

**New Anglia Local Enterprise Partnership  
Audit and Risk Committee**

**Monday 1<sup>st</sup> July 2019**  
8.00am to 10.00am  
Room 3, Centrum, Norwich Research Park,  
Norwich, NR4 7UG

**Agenda**

**Committee Members**

Nick Banks (Chair)     Scrutton Bland  
Andrew Proctor        Norfolk County Council  
Nikos Savvas            West Suffolk College  
Holly Field              Suffolk County Council  
(Delegation of Authority for Accountable Body S151 Officer)

**In Attendance**

Doug Field              New Anglia LEP  
Rosanne Wijnberg     New Anglia LEP  
Keith Spanton         New Anglia LEP  
Melanie Richardson   New Anglia LEP  
Helen Wilton          New Anglia LEP (Minutes)  
Aaron Widdows        Price Bailey

No.	Item	
1.	Welcome & Introductions	
2.	Apologies – Marie Finbow, Risk Manager	
3.	Declarations of Interest	
4.	Minutes from last meeting	
<b>Items for discussion</b>		
5.	Review Draft Annual Financial Statements incl appendices - <b>confidential</b>	For Recommendation
6.	Corporate Risk - Risk Register - <b>confidential</b>	Update
7.	Local Assurance Framework	Update
8.	Meeting Schedule and Dates	Discussion
9.	Any Other Business	

**Date of next meetings:** 11 February 2020 (Suffolk) & ?? July 2020 (Norfolk)

## New Anglia Audit and Risk Panel Minutes (Unconfirmed) 13 February 2019

### Present

Nick Banks (NB) (Chair)  
Andrew Proctor (AP)  
Nikos Savvas (NS)  
Holly Field (HF)

Scrutton Bland  
Norfolk County Council  
West Suffolk College  
Suffolk County Council (Deputising for Accountable Body  
S151 Officer)

### In Attendance:

Keith Spanton (KS)  
Marie Finbow (MF)

New Anglia LEP  
New Anglia LEP

<b>Actions from the Meeting</b>	
	<ul style="list-style-type: none"> <li>Committee to provide feedback on related parties list to the auditors.</li> <li>RW to provide a report for the LEP Board on behalf of the Audit and Risk Committee with recommendations on improving transparency and that the minutes of this meeting will be shared with the LEP Board in future.</li> <li>MF to review impact of Risk No 20 be reviewed as this was deemed higher than currently estimated.</li> </ul>
1.	<b>Welcome and Introductions</b>
	Nick Banks welcomed attendees to the meeting.
2.	<b>Apologies</b>
	Apologies were received from Rosanne Wijnberg.
3.	<b>Declarations of Interest</b>
	There were no declarations of interest.
4.	<b>Minutes from last meeting</b>
	The minutes were agreed as an accurate record of the meeting.
5.	<b>Amendment to the Terms of Reference</b>
	KS explained the amendment to the Terms of Reference which was approved.
6.	<b>Review of Audit Plan – presented by Price Bailey – Confidential Item</b>

**The following recommendation was agreed:** KS to commission a report from Norfolk County Council actuary in relation to these two pensions as this is an area of concern raised by the Auditors and the committee needs to be in a position to address this concern.

**Action: Committee to provide feedback to the auditors on the related parties list.**

The audit timetable was agreed with the caveat that the Audit and Risk Committee date in July has yet to be agreed.

7.

**Transparency of Decision Making – Confidential Item**

DRAFT

**Action:** RW to provide a report for the LEP Board on behalf of the Audit and Risk Committee with recommendations on improving transparency and that the minutes of this meeting will be shared with the LEP Board in future.

8. **Review of Corporate Risk Register – Confidential Item**


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**Action: MF to review impact of Risk No 20 be reviewed as this was deemed higher than currently estimated.**

**9. Meeting Schedule and Dates**

The following meeting schedule was agreed:

- 1 July 2019, 8am in Centrum (with breakfast)
- w/c 10 February 2020 (Suffolk)

**10. Any Other Business**

None.

There being no further business, the meeting closed at 11.00 am.

