

Local Assurance Framework Checklist

	Requirement	Further guidance can be found in section	Page	New Anglia LEP update	Page in New Anglia Framework
Alignment with the Accounting Officer System Statement MCAs & LEPs should outline in their Local Assurance Framework:					
1	A clear description of the roles and responsibilities.	19.a	11	Roles and responsibilities of Board, sub-Boards, sector and working groups, staff and Programme teams covered clearly throughout.	All
2	Arrangements for taking and accounting for all decisions and ways of working.	19.b	11	All sections have a clear description of decision making processes and ways of working.	All
3	Responsibilities of the Accountable Body.	19.c	11	Accountable Body section, supported by the Accountable Body Agreement	8
4	The arrangements to ensure value for money.	19.d	11	Programmes sections	20-42
5	Publish their Local Assurance Framework on their website.	20.a	11	https://newanglia.co.uk/governance-decision-making-and-fags/	Done
London /Combined Authorities section omitted					
Part B: Local Enterprise Partnerships					
Corporate Structure for LEPs					
14	LEPs must have a legal personality.	62 - 64	20	Company Limited by Guarantee	5
Local Assurance Framework & Website The Local Assurance Framework must:					
15	Provide information on how the LEP manages its programmes, funding streams and any associated contracts, including Local Growth Fund, City Deals and Enterprise Zones (where applicable).	65.b	20	Programmes section	20-42

16	Provide information on the LEPs' arrangements for ensuring value for money.	65.c (also see Part C)	20	Programmes section	20-42
17	Set out the LEPs' approach to risk.	65.d 176	20 48	LEP sub-Boards and Committees and Project and Programme Delivery	10 and 22
18	Set out how calls for bids or projects are advertised openly and that selection criteria and selection processes are transparent.	65.e	21	Programmes section and Transparency of Decision Making section.	20-42
19	Ensure the transparent publication of financial information.	65.g 107-109	21 29	Also see https://newanglia.co.uk/governance-decision-making-and-faqs/	20-1
20	Ensure appropriate succession planning and arrangements for resignation of Board Members.	65.i	21	Board section	6
21	Implement an induction process.	65.j 81-82	21 24-25	Board p6 and staff p9.	6 and 9
22	Set out the processes the LEP has put in place in regard to the handling on data.	65.m 102	21 28	Project and Programme delivery	22-25
23	Provide information on LEP scrutiny arrangements.	65.o	21	LEP decision making section	9
Websites					
24	Have a dedicated website.	67 - 71	21-22	https://newanglia.co.uk/	Yes
Local Engagement					
25	Set out how the LEP will conduct ongoing local engagement.	65.f	21	Engagement sections and Board and Committees sections	6, 10-20
26	Set out how the LEP will evidence effective engagement.	72-74	22-23	Meeting paperwork of all the above groups and associated media coverage.	6, 10-20
Appointment Process for Board Members and Chairs					
27	Set out how the LEP ensures open recruitment processes.	65.h	21	Board and Decision Making sections	6 and 9
28	Set out the appointment process for Board members (Public and Private sector), Chairs and Deputy Chairs.	75-77	23	Board	6
Diversity Statements					
29	Set out the LEPs commitment to diversity, including a diversity statement.	65.l 78-79	21 23-24	Board	6
Board remuneration and LEP Officer salaries					

30	Set out the expenditure and/or remuneration policy for Chairs and Board Members clear on their websites.	80	24	Board section. Website explains that Board members are not remunerated - https://newanglia.co.uk/governance-decision-making-and-fags/	6
Code of Conduct					
31	Have a code of conduct which all Board Members and LEP Officials sign up to.	55-57 83 - 85	18-19 24- 25	Board and staff sections	7 and 9
Conflicts of Interest					
32	Set out how the LEP manages conflict of interest, including having a conflict of interest policy.	65.k 86 - 92	21 25-26	Transparency of Decision Making section and https://newanglia.co.uk/governance-decision-making-and-fags/	20
Complaints for Third Parties and the Public					
35	Set out the LEPs overarching approach to dealing with complaints and whistleblowing.	65.n 97-101	21 26-28	Transparency of Decision Making section and https://newanglia.co.uk/governance-decision-making-and-fags/	20
36	Have a Complaints Policy.	93-96	26-27	Transparency of Decision Making section and https://newanglia.co.uk/governance-decision-making-and-fags/	20
37	Set out the confidential reporting arrangements.	94	26	Transparency of Decision Making section gives an overview. The full policy is available at https://newanglia.co.uk/governance-decision-making-and-fags/	20
Whistleblowing Policy					
38	Have a Whistleblowing Policy.	97-101	27-28	Transparency of Decision Making section gives an overview. The full policy is available at https://newanglia.co.uk/governance-decision-making-and-fags/	20
Publication of meeting and agenda items					
39	Commit to the publication of meeting agendas, papers and minutes.	103-104	28	Transparency of decision making section and https://newanglia.co.uk/governance-decision-making-and-fags/	20
Handling confidential and exempt information					
40	Set out the process for handling information which is not to be placed in the public domain.	105-106	28-29	Programme Management section	22-4
Management of Contracts					

