

## Local Assurance Framework Checklist

	Requirement	Further guidance can be found in section	Page	HotSW LEP update	Page in HotSW Framework
<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.	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	Section 4.2 Page 15
4	The arrangements to ensure value for money.	19.d	11	Accountable Body and Section 151 Officer section  Appendix C: Business Case Checklist	Section 4.2 Page 15 Page 34
5	Publish their Local Assurance Framework on their website.	20.a	11	<a href="https://heartofswlep.co.uk/wp-content/uploads/2020/01/HotSW-Annual-Assurance-Framework.pdf">https://heartofswlep.co.uk/wp-content/uploads/2020/01/HotSW-Annual-Assurance-Framework.pdf</a>	Done
<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	Community Interest Company (CIC)	Section 2.2 Page 06
<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	Strategic Investment Panel section  Investment Programme section	Section 3.1.2 Page 09 Section 5 Page 19
16	Provide information on the LEPs' arrangements for ensuring value for money.	65.c (also see Part C)	20	Accountable Body and Section 151 Officer section  Appendix C: Business Case Checklist	Section 4.2 Page 15 Page 34
17	Set out the LEPs' approach to risk.	65.d 176	20 48	Risk Management section	Section 4.5 Page 19

18	Set out how calls for bids or projects are advertised openly and that selection criteria and selection processes are transparent.	65.e	21	We haven't got any funding at the moment to issue a call for.	
19	Ensure the transparent publication of financial information.	65.g 107-109	21 29	Publication of Accounts and Financial Information section	Section 3.11 Page 14
20	Ensure appropriate succession planning and arrangements for resignation of Board Members.	65.i	21	Board Member Recruitment and Succession Planning section	Section 3.2 Page 12
21	Implement an induction process.	65.j 81-82	21 24-25	Induction, Training and Development section	Section 3.5 Page 13
22	Set out the processes the LEP has put in place in regard to the handling on data.	65.m 102	21 28	Data Management, Protection and Freedom of Information Section, supported by Privacy Policy	Section 3.9 Page 13
23	Provide information on LEP scrutiny arrangements.	65.o	21	Scrutiny section	Section 4.4 Page 19
<b>Websites</b>					
24	Have a dedicated website.	67 - 71	21-22	<a href="https://heartofswlep.co.uk/">https://heartofswlep.co.uk/</a>	Yes
<b>Local Engagement</b>					
25	Set out how the LEP will conduct ongoing local engagement.	65.f	21	Stakeholder Engagement and Collaboration with Others section	Section 4.3 Page 17
26	Set out how the LEP will evidence effective engagement.	72-74	22-23	Stakeholder Engagement and Collaboration with Others section	Section 4.3 Page 17
<b>Appointment Process for Board Members and Chairs</b>					
27	Set out how the LEP ensures open recruitment processes.	65.h	21	Board Member Recruitment and Succession Planning section	Section 3.2 Page 12
28	Set out the appointment process for Board members (Public and Private sector), Chairs and Deputy Chairs.	75-77	23	Board Member Recruitment and Succession Planning section, supported by <a href="#">Articles of Association</a>	Section 3.2 Page 12
<b>Diversity Statements</b>					
29	Set out the LEPs commitment to diversity, including a diversity statement.	65.l 78-79	21 23-24	Equality and Diversity section	Section 2.3 Page 07
<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 Member Recruitment and Succession Planning section, supported by <a href="#">Travel and Subsistence Policy</a>	Section 4.2 Page 15
<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	Code of Conduct section, support by a link to the Code of Conduct policy on the website	Section 3.6 Page 13
<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	Conflicts of Interest section, supported by links to policies	Section 3.7 Page 13
<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	Complaints and Whistleblowing section, supported by link to policy	Section 3.7 Page 13
36	Have a Complaints Policy.	93-96	26-27	Complaints and Whistleblowing section, supported by link to policy	Section 3.7 Page 13
37	Set out the confidential reporting arrangements.	94	26	Complaints and Whistleblowing section, supported by link to policy	Section 3.7 Page 13
<b>Whistleblowing Policy</b>					
38	Have a Whistleblowing Policy.	97-101	27-28	Complaints and Whistleblowing section, supported by link to policy	Section 3.7 Page 13
<b>Publication of meeting and agenda items</b>					
39	Commit to the publication of meeting agendas, papers and minutes.	103-104	28	Publication of Meeting and Agenda Items section, supported by link to policy	Section 3.10 Page 14
<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	This is set out within the publication of meetings policy	Section 3.10 Page 14
<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	Procurement and Contract Management  SIP	Section 3.12 Page 14  Section 2.1.2 Page 15
<b>Government Branding</b>					
42	The LEP should commit to meeting the Government branding guidelines for projects.	115	30	Stakeholder Engagement and Collaboration with Others section	Section 4.3 Page 17
<b>Accountability and decision making</b>					
43	Set out the LEP's structure, and decision making processes.	65.a, 117	20, 31	LEP Governance section, supported by Accountability and Transparent Decision Making section	Section 3 Page 08 Section 4 Page 15
44	Confirm the accountable body arrangements for funding received.	116a.	31	Accountable Body and Section 151 Officer section	Section 4.2 Page 15
45	Confirm that public resources are managed appropriately.	116.b	31	Accountable Body and Section 151 Officer section	Section 4.2 Page 15

