

AUDIT & STANDARDS COMMITTEE

29th October 2020

Internal Audit Recommendations Tracker Report

Purpose of Report

The Audit and Standards Committee is responsible for overseeing and reviewing the Authority's internal audit strategy, and receiving reports, as appropriate, from the Internal Auditor. This report presents an update on the implementation of the recommendations made by Internal Audit.

Freedom of Information & Section 12A of the Local Government Act 1972

Under the Freedom of Information Act this paper and any appendices will be made available under the Mayoral Combined Authority Publication Scheme. This scheme commits the Authority to make information about how decisions are made available to the public as part of its normal business activities.

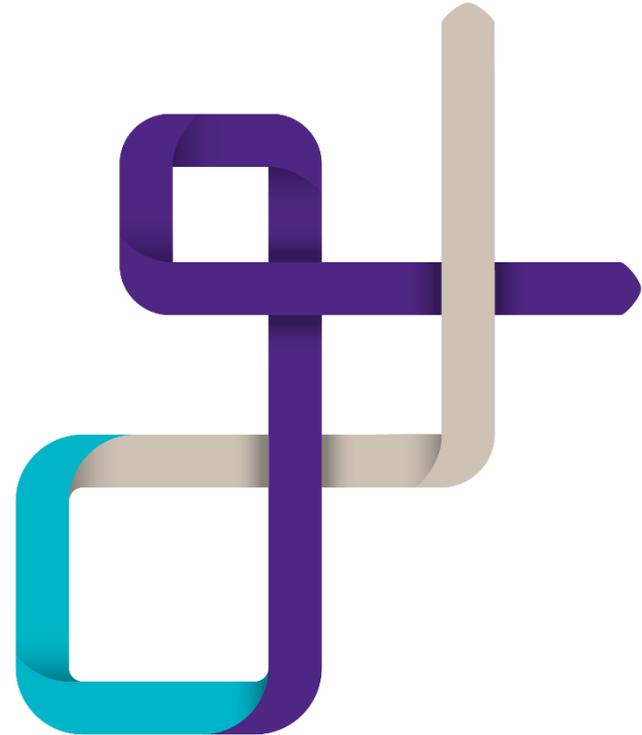
Recommendations

Members are asked to review the progress of the implementation of internal audit recommendations.



Internal Audit Recommendation Tracker

Sheffield City Region Mayoral Combined Authority
October 2020



Introduction & headlines

Purpose

This document provides an overview of the status of internal audit recommendations.

Respective responsibilities

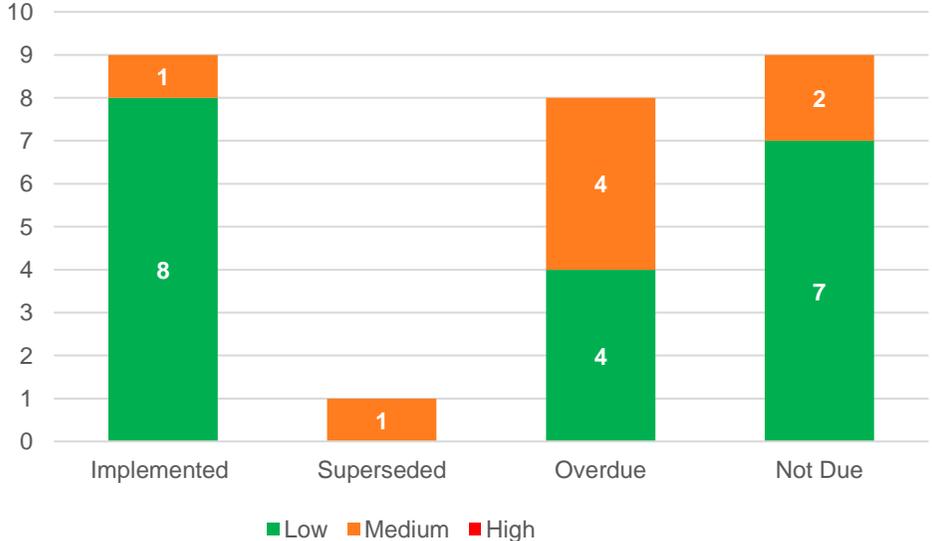
We follow up recommendations and report progress to the Audit Committee. It is the responsibility of management to implement audit recommendations on time and provide updates for the Action Tracker.

Analysis of outstanding recommendations

As at the date of finalising this report, there were eight overdue recommendations agreed with management which remain outstanding. Management confirmed that one action is superseded and nine have been implemented since the last Audit Committee. Nine recommendations are not yet due.