DRAFT

**New Anglia Local Enterprise Partnership**  
**Audit & Risk Committee**  
**Monday 1<sup>st</sup> July 2019**

## **Agenda Item 5**

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### **Draft Accounts 2018/19**

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Author: Keith Spanton

#### **Summary**

This report provides committee members with the draft annual financial statements for the year ended 31 March 2019 along with the management letter. The report includes **confidential** appendices:

Appendix A - management letter

Appendix B - draft financial statements year ended 31 March 2019 (New Anglia LEP)

Appendix C - draft financial statements year ended 31 March 2019 (New Anglia Capital)

#### **Draft financial statements year ended 31 March 2019**

The accompanying LEP draft accounts have been prepared on a consolidated basis which include New Anglia Capital. The LEP first consolidated its accounts year ended 31 March 2017.

This has no impact on the LEP's operating activities. The cost to run New Anglia Capital is included within the programme funding it receives from the LEP, which is approved by the LEP board.

#### **Recommendation**

The committee is invited to consider the draft annual accounts and management letter. The committee is also invited to recommend that the LEP Board approve the accounts, subject to any adjustments agreed by the committee.

**New Anglia Local Enterprise Partnership**  
**Audit and Risk Committee**  
**Monday 1<sup>st</sup> July 2019**

## **Agenda Item 7**

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### **New Anglia LEP Governance:**

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Author: Rosanne Wijnberg

#### **Summary**

The LEP's Assurance Framework, Scheme of Delegation and Accountable Body Agreement with Suffolk County Council outline the way we work.

This paper outlines the process for monitoring our compliance with the mandatory requirements and best practice guidelines. In addition, it addresses some specific queries raised at the last Audit and Risk Committee meeting.

#### **Recommendation**

The Audit and Risk Committee is asked to note and endorse our approach to monitoring our compliance with New Anglia LEP's 2019 Local Assurance Framework.

#### **Background**

The National Local Growth Assurance Framework explains how LEPs should appraise, monitor and evaluate schemes to achieve value for money. It provides Government, stakeholders and the public the necessary assurances that LEPs have the policies and processes in place to ensure the robust stewardship of public funds. It contains mandatory governance, accountability and transparency requirements and non-mandatory best practice.

New Anglia LEP's **2019 Local Assurance Framework** follows the mandatory requirements and additional best practice guidance set out in the Government's National Local Growth Assurance Framework, which seeks to provide a common framework of understanding of the assurance required for local growth funding.

New Anglia LEP's **Scheme of Delegation** sets out the main responsibilities and functions of the organisation and the level to which they have been delegated. It is a requirement of the National Local Growth Assurance Framework for the LEP to have a comprehensive Scheme of Delegation which is reviewed and updated annually. Attached as Appendix A.

The **Accountable Body Agreement** is a key element of the LEP's Governance arrangements, alongside the Articles of Association, the Assurance Framework and Scheme of Delegation. It sets out the respective roles of the LEP and Suffolk County Council as the Accountable Body.

The 2019 Local Assurance Framework can be viewed here, <https://newanglia.co.uk/governance-decision-making-and-faqs/> together with the completed National Local Growth Assurance Framework checklist (Appendix B) which provides page references to indicate where each requirement is covered in the LEP Framework. The checklist also indicates where required documents have been made available on the LEP website. The checklist has been attached as Appendix B.

New Anglia LEP's 2019 Local Assurance Framework was approved by the LEP Board in March 2019, and we received government signoff at the end of May 2019.

## **Key Considerations**

Key considerations in response to specific queries raised at the last Audit and Risk Committee.

Transparency of decision making:

We have a Scheme of Delegation (Appendix A) which sets out the main responsibilities and functions of the organisation and the level to which they have been delegated. The scheme of delegation is part of a suite of LEP governance documents, as described above. Any decision taken in contravention of the scheme is invalid.

All decisions are published in the Decisions Log, these are reported to the LEP Board and are available on our website. Non-confidential minutes are currently available via our website.

*Next Steps:* Full minutes of Committee meetings are not routinely sent to all LEP Board members. However, I am currently investigating the use of a secure SharePoint site with access via a secure web portal. This could provide LEP Board members with access to all committee minutes should they want to see them.

