

Annex E: Local Assurance Framework Checklist

	Requirement	Further guidance can be found in section	Page	Check
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	
2	Arrangements for taking and accounting for all decisions and ways of working.	19.b	11	
3	Responsibilities of the Accountable Body.	19.c	11	
4	The arrangements to ensure value for money.	19.d	11	
5	Publish their Local Assurance Framework on their website.	20.a	11	
London				
6	Publish an agreement that sets out the working level arrangements between the London LEP & GLA.	29	12-13	
PART A: Mayoral Combined Authorities with a Single Pot that includes Local Growth Fund				
The Local Assurance Framework should outline:				
<i>Accountability and Transparent Decision Making</i>				
7	Confirm Accountable Body arrangements for funding received from Government through devolution deals.	45.a	16	
8	Confirm that the use of resources is subject to the usual Local Authority checks and balances.	45.b	16	
9	Confirm, where applicable, investment decisions using public funds will be made with reference to statutory requirements, conditions of the funding, local transport objectives and through formal LEP involvement.	45.c	16	

10	Describe the arrangements for enabling effective and meaningful engagement of local partners and the public to inform key decisions and future strategy development.	45.d	16	
11	Set out the key roles and responsibilities in decision-making.	46	16	
12	Agree and publish a joint statement with their LEP(s) which sets out their respective roles and responsibilities.	47	16	
13	Set out the means by which elected Mayors will be involved in funding allocation and decision-making.	49	17	
Part B: Local Enterprise Partnerships				
Corporate Structure for LEPs				
14	LEPs must have a legal personality.	62 - 64	20	
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	
16	Provide information on the LEPs' arrangements for ensuring value for money.	65.c (also see Part C)	20	
17	Set of the LEPs' approach to risk.	65.d 176	20 48	
18	Set out how calls for bids or projects are advertised openly and that selection criteria and selection processes are transparent.	65.e	21	
19	Ensure the transparent publication of financial information.	65.g 107-109	21 29	
20	Ensure appropriate succession planning and arrangements for resignation of Board Members.	65.i	21	
21	Implement an induction process.	65.j 81-82	21 24-25	

22	Set out the processes the LEP has put in place in regard to the handling on data.	65.m 102	21 28	
23	Provide information on LEP scrutiny arrangements.	65.o	21	
Websites				
24	Have a dedicated website.	67 - 71	21-22	
Local Engagement				
25	Set out how the LEP will conduct ongoing local engagement.	65.f	21	
26	Set out how the LEP will evidence effective engagement.	72-74	22-23	
Appointment Process for Board Members and Chairs				
27	Set out how the LEP ensures open recruitment processes.	65.h	21	
28	Set out the appointment process for Board members (Public and Private sector), Chairs and Deputy Chairs.	75-77	23	
Diversity Statements				
29	Set out the LEPs commitment to diversity, including a diversity statement.	65.l 78-79	21 23-24	
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	
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	
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	
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	
36	Have a Complaints Policy.	93-96	26-27	
37	Set out the confidential reporting arrangements.	94	26	
Whistleblowing Policy				
38	Have a Whistleblowing Policy.	97-101	27-28	

Publication of meeting and agenda items				
39	Commit to the publication of meeting agendas, papers and minutes.	103-104	28	
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	
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	
Government Branding				
42	The LEP should commit to meeting the Government branding guidelines for projects.	115	30	
Accountability and decision making				
43	Set out the LEP's structure, and decision making processes.	65.a, 117	20, 31	
44	Confirm the accountable body arrangements for funding received.	116.a.	31	
45	Confirm that public resources are managed appropriately.	116.b	31	
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	
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	
49	Roles and responsibilities of the Chair, LEP Board, Sub-boards, Accountable Body and Section 151 Officer.	118	31	
50	Membership requirements of the Board and sub-boards.	119	31	
51	Clear scheme of delegation.	119	31	

52	LEPs in MCA areas agree and publish a joint statement which sets out their respective roles and responsibilities.	120	31	
53	Specify that a decision which is made in contravention of the process will be invalid.	121	32	
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	
<i>The LEP Board</i>				
55	The LEP Board consists of at least two-thirds private sector.	125	32	
56	A LEP Board member designated as a Small and Medium Enterprise, which is published on the website.	127	33	
57	The LEP Board should have a maximum of 20 people, with the option to co-opt an additional five Board Members.	128	33	
<i>Chair and Deputy Chair</i>				
58	The LEP Chair must come from the private sector.	132	34	
59	The LEP must have a Deputy Chair.	133	34	
60	The LEP Chair and Deputy Chair have a defined term limit of three years with an optional extension of three years.	133	34	
<i>LEP Staff and Independent Secretariat</i>				
61	Outline how the independent secretariat will function.	134-135	34	
<i>LEP Network: cooperation, collaboration and partnership with other LEPs</i>				
62	Commit to working with the LEP Network.	136	35	
63	The LEP should outline the dependencies or relationships with other LEPs as appropriate.	136-137	35	
<i>The Accountable Body and Section 151 Officer</i>				
64	The LEP has a single Accountable Body.	139	35	

65	Outline the agreement between the Accountable Body and the LEP.	141	36	
Section 151 Officer Role				
66	The S151 officer should provide a letter by the 28 February each year.	145	37	
Decisions relating to LEPs awarding public funds				
67	Describe the decision making process.	147	38	
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	
69	Clear lines of accountability to the LEP Board and, where applicable, the Accountable Body.	147.b	38	
70	Describe the process for recording decisions and communicating these to the Accountable Body, CA or MCA.	147.c	38	
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	
72	A link to the current schemes of delegation.	147.e	38	
73	The person (or name of the position) responsible for providing the final sign off for funding decisions.	147.f	38	
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	
75	The process allowing decisions, by exception, to be made by the LEP Board in the absence of a formal meeting.	147.h	38	
76	A system for promptly considering complaints.	147.i	38	
77	A system showing how investment decisions must be subject to a proportionate	147.j	38	

	business case and evaluation and how decisions must be subject to scrutiny arrangements in line with the LEP processes.			
78	A statement setting out the documents which shall be made available to the LEP board in advance of making decisions which should include: <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	
79	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: <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	
80	Set out the arrangements to recover non-compliant funding.	150	39	
<i>Scrutiny and Audit arrangements</i>				
81	Describe the agreed scrutiny and audit arrangements.	154	40	

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 National Assurance Framework	70.a	22	
2	An annual financial statement.	70.b	22	
3	The LEP annual report and delivery plan.	70.c	22	
4	A statement on the publication of meeting papers, minutes and agenda items.	70.d	22	
5	Copies of the LEP Board meeting agendas, papers and minutes.	70.e	22	
6	The Annual Assurance statement from the leadership of the LEP.	70.f	22	
7	The LEP's Code of Conduct.	70.g	22	
8	Board Member's registers of interest and the register of the Chief Executive Officer.	70.h	22	
9	The LEP hospitality and expenses register.	70.i	22	
10	Complaints Policy	70.j	22	
11	Whistleblowing Policy	70.k	22	
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	
13	Key LEP documentation.	70.m	22	
14	Information on the process for applying for funding	113	30	
15	SME Champion	127	33	
16	The LEP should ensure that it uses the correct Government branding on any relevant website page. Additional guidance is provided to LEPs.			