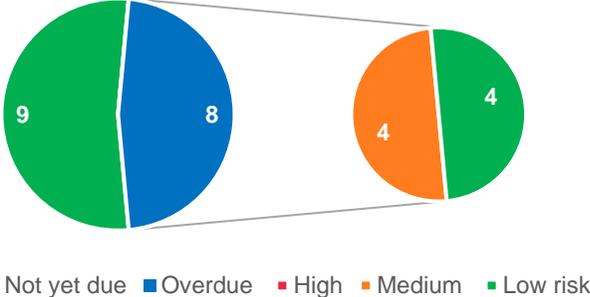
We acknowledge that progress with implementation may have been impacted due to the disruptions of COVID-19 and the Authority may wish to consider agreeing revised implementation dates.

We have summarised below the current status of all outstanding recommendations.



Recommendations due for implementation

An analysis of the recommendations that were required to be implemented prior to this Audit Committee meeting is shown below. Of the eight recommendations that are overdue, four are medium and four are low risk.



Overdue recommendation by department

An analysis of the overdue recommendations by SMT owner is shown below. On the remaining pages of this report, we provide the responses provided by management on the overdue recommendations.



Status of Overdue Recommendations.

Audit area	Risk rating	Agreed management action	Responsible officer	Due Date	Status	Management comment
Inward Investment (2018/19)	Medium	The International Trade and Investment Plan should include agreed implementation dates against each of the detailed objectives (actions) and also targets against each of the outcomes (key performance indicators), to enable the delivery of plan to be proactively managed and monitored during the year.	Rachel Clark Director of Trade and Investment	31/12/2019 Revised – 31/05/2020	On Hold	The launch of the SEP has been delayed due to the pandemic. This recommendation will be considered as and when a new Trade and Investment Plan is developed in line with the new SEP.
Inward Investment (2018/19)	Medium	Key performance Indicators should be set for the Inward Investment Team and performance measured against these reported to the Trade and Investment Advisory Board on a regular basis to enable challenges to be made if applicable.	Rachel Clark Director of Trade and Investment	31/12/2019 Revised – 31/05/2020	On Hold	The launch of the SEP has been delayed due to the pandemic. This recommendation will be considered as and when a new Trade and Investment Plan is developed in line with the new SEP.
Procurement (2018/19)	Medium	The Contract Procedure Rules and other procurement related documentation should be reviewed and updated in conjunction with the Operational Contracts Team at the earliest opportunity. All officers should be notified of the updated documentation, upon the completion of the review and signposting provided to its location.	Sue Sykes Assistant Director, Programme and Performance Unit	31/03/2020 Revised – 30/06/2020	In Progress	The new CPR's have now been drafted and Group Finance Director is taking them to the next MCA for approval. All new documentation has been created and the next step is training for the SCR staff.

Status of Overdue Recommendations.

Audit area	Risk rating	Agreed management action	Responsible officer	Due Date	Status	Management comment
Resource Management / HR Systems	Medium	<p>Develop and execute a project plan for the remainder of the project, which outlines key tasks, timeframes and roles and responsibilities.</p> <p>Ensure that the project plan and corresponding timescales are realistic, achievable and appropriately resourced.</p> <p>Ensure there are escalation and oversight routes to address any slippage.</p>	Rachael Radford HR Business Partner Manager	30/09/2020	In Progress	HR and IT are working through this and hope they will be in a position to go to tender during Quarter 3.

Status of Overdue Recommendations.

Audit area	Risk rating	Agreed management action	Responsible officer	Due Date	Status	Management comment
GDPR (2019/20)	Low	Introduce a new due-diligence process across both organisations to ask suppliers handling GDPR/DPA2018 designated personal data to complete an initial information security assessment questionnaire, possibly based on the Cabinet Office's Supplier Assurance Framework: Good Practice Guide and then, depending on the risk level present, conduct further independent checks.	Steve Davenport Principal Solicitor and Secretary (DPO)	01/08/2020	In Progress	SYLTE and SCR are looking at including this as part of procurement process, such that each procurement is initially assessed for GDPR implications and, if required by nature of the services being provided, bidders will be required to complete a GDPR supplier assurance questionnaire which will be assessed as part of any tender evaluation process.
GDPR (2019/20)	Low	Agreed to review the way information security classifications are used across both organisations.	Stephen Batey Head of Governance and Compliance	31/03/2020	In Progress	GDPR compliance and resourcing will be considered as part of the Governance workstream of the MCA/PTE merger. Information security classifications will form part of this wider piece of work.
GDPR (2019/20)	Low	Agreed to review how GDPR related risks are being managed across both organisations. Risk registers to be updated following review.	Claire James Senior Governance and Compliance Officer	01/09/2020	In Progress	GDPR compliance and resourcing will be considered as part of the Governance workstream of the MCA/PTE merger. GDPR risk management will form part of this wider piece of work.
GDPR (2019/20)	Low	The public facing websites will be updated and a new IT Policy will be implemented in April 2020.	Christine Marriott, Scrutiny Officer	01/04/2020	In Progress	The new IT Policy has been published on the website. It is still in draft form awaiting union sign off.



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