LEP Board, Sub-Board and Committee membership:

We have three categories of LEP Board director – private, public and education. Public sector and education sector members are appointed as directors by virtue of their role. There is a formal recruitment process for private sector directors.

We publish a Register of Interests for each LEP Board member – available on our website. Declarations of interests are also recorded in the minutes of the monthly Board Meeting and are managed in accordance with our Standards of Conduct Policy to which all employees and Board Members adhere.

Membership of the respective committees is approved by the LEP Board. Membership, meeting dates and Terms of Reference are all published on our website for each committee.

LEP Board directors are able to make recommendations to the LEP Board if they believe that a committee requires additional expertise to make effective decisions.

Recent examples of this include:

- the introduction of an Audit and Risk Committee, and the recruitment of an independent Chair.
- the appointment of an additional private sector member to join the Invest Appraisal Committee.
- County Council representation on the Investment Appraisal Committee.

## **Monitoring Compliance**

### **Process**

New Anglia LEP's 2019 Local Assurance Framework was approved by the LEP Board in March 2019, and we received government signoff and at the end of May 2019.

The National Local Growth Assurance Framework checklist will provide the basis for our compliance monitoring arrangements going forward.

We recognise that the development of a more formal compliance monitoring regime is an iterative process. A membership of the leadership team has been assigned to each of the areas identified in the checklist. They will take accountability for monitoring compliance for their area, and management and oversight will be provided by the Business Performance and Compliance Manager.

Compliance against the checklist will be reviewed on a quarterly basis and reported to Audit and Risk Committee twice per year.

The LEP Chair and Chief Executive and the s151 Officer also provide an annual Governance Assurance Statement as part of the Annual Performance Review confirming that the LEP is compliant with its Assurance Framework.

### **People**

Melanie Richardson has recently joined the LEP with specific responsibility for managing and monitoring compliance. Melanie comes from a background of public sector external audit. Melanie will meet with the Accountable Body on a monthly basis to ensure that they have sufficient assurance to support their sign off.

### **Reporting**

Compliance against the checklist will be reviewed on a quarterly basis and reported to the Audit and Risk Committee twice a year.

### **Recommendation**

The Audit and Risk Committee is asked to note and endorse our approach to monitoring our compliance with New Anglia LEP's 2019 Local Assurance Framework.



## **New Anglia LEP Scheme of Delegation**

### **Context**

The New Anglia Local Enterprise Partnership is company limited by guarantee, with 18 voluntary directors, supported by a full-time executive team.

This scheme of delegation sets out the main responsibilities and functions of the organisation and the level to which they have been delegated.

The scheme of delegation is part of a suite of LEP governance documents including:

Local Assurance Framework, Articles of Association, terms of reference for sub-boards and sub-committees, and agreement between Suffolk County Council (accountable body) and the LEP.

The scheme of delegation is reviewed annually and changes require board approval. Any decision taken in contravention of this scheme of delegation will be deemed invalid.

### **Key responsibilities of the LEP Board**

The board is responsible for:

- Approving the strategic direction of the LEP
- Agreeing clear objectives to focus activity and drive ambition
- Ensuring the LEP runs efficiently and effectively with appropriate controls in place covering performance, finance and risk
- Upholding the values, ethos and culture of the organisation

### **Key responsibilities of the Accountable Body**

- The Section 151 Officer or their appointed deputy is a core member of the Audit and Risk Committee.
- The Section 151 Officer is accountable for approving all Growth Deal grant agreements, and delegates authority to a suitable team member for approval of grants awarded under other LEP programmes.

## **Scheme of Delegation**

<b>Issue</b>	<b>Delegated To</b>
<b>Strategy</b>	
Vision, mission and values	Board
Development and approval of Economic strategy	Board
Implementation of Economic strategy	Economic Strategy Delivery Coordination Board recommendations to main Board
Changes to the overall operating structure of the LEP	Board
Approval of the Organisation brand	Board
<b>Programmes</b>	
Design of capital and revenue funding programmes	Board (on recommendations from Investment Appraisal Committee and relevant sub-boards)
Awarding of capital or revenue funding to programmes £500k	Board (on recommendations above from IAC)
Awarding of capital or revenue funding to programmes £500k or below	IAC
Awards from Growing Business Fund up to £500k	GBF panel (overseen by the IAC)
In programme funding changes above £100,000	Board
In programme funding changes up to £100,000	IAC
Change requests from programmes/projects with no financial implications but major changes to outputs or timeline	IAC
Change requests from programmes/projects with no financial implications but minor changes to outputs or timeline	CEO – reported retrospectively to the Board quarterly
<b>Governance</b>	
Responsibility for compliance with Government National Assurance Framework	Chair and CEO
Annual declaration of compliance to Government	Board
Maintenance of Register of Interests	Suffolk County Council 151 Officer Board and CEO