41	Set out how the LEP or its nominated party, will manage contracts related to the delivery of its programmes and how the LEP Board will be kept informed of progress.	114	30	Programmes section	20-42
Government Branding					
42	The LEP should commit to meeting the Government branding guidelines for projects.	115	30	Transparency of decision making section	20
Accountability and decision making					
43	Set out the LEP's structure, and decision making processes.	65.a, 117	20, 31	Board, decision making, transparency of decision making and programme management sections	6-10, 20-42
44	Confirm the accountable body arrangements for funding received.	116.a.	31	Accountable Body section	8
45	Confirm that public resources are managed appropriately.	116.b	31	Section 151 officer scrutiny and sign off	8
46	Confirm where applicable, investment decisions will be made for all funding with reference to statutory requirements, conditions of funding, local transport objectives and through formal MCA or CA involvement where required.	116.c	31	Transparency of Decision Making section	20-21
47	Describe the arrangements for enabling effective meaningful engagement of local partners and the public to inform key decision and future strategy development.	116.d	31	Engagement sections	11-19
49	Roles and responsibilities of the Chair, LEP Board, Sub-boards, Accountable Body and Section 151 Officer.	118	31		6-10
50	Membership requirements of the Board and sub-boards.	119	31	Board section	6-8
51	Clear scheme of delegation.	119	31	LEP decision making and https://newanglia.co.uk/governance-decision-making-and-faqs/	9
52	LEPs in MCA areas agree and publish a joint statement which sets out their respective roles and responsibilities.	120	31	N/A	N/A

53	Specify that a decision which is made in contravention of the process will be invalid.	121	32	LEP decision making and https://newanglia.co.uk/governance-decision-making-and-fags/	9
54	Openly advertise funding opportunities, assess applications make the award through a formal agreement, monitor progress for the lifetime of the project, and maintain a robust audit trail to demonstrate compliance.	123	32	Programmes section	20-42
The LEP Board					
55	The LEP Board consists of at least two-thirds private sector.	125	32	Board section	6
56	A LEP Board member designated as a Small and Medium Enterprise, which is published on the website.	127	33		6
57	The LEP Board should have a maximum of 20 people, with the option to co-opt an additional five Board Members.	128	33		6
Chair and Deputy Chair					
58	The LEP Chair must come from the private sector.	132	34	Board section	6
59	The LEP must have a Deputy Chair.	133	34		6
60	The LEP Chair and Deputy Chair have a defined term limit of three years with an optional extension of three years.	133	34		6
LEP Staff and Independent Secretariat					
61	Outline how the independent secretariat will function.	134-135	34	LEP Decision making section	9
LEP Network: cooperation, collaboration and partnership with other LEPs					
62	Commit to working with the LEP Network.	136	35	Cross-LEP working section	19
63	The LEP should outline the dependencies or relationships with other LEPs as appropriate.	136-137	35	Cross-LEP working section	19
The Accountable Body and Section 151 Officer					
64	The LEP has a single Accountable Body.	139	35	Accountable Body section	8
65	Outline the agreement between the Accountable Body and the LEP.	141	36	Accountable Body section	8
Section 151 Officer Role					

