have indicated that you feel the relationship and communication between the Committee and the MCA Board and Mayor is less than effective. Could you please tell us more about this please? How could it be improved?

Administration and Operational Arrangements

This section aims to evaluate the effectiveness of the administration and operational arrangements for the Committee.

13. How satisfied are you that Committee papers are concise, relevant, timely and of good quality?



14. How could the information provided to the Committee be improved?
15. How satisfied are you with range and number of MCA Executive officers and other participants attending committee meetings?
- Satisfied
 - Somewhat satisfied
 - Neither satisfied nor dissatisfied
 - Somewhat dissatisfied
 - Very dissatisfied
16. If you have indicated that you are less than satisfied with the range and number of MCA Executive officers and other participants at committee meetings. Could you tell us a little bit more about this please?
17. How satisfied are you that the committee workplan covers the assurance needs of the Committee through a balance of agenda items?
- Satisfied
 - Somewhat satisfied
 - Neither satisfied nor dissatisfied
 - Somewhat dissatisfied
 - Very dissatisfied
18. If you have indicated that you are less than satisfied that the committee workplan covers the assurance needs of the Committee through a balance of agenda items? Could you tell us a little bit more about this please? How can it be improved?

19. To what extent would you agree with the following statement "Committee meetings encourage a high quality of debate with robust and probing discussions"?

- True
- Somewhat true
- Slightly true
- Not true at all

20. If you have indicated that the quality of debate and depth of discussion at committee meetings could be better? Could you say more about why this is, and how it could be improved?

21. Please tell us more about your answer to the previous question

22. Do you feel that the reduced membership of the Committee has had a positive impact on the quality of debate at meetings?

- Yes
- No
- Maybe

23. Please let us more about your response to the previous question.

24. Do you feel that the reduced membership has had a positive impact on the overall effectiveness of the Committee?

- Yes
- No
- Maybe

25. Please let us more about your response to the previous question.

26. During the year the Committee established a Working Group with a specific focus. Are there any other specific areas where a Working Group could possibly add an additional layer of oversight?

27. Thank you for taking the time to complete this survey. If you have any further comments please feel free to enter them here....

Audit, Standards and Risk Committee

Wednesday, 22 March 2023

Committee Work Plan

Is the paper exempt from the press and public?	No
Reason why exempt:	Not applicable
Purpose of this report:	Discussion
Is this a Key Decision?	No
Has it been included on the Forward Plan of Key Decisions?	Not a Key Decision

Director Approving Submission of the Report:
 Gareth Sutton, Director of Resources & Investment/s73 Officer

Report Author(s):
 Claire James, Head of Corporate Governance
Claire.James@SouthYorkshire-CA.gov.uk

Executive Summary

This report seeks feedback on the work plan.

What does this mean for businesses, people and places in South Yorkshire?

Good governance enables the MCA to pursue its ambitions and objectives in the most effective and efficient way, bringing about better outcomes for residents and businesses in South Yorkshire.

Recommendations

Members consider the work plan and agree any changes or additional items to be scheduled.

Consideration by any other Board, Committee, Assurance or Advisory Panel

N/A

1. Background

1.1 The Audit and Standards Committee work plan facilitates the Committee in meeting its accountabilities.

1.2 The work plan is reviewed at every meeting to ensure it remains on schedule.

2. Key Issues

2.1 Work Plan

The proposed work plan is attached at appendix A. This document aims to ensure the Audit, Standards and Risk Committee are appropriately sighted on key governance issues and activities in a timely manner and ensure that items relevant to their statutory accountabilities are appropriately scheduled. A draft workplan for 23/24 will be presented to the next meeting of the Committee for consideration.

2.2 Members are also asked to note the proposal to convene an additional one agenda item meeting in April to consider the 23/24 Internal Audit Plan.

2.3 Members are asked to note that due to the length of the agenda for the March meeting, the Performance Management Update has been deferred and included in the workplan for June.

3. Options Considered and Recommended Proposal

3.1 Members consider work plan for April and June and agree any changes or additional items to be scheduled.

4. Consultation on Proposal

4.1 N/A

5. Timetable and Accountability for Implementing this Decision

5.1 N/A

6. Financial and Procurement Implications and Advice

6.1 N/A

7. Legal Implications and Advice

7.1 N/A

8. Human Resources Implications and Advice

8.1 N/A

9. Equality and Diversity Implications and Advice

9.1 N/A

10. Climate Change Implications and Advice

10.1 N/A

11. Information and Communication Technology Implications and Advice

11.1 N/A

12. Communications and Marketing Implications and Advice

12.1 N/A

List of Appendices Included:

A Work Plan

Background Papers

N/A

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Audit, Standards and Risk Committee Work Plan 2022/23

Date	Agenda Item
April 2023	Internal Audit Strategy and Plan for 2023/24
June 2023	Health and Safety Update/Report Strategic Risk Monitoring External Auditor's Annual Audit and Inspection Letter Findings of the Annual Governance Review Draft Annual Governance Statement 2023/24 Internal Audit Plan Progress Report Internal Audit Reports Breach of Controls Report Governance Improvement Plan Update Performance Management

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