Timely publication of agendas, reports and minutes	Chair, CEO and COO
Committee and Delivery Board appointments	Board
Code of conduct, Complaints and Whistleblowing policies	Board

## Finance

Approval of financial budgets and forecasts	Board
Approval of annual accounts and financial statement and audit letter of representation	Board on recommendation from Audit and Risk Committee
Approval of bank account and mandate policy	Board on recommendation of Audit and Risk Committee
Treasury policy	Board on recommendation of Audit and Risk Committee
Bank investments execution	Audit and Risk committee
Prior authorised expenditure for day to day business, in accordance with strategy budget and approved policies:	
Over £150,000	Board
Between £50,000 and £150,000	Chair and CEO or COO
Up to £50,000	CEO and COO or financial controller

## Human Resources

Performance management and remuneration of CEO	Chair and Remuneration Committee
Remuneration of Chief Operating Officer	Chair and Remuneration Committee
Recruitment of board members	Board (with recommendations from sub panel comprising board members)
Recruitment of CEO	Board (with recommendations from sub panel comprising board members)
Operational procedures and policies for Leadership team and below	COO in conjunction with CEO and Leadership team

Last Update: Approved by the LEP Board March 2019



# Local Assurance Framework Checklist

	Requirement	Further guidance can be found in section	Page	New Anglia LEP Checklist <i>How this checklist will be used.</i>  <i>We have already provided the detail in the LAF. We will use this checklist to monitor our compliance on a quarterly basis. Bulleted points show proposed checks i.e. what each owner will be doing / checking against each quarter.</i>	Page in New Anglia Framework (last revised 31/05/19)	Owner
<b>Alignment with the Accounting Officer System Statement MCAs &amp; LEPs should outline in their Local Assurance Framework:</b>						
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. <ul style="list-style-type: none"> <li>Confirmed correct</li> </ul>	All	CS
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. <ul style="list-style-type: none"> <li>Scheme of Delegation</li> <li>Decisions Log</li> </ul>	All	RW
3	Responsibilities of the Accountable Body.	19.c	11	Accountable Body section, supported by the Accountable Body Agreement <ul style="list-style-type: none"> <li>Accountable Body Agreement</li> </ul>	9	KS
4	The arrangements to ensure value for money.	19.d	11	Programmes sections <ul style="list-style-type: none"> <li>Review outputs achieved against delivery profile - if under profile assess cost per output to determine whether VFM remains within scope</li> </ul>	21-43	CD
5	Publish their Local Assurance Framework on their website.	20.a	11	<a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a> <ul style="list-style-type: none"> <li>Local Assurance Framework published on website</li> </ul>	Done	HM / LvD

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<b>London /Combined Authorities section omitted</b>							
<b>Part B: Local Enterprise Partnerships</b>							
<b>Corporate Structure for LEPs</b>							
14	LEPs must have a legal personality.	62 - 64	20	<ul style="list-style-type: none"> <li>Company Limited by Guarantee</li> </ul>	5	RW	
<b>Local Assurance Framework &amp; Website</b>							
<b>The Local Assurance Framework must:</b>							
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	<p>Programmes section</p> <ul style="list-style-type: none"> <li>Confirm continued use of programme management techniques including Green Book appraisal methodology to identify projects and MSP management tools to support programme delivery in conjunction with applicants.</li> <li>Maintain active relationship to achieve delivery objectives including spend, outputs and delivery milestones.</li> </ul>	21-43	CD	
16	Provide information on the LEPs' arrangements for ensuring value for money.	65.c (also see Part C)	20	<p>Programmes section</p> <ul style="list-style-type: none"> <li>Review outputs achieved against delivery profile - if under profile assess cost per output to determine whether VFM remains within scope. Ensure new offers meet cost per output guidelines, eg. GBF @ 1 job per £20k award</li> </ul>	21-43	CD	
17	Set out the LEPs' approach to risk.	65.d 176	20 48	<p>LEP sub-Boards and Committees and Project and Programme Delivery</p> <ul style="list-style-type: none"> <li>Risks identified at a strategic and operational level – risk registers updated on a regular basis</li> </ul>	11 and 23	CD	
18	Set out how calls for bids or projects are advertised openly and that selection criteria and selection processes are transparent.	65.e	21	<p>Programmes section and Transparency of Decision-Making section.</p> <ul style="list-style-type: none"> <li>Criteria agreed by LEP Board</li> <li>Calls advertised</li> <li>External assessment and scoring</li> <li>Recommendation to Investment Appraisal Committee</li> </ul>	21-43	CD	

