



# TRANSPORT FOR THE NORTH

Annual Summary 2022/23

Year ended 31 March 2023

This report is solely for the use of the persons to whom it is addressed. To the fullest extent permitted by law, RSM UK Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party.



# Transport for the North

RSM UK Risk Assurance Services LLP was appointed by Transport for the North to deliver a series of assignments, addressing areas where management and/or the audit committee required coverage or testing to inform their decisions and knowledge of the governance, risk and control environment.

## ASSIGNMENTS COMPLETED

Assignment	Opinion issued	Findings agreed by priority			
		Low	Medium	High	Advisory
Follow Up (1.22/23)	Reasonable Progress	19 of 21 actions completed			
Payroll (2.22/23)	Substantial Assurance	0	0	0	0
Risk Maturity Review (3.22/23)	Advisory	3	1	0	0
General Data Protection Regulation Arrangements (4.22/23)	Advisory	Four 'uncategorised' management actions raised			
Equality, Diversity and Inclusion Framework (5.22/23)	Reasonable Assurance	3	2	0	0
Framework for Project Management - Project Approval, Delivery and Monitoring (6.22/23)	Reasonable Assurance	5	2	0	0

## SCOPE OF OUR WORK

These assignments are just one of the elements of Transport for the North assurance framework and, if used properly, the results of our work can help management to inform and update the organisation's risk profile.

The purpose of this report is to provide a summary of our work delivered during the year. Our work has been planned and delivered as a series of 'agreed upon procedures', delivering reviews and testing in areas at the request of management and the audit committee.

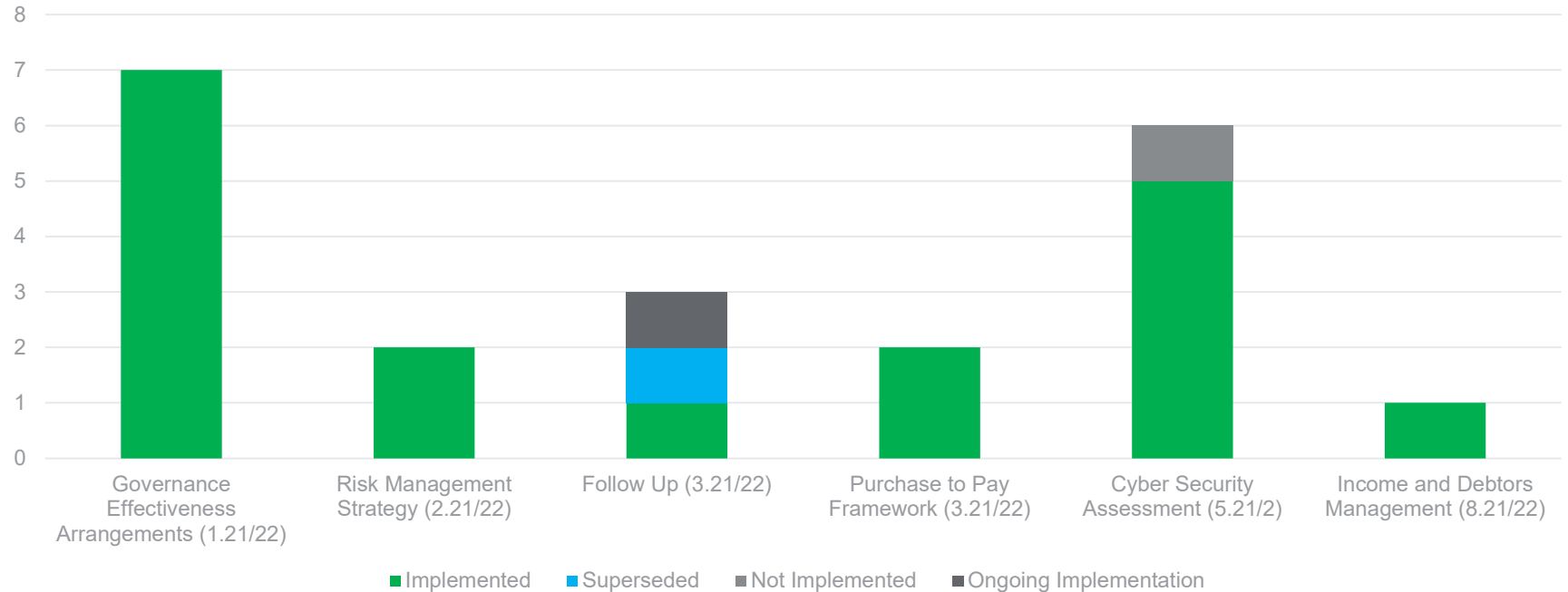
This report is prepared solely for the use of the board and senior management.

This report does not provide a formal annual internal audit opinion that would accord with Public Sector Internal Audit Standards and should not be taken to provide such an opinion.

# Transport for the North

## IMPLEMENTATION OF MANAGEMENT ACTIONS

The graph below shows the progress made by the organisation to implement actions previously agreed to address findings from our assignments.



We followed up the progress made by management to implement the 21 actions raised in our 2021/22 assignment reports. Of the 21 actions reviewed, we have confirmed that a total 19 (90%) actions have been fully implemented or superseded; one (5%) 'medium' priority action has been partly though not yet fully implemented; and one (5%) 'high' priority action has not yet been implemented.



## YOUR RSM TEAM

### Lisa Randall

Tel: +44 (0) 07730 300 309 | [lisa.randall@rsmuk.com](mailto:lisa.randall@rsmuk.com)

### Alex Hire

Tel: +44 (0) 7970 641 757 | [alex.hire@rsmuk.com](mailto:alex.hire@rsmuk.com)

### Ciaran Barker

Tel: +44 (0) 1782 216187 | [ciaran.barker@rsmuk.com](mailto:ciaran.barker@rsmuk.com)

---

## **rsmuk.com**

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.

Our report is prepared solely for the confidential use of Transport for the North, and solely for the purposes set out herein. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM UK Risk Assurance Services LLP for any purpose or in any context. Any third party which obtains access to this report or a copy and chooses to rely on it (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM UK Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report.

This report is released to you on the basis that it shall not be copied, referred to or disclosed, in whole or in part (save as otherwise permitted by agreed written terms), without our prior written consent.

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

RSM UK Risk Assurance Services LLP is a limited liability partnership registered in England and Wales no. OC389499 at 6th floor, 25 Farringdon Street, London EC4A 4AB.