66	The S151 officer should provide a letter by the 28 February each year.	145	37	Accountable Body section	8
Decisions relating to LEPs awarding public funds					
67	Describe the decision making process.	147	38	Programmes sections	20-42
68	A commitment from all LEP board and sub group members to making decisions on merit having taken into account all of the relevant information available at the time.	147.a	38	LEP decision making section	9
69	Clear lines of accountability to the LEP Board and, where applicable, the Accountable Body.	147.b	38	Programmes section and LEP decision making/ Accountable Body section	8-10, 20-42
70	Describe the process for recording decisions and communicating these to the Accountable Body, CA or MCA.	147.c	38	Accountable Body section	8
71	Information on the LEP's decision making procedures, including the arrangements for ensuring decisions are taken at meetings which are quorate.	147.d	38	LEP decision making section	9
72	A link to the current schemes of delegation.	147.e	38	https://newanglia.co.uk/governance-decision-making-and-fags/ . LEP decision making	9
73	The person (or name of the position) responsible for providing the final sign off for funding decisions.	147.f	38	https://newanglia.co.uk/governance-decision-making-and-fags/ . LEP decision making. Also Programmes sections.	9, 20-42
74	Describe the process by which the Accountable Body confirms receipt of the information and can report back when the direction is completed.	147.g	38	Accountable Body section	8
75	The process allowing decisions, by exception, to be made by the LEP Board in the absence of a formal meeting.	147.h	38	LEP decision making	9
76	A system for promptly considering complaints.	147.i	38	Transparency of Decision Making section and https://newanglia.co.uk/governance-decision-making-and-fags/	20
77	A system showing how investment decisions must be subject to a proportionate business case and evaluation and how decisions must	147.j	38	Programmes section and LEP decision making section	9, 20-42

	be subject to scrutiny arrangements in line with the LEP processes.				
78	<p>A statement setting out the documents which shall be made available to the LEP board in advance of making decisions which should include:</p> <ul style="list-style-type: none"> • The application made for funding • An appraisal of the application • A view by a legal expert • A recommendation as to whether to fund the proposal • A recommendation about conditions which should be attached to the proposal. 	148	38-39	LEP decision making section	9
79	<p>Set out the LEPs role in recovering funding where there has been non-compliance, misrepresentation or underperformance, this should include, the LEP Board or delegated sub-group receiving reports providing information on projects which have received funding, including:</p> <ul style="list-style-type: none"> • A description of projects where concerns have been identified • Relevant details including the amount of funding awarded and the sum at risk due to the concerns • Where recovery of funds is considered, a legal opinion which sets out the legal basis for recovery and likelihood of success. 	149	39	Project and Programme Delivery	22-25
80	Set out the arrangements to recover non-compliant funding.	150	39	Project and Programme Delivery	22-5
<i>Scrutiny and Audit arrangements</i>					
81	Describe the agreed scrutiny and audit arrangements.	154	40		8-9

In addition to the information that must be contained in the Local Assurance Framework, the website must contain the following:				
	Requirement	Section	Page	Check
1	The Local Assurance Framework	70.a	22	https://newanglia.co.uk/governance-decision-making-and-faqs/
2	An annual financial statement.	70.b	22	https://newanglia.co.uk/governance-decision-making-and-faqs/
3	The LEP annual report and delivery plan.	70.c	22	Delivery Plan to follow once published. https://newanglia.co.uk/publications/
4	A statement on the publication of meeting papers, minutes and agenda items.	70.d	22	https://newanglia.co.uk/governance-decision-making-and-faqs/ How is the LEP run section
5	Copies of the LEP Board meeting agendas, papers and minutes.	70.e	22	https://newanglia.co.uk/our-board/
6	The Annual Assurance statement from the leadership of the LEP.	70.f	22	https://newanglia.co.uk/governance-decision-making-and-faqs/
7	The LEP's Code of Conduct.	70.g	22	https://newanglia.co.uk/governance-decision-making-and-faqs/ - How is the LEP run section
8	Board Member's registers of interest and the register of the Chief Executive Officer.	70.h	22	https://newanglia.co.uk/our-board/ and https://newanglia.co.uk/our-team/
9	The LEP hospitality and expenses register.	70.i	22	https://newanglia.co.uk/governance-decision-making-and-faqs/ .
10	Complaints Policy	70.j	22	https://newanglia.co.uk/governance-decision-making-and-faqs/
11	Whistleblowing Policy	70.k	22	https://newanglia.co.uk/governance-decision-making-and-faqs/
12	A rolling schedule of projects, outlining a brief description of the project, names of key recipients of funds/contracts and amounts of funds designated by year.	70.l	22	https://newanglia.co.uk/growth-deal-projects/ and decisions log - https://newanglia.co.uk/wp-content/uploads/2018/12/NALEP-Decision-Log-@-18.12.18.pdf
13	Key LEP Strategies	70.m	22	https://newanglia.co.uk/our-economic-strategy/ and https://newanglia.co.uk/publications/
14	Information on the process for applying for funding	113	30	https://newanglia.co.uk/grants-and-support/
15	SME Champion	127	33	https://newanglia.co.uk/governance-decision-making-and-faqs/ section for local businesses on how the LEP represents their views
16	The LEP should ensure that it uses the correct Government branding on any relevant website page. Additional guidance is provided to LEPs.			