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				<ul style="list-style-type: none"> <li>Recommendations to LEP Board</li> </ul>		
19	Ensure the transparent publication of financial information.	65.g 107-109	21 29	<p>Also see <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a></p> <ul style="list-style-type: none"> <li>All decisions to be published on website - from April 2019 this will include the Decision Log and a comprehensive list of project approvals - check to ensure lists are being published accordingly</li> <li>Annual financial statements published on website</li> </ul>	21-22	CD  KS
20	Ensure appropriate succession planning and arrangements for resignation of Board Members.	65.i	21	<p>Board section includes reference to:</p> <ul style="list-style-type: none"> <li>Categories of board members</li> <li>Succession planning/rotation for each category</li> </ul>	7-8	RW
21	Implement an induction process.	65.j 81-82	21 24-25	<p>Board Induction</p> <ul style="list-style-type: none"> <li>Information pack provided</li> <li>Meeting scheduled between Chief Executive and newly appointed board members</li> </ul> <p>Staff Induction</p> <ul style="list-style-type: none"> <li>Information pack provided</li> <li>Induction checklist completed for each new staff member</li> </ul>	7 and 10	CS  RW
22	Set out the processes the LEP has put in place in regard to the handling on data.	65.m 102	21 28	<p>Project and Programme delivery</p> <ul style="list-style-type: none"> <li>Check to ensure GDPR guidelines are adhered to in terms of the storing of data and records are managed accordingly, eg CRM system.</li> </ul>	23-25	CD
23	Provide information on LEP scrutiny arrangements.	65.o	21	<p>LEP decision making section</p> <ul style="list-style-type: none"> <li>External financial audit</li> <li>Independent scrutiny provided by Suffolk and Norfolk County Councils</li> <li>Annual review</li> <li>Mid year review</li> </ul>	10	RW

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<b>Websites</b>						
24	Have a dedicated website.	67 - 71	21-22	<a href="https://newanglia.co.uk/">https://newanglia.co.uk/</a>	Yes	LvD
<b>Local Engagement</b>						
25	Set out how the LEP will conduct ongoing local engagement.	65.f	21	Engagement sections and Board and Committees sections	6, 11-19	CS
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, 11-19	CS
<b>Appointment Process for Board Members and Chairs</b>						
27	Set out how the LEP ensures open recruitment processes.	65.h	21	Board and Decision Making sections	6 and 10	CS
28	Set out the appointment process for Board members (Public and Private sector), Chairs and Deputy Chairs.	75-77	23	Board <ul style="list-style-type: none"> <li>• External appointments advertised</li> <li>• Private sector – formal recruitment process</li> <li>• Public sector – by virtue of elected role</li> <li>• Education – 3 year rotation</li> </ul>	6-8	CS
<b>Diversity Statements</b>						
29	Set out the LEPs commitment to diversity, including a diversity statement.	65.l 78-79	21 23-24	<ul style="list-style-type: none"> <li>• Diversity champion</li> <li>• Diversity statement</li> </ul>	7	RW
<b>Board remuneration and LEP Officer salaries</b>						
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 Chair and Board members are not remunerated - <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	6-7	RW
<b>Code of Conduct</b>						
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	6 and 10	RW

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<b>Conflicts of Interest</b>						
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 <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a> <ul style="list-style-type: none"> <li>• Conflict of interest policy</li> <li>• Register of interests – (6 monthly update)</li> </ul>	21-22	RW
<b>Complaints for Third Parties and the Public</b>						
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 <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	21-22	CS
36	Have a Complaints Policy.	93-96	26-27	Transparency of Decision Making section and <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	21-22	CS
37	Set out the confidential reporting arrangements.	94	26	Transparency of Decision Making section gives an overview. The full policy is available at <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	21-22	CS
<b>Whistleblowing Policy</b>						
38	Have a Whistleblowing Policy.	97-101	27-28	Transparency of Decision Making section gives an overview. The full policy is available at <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	21-22	RW
<b>Publication of meeting and agenda items</b>						
39	Commit to the publication of meeting agendas, papers and minutes.	103-104	28	Transparency of decision making section and <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a> <ul style="list-style-type: none"> <li>• All agenda papers and minutes published on website</li> </ul>	21	LvD / HM
<b>Handling confidential and exempt information</b>						
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 <ul style="list-style-type: none"> <li>• Confidential markings used/papers anonymised as appropriate - assume information is published unless commercially or personally sensitive - review papers to determine</li> </ul>	23-25	CD

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<b>Management of Contracts</b>						
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 <ul style="list-style-type: none"> <li>• Monthly Programme Performance Review on cycle agreed by LEP Board</li> <li>• Contracts subject to annual review and value for money assessment.</li> </ul>	23-43	CD
<b>Government Branding</b>						
42	The LEP should commit to meeting the Government branding guidelines for projects.	115	30	Transparency of decision making section <ul style="list-style-type: none"> <li>• Internal commitment to ensure compliance</li> <li>• Grant agreements include requirements for applicants to comply with branding guidelines</li> </ul>	21	HM/ LvD CD
<b>Accountability and decision making</b>						
43	Set out the LEP's structure, and decision making processes.	65.a, 117	20, 31	<ul style="list-style-type: none"> <li>• Scheme of Delegation</li> <li>• Board, decision making, transparency of decision making and programme management sections</li> </ul>	6-11, 21-43	CS
44	Confirm the accountable body arrangements for funding received.	116a.	31	Accountable Body section	9	KS
45	Confirm that public resources are managed appropriately.	116.b	31	Section 151 officer scrutiny and sign off	9	KS
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 <ul style="list-style-type: none"> <li>• Calls to be promoted openly on website</li> <li>• Declarations of interest review periods</li> <li>• Publish all approved projects within prescribed timetables</li> </ul>	21-22	RW

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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	<p>Engagement sections</p> <ul style="list-style-type: none"> <li>• Check that details of engagement session on strategy development have been publicised on website and through social media.</li> <li>• Check that AGM has been publicised and minutes are on the website.</li> </ul>	18-19	LR  HM/ LvD
49	Roles and responsibilities of the Chair, LEP Board, Sub-boards, Accountable Body and Section 151 Officer.	118	31	Board section	6-11	RW
50	Membership requirements of the Board and sub-boards.	119	31	Board section	6-8	RW
51	Clear scheme of delegation.	119	31	LEP decision making and <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	10	RW
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	N/A
53	Specify that a decision which is made in contravention of the process will be invalid.	121	32	LEP decision making and <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	10	RW
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	123	32	<p>Programmes section</p> <ul style="list-style-type: none"> <li>• Open call for majority of programmes - check status</li> <li>• Scheduled calls - confirm open &amp; public promotion</li> <li>• Check/confirm legal agreement for all awards</li> <li>• Monitoring information, record management data stored - check stored information, maintain electronic data trail</li> </ul>	23-43	CD

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	robust audit trail to demonstrate compliance.					
<b>The LEP Board</b>						
55	The LEP Board consists of at least two-thirds private sector.	125	32	Board section <ul style="list-style-type: none"> <li>Private (10)</li> <li>Education (2, classed as private)</li> <li>Public (6)</li> </ul>	6	RW
56	A LEP Board member designated as a Small and Medium Enterprise, which is published on the website.	127	33	<ul style="list-style-type: none"> <li>SME representative confirmed</li> </ul>	6	RW
57	The LEP Board should have a maximum of 20 people, with the option to co-opt an additional five Board Members.	128	33	LEP Board membership <ul style="list-style-type: none"> <li>Confirm compliant at 18</li> </ul>	6	RW
<b>Chair and Deputy Chair</b>						
58	The LEP Chair must come from the private sector.	132	34	Board section <ul style="list-style-type: none"> <li>Confirm Chair is from Private sector (Doug Field)</li> </ul>	6	RW
59	The LEP must have a Deputy Chair.	133	34	<ul style="list-style-type: none"> <li>Confirm Deputy Chair in post (Lindsey Rix)</li> </ul>	6	RW
60	The LEP Chair and Deputy Chair have a defined term limit of three years with an optional extension of three years.	133	34	<ul style="list-style-type: none"> <li>Term defined as per Articles of Association</li> </ul>	6	RW
<b>LEP Staff and Independent Secretariat</b>						
61	Outline how the independent secretariat will function.	134-135	34	LEP Decision making section <ul style="list-style-type: none"> <li>Separation of duties</li> </ul>	10	CS
<b>LEP Network: cooperation, collaboration and partnership with other LEPs</b>						
62	Commit to working with the LEP Network.	136	35	Cross-LEP working section	20	CS

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63	The LEP should outline the dependencies or relationships with other LEPs as appropriate.	136-137	35	Cross-LEP working section	20	CS
<b><i>The Accountable Body and Section 151 Officer</i></b>						
64	The LEP has a single Accountable Body.	139	35	Accountable Body section <ul style="list-style-type: none"> <li>• Suffolk County Council</li> </ul>	9	KS
65	Outline the agreement between the Accountable Body and the LEP.	141	36	Accountable Body section <ul style="list-style-type: none"> <li>• Accountable Body agreement in place and signed</li> </ul>	9	KS
<b><i>Section 151 Officer Role</i></b>						
66	The S151 officer should provide a letter by the 28 February each year.	145	37	Accountable Body section	8	KS
<b><i>Decisions relating to LEPs awarding public funds</i></b>						
67	Describe the decision making process.	147	38	Programmes sections <ul style="list-style-type: none"> <li>• Check grant decisions made in accordance with established decision-making process and delegated authority levels - decision log will confirm award sizes</li> </ul>	21-43	CD
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 <ul style="list-style-type: none"> <li>• Ensure appropriate information is supplied to the board and sub-boards to allow suitable decisions to be made.</li> <li>• Supported by external review</li> </ul>	10	CD
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 <ul style="list-style-type: none"> <li>• Scheme of Delegation</li> </ul>	9-11, 21-43	CD
70	Describe the process for recording decisions and communicating these to the Accountable Body, CA or MCA.	147.c	38	Accountable Body section <ul style="list-style-type: none"> <li>• Authorisation to sign and seal via Suffolk County Council</li> </ul>	9	CD

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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 <ul style="list-style-type: none"> <li>• Scheme of Delegation</li> <li>• Terms of Reference for each Committee (showing quorate numbers)</li> <li>• Meetings formally minuted</li> </ul>	10	CD
72	A link to the current schemes of delegation.	147.e	38	<a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a> . LEP decision making	10	CD
73	The person (or name of the position) responsible for providing the final sign off for funding decisions.	147.f	38	<a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a> . LEP decision making. Also Programmes sections.	10, 21-43	CD
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	9	CD / KS
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	10	CD
76	A system for promptly considering complaints.	147.i	38	Transparency of Decision Making section and <a href="https://newanglia.co.uk/governance-decision-making-and-faqs/">https://newanglia.co.uk/governance-decision-making-and-faqs/</a>	21	CS
77	A system showing how investment decisions must be subject to a proportionate business case and evaluation and how decisions must be subject to scrutiny arrangements in	147.j	38	Programmes section and LEP decision making section <ul style="list-style-type: none"> <li>• Sample individual project approvals to confirm availability of required supporting information and processes carried out.</li> </ul>	10, 21-43	CD

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	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"> <li>• The application made for funding</li> <li>• An appraisal of the application</li> <li>• A view by a legal expert</li> <li>• A recommendation as to whether to fund the proposal</li> <li>• A recommendation about conditions which should be attached to the proposal.</li> </ul>	148	38-39	<p>LEP decision making section</p> <ul style="list-style-type: none"> <li>• Process includes all required documents</li> <li>• Check/sample project approvals to ensure compliance, eg GBF process. NB Board and sub-committees review information from appraisal level upwards. Information supplied is sufficient for an informed decision to be made.</li> </ul>	10	CD
79	<p>Set out the LEPs role in recovering funding where there has been non-compliance, mis representation 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"> <li>• A description of projects where concerns have been identified</li> </ul>	149	39	<p>Project and Programme Delivery</p> <ul style="list-style-type: none"> <li>• Identify and check for individual projects across programme suite where clawback may have been activated or required.</li> <li>• Confirm that all funds have been recovered as expected.</li> </ul>	23-25	CD

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	<ul style="list-style-type: none"> <li>• Relevant details including the amount of funding awarded and the sum at risk due to the concerns</li> <li>• Where recovery of funds is considered, a legal opinion which sets out the legal basis for recovery and likelihood of success.</li> </ul>					
80	Set out the arrangements to recover non-compliant funding.	150	39	Project and Programme Delivery <ul style="list-style-type: none"> <li>• Check for incidences of clawback/recovery - review/report individual events</li> </ul>	23-25	CD
<b><i>Scrutiny and Audit arrangements</i></b>						
81	Describe the agreed scrutiny and audit arrangements.	154	40	LEP decision making section <ul style="list-style-type: none"> <li>• External financial audit</li> <li>• Independent scrutiny provided by Suffolk and Norfolk County Councils</li> <li>• Annual review</li> <li>• Mid year review</li> <li>• Audit of programmes being delivered by funders</li> </ul>	9-10	CD

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<b>In addition to the information that must be contained in the Local Assurance Framework, the website must contain the following:</b>				
	<b>Requirement</b>	<b>Section</b>	<b>Page</b>	<b>Check</b>
1	The Local Assurance Framework	70.a	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a>
2	An annual financial statement.	70.b	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a>
3	The LEP annual report and delivery plan.	70.c	22	<a href="https://newanglia.co.uk/publications/">https://newanglia.co.uk/publications/</a>
4	A statement on the publication of meeting papers, minutes and agenda items.	70.d	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a> How is the LEP run section
5	Copies of the LEP Board meeting agendas, papers and minutes.	70.e	22	<a href="https://newanglia.co.uk/our-board/">https://newanglia.co.uk/our-board/</a>
6	The Annual Assurance statement from the leadership of the LEP.	70.f	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a>
7	The LEP's Code of Conduct.	70.g	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a> - How is the LEP run section
8	Board Member's registers of interest and the register of the Chief Executive Officer.	70.h	22	<a href="https://newanglia.co.uk/our-board/">https://newanglia.co.uk/our-board/</a> and <a href="https://newanglia.co.uk/our-team/">https://newanglia.co.uk/our-team/</a>
9	The LEP hospitality and expenses register.	70.i	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a> .
10	Complaints Policy	70.j	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a>
11	Whistleblowing Policy	70.k	22	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a>
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	<a href="https://newanglia.co.uk/growth-deal-projects/">https://newanglia.co.uk/growth-deal-projects/</a> and decisions log - <a href="https://newanglia.co.uk/wp-content/uploads/2018/12/NALEP-Decision-Log-@-18.12.18.pdf">https://newanglia.co.uk/wp-content/uploads/2018/12/NALEP-Decision-Log-@-18.12.18.pdf</a>
13	Key LEP Strategies	70.m	22	<a href="https://newanglia.co.uk/our-economic-strategy/">https://newanglia.co.uk/our-economic-strategy/</a> and <a href="https://newanglia.co.uk/publications/">https://newanglia.co.uk/publications/</a>
14	Information on the process for applying for funding	113	30	<a href="https://newanglia.co.uk/grants-and-support/">https://newanglia.co.uk/grants-and-support/</a>
15	SME Champion	127	33	<a href="https://newanglia.co.uk/governance-decision-making-and-fags/">https://newanglia.co.uk/governance-decision-making-and-fags/</a> 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.			