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	Accountability and Transparent Decision Making section	Section 4 Page 15
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	Stakeholder Engagement and Collaboration with Others section	Section 4.3 Page 17
49	Roles and responsibilities of the Chair, LEP Board, Sub-boards, Accountable Body and Section 151 Officer.	118	31	Accountability and Transparent Decision Making section	Section 4 Page 15
50	Membership requirements of the Board and sub-boards.	119	31	Board Member Recruitment and Succession Planning section, supported by <a href="#">Articles of Association</a>	Section 3.2 Page 12
51	Clear scheme of delegation.	119	31	Scheme of Delegation section	Section 4.1 Page 15
52	LEPs in MCA areas agree and publish a joint statement which sets out their respective roles and responsibilities.	120	31	N/A	
53	Specify that a decision which is made in contravention of the process will be invalid.	121	32		Section 4.2 Page 15
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	Covered in various sections including GPF and SIP sections. We haven't got any funding at the moment to issue a call for.	Section 3.1.2 Page 19  Section 5.2 Page 22
<b><i>The LEP Board</i></b>					
55	The LEP Board consists of at least two-thirds private sector.	125	32	The Board section	Section 3.1.1 Page 09
56	A LEP Board member designated as a Small and Medium Enterprise, which is published on the website.	127	33	Details can be found on the <a href="#">LEP Board</a> section of the website.	Section 3.1.1 Page 09
57	The LEP Board should have a maximum of 20 people, with the option to co-opt an additional five Board Members.	128	33	The Board section, supported by <a href="#">Articles of Association</a>	Section 3.1.1 Page 09
<b><i>Chair and Deputy Chair</i></b>					
58	The LEP Chair must come from the private sector.	132	34		
59	The LEP must have a Deputy Chair.	133	34	The Board section	Section 3.1.1 Page 09

60	The LEP Chair and Deputy Chair have a defined term limit of three years with an optional extension of three years.	133	34	Board Member Recruitment and Succession Planning section	Section 3.2 Page 12
<b>LEP Staff and Independent Secretariat</b>					
61	Outline how the independent secretariat will function.	134-135	34	LEP Staff and Independent Secretariat section	Section 3.4 Page 12
<b>LEP Network: cooperation, collaboration and partnership with other LEPs</b>					
62	Commit to working with the LEP Network.	136	35	Stakeholder Engagement and Collaboration with Others section	Section 4.3 Page 17
63	The LEP should outline the dependencies or relationships with other LEPs as appropriate.	136-137	35	Stakeholder Engagement and Collaboration with Others section	Section 4.3 Page 17
<b>The Accountable Body and Section 151 Officer</b>					
64	The LEP has a single Accountable Body.	139	35	Accountable Body and Section 151 Officer section	Section 4.2 Page 15
65	Outline the agreement between the Accountable Body and the LEP.	141	36	Accountable Body and Section 151 Officer section	Section 4.2 Page 15
<b>Section 151 Officer Role</b>					
66	The S151 officer should provide a letter by the 28 February each year.	145	37		
<b>Decisions relating to LEPs awarding public funds</b>					
67	Describe the decision making process.	147	38	Accountability and Transparent Decision Making section	Section 4 Page 15
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	Supported by the HotSW <a href="#">Code of Conduct</a>	
69	Clear lines of accountability to the LEP Board and, where applicable, the Accountable Body.	147.b	38	Accountability and Transparent Decision Making section	Section 4 Page 15
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	Strategic Investment Panel section  Finance and Resources Committee section	Section 3.1.2 Page 09 Section 3.1.3 Page 11
72	A link to the current schemes of delegation.	147.e	38	Scheme of Delegation section	Section 4.1 Page 15
73	The person (or name of the position) responsible for providing the final sign off for funding decisions.	147.f	38	Implicit within decision making sections	

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	Implicit within decision making sections	
75	The process allowing decisions, by exception, to be made by the LEP Board in the absence of a formal meeting.	147.h	38	The Board, Strategic Investment Panel and Finance and Resources Committee sections, supported by <a href="#">Articles of Association</a> (Section 17)	Section 3.1.1, 3.1.2, 3.1.3 Page 09
76	A system for promptly considering complaints.	147.i	38	Complaints and Whistleblowing section	Section 3.8 Page 13
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 line with the LEP processes.	147.j	38	Business Case Development section	Section 5.1.1 Page 20
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"> <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	Scheme of Delegation section  Local Growth Fund Governance Process Flow Charts section	Appendix A Page 24 Appendix B Page 31

79	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: <ul style="list-style-type: none"> <li>• A description of projects where concerns have been identified</li> <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>	149	39	Non-Compliance of Agreement section	Section 5.4 Page 22
80	Set out the arrangements to recover non-compliant funding.	150	39	Non-Compliance of Agreement section	Section 5.4 Page 22
<b><i>Scrutiny and Audit arrangements</i></b>					
81	Describe the agreed scrutiny and audit arrangements.	154	40	Accountable Body and Section 151 Officer section Scrutiny section	Section 4.2 Page 15 Section 4.4 Page 19

<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://heartofswlep.co.uk/policies/">https://heartofswlep.co.uk/policies/</a>
2	An annual financial statement.	70.b	22	<a href="https://heartofswlep.co.uk/about-the-lep/how-we-work/">https://heartofswlep.co.uk/about-the-lep/how-we-work/</a>
3	The LEP annual report and delivery plan.	70.c	22	<a href="https://heartofswlep.co.uk/about-the-lep/">https://heartofswlep.co.uk/about-the-lep/</a> <a href="https://heartofswlep.co.uk/about-the-lep/strategies-and-priorities/">https://heartofswlep.co.uk/about-the-lep/strategies-and-priorities/</a>
4	A statement on the publication of meeting papers, minutes and agenda items.	70.d	22	<a href="https://heartofswlep.co.uk/policies/">https://heartofswlep.co.uk/policies/</a>
5	Copies of the LEP Board meeting agendas, papers and minutes.	70.e	22	<a href="https://heartofswlep.co.uk/about-the-lep/lep-board/the-board-minutes/">https://heartofswlep.co.uk/about-the-lep/lep-board/the-board-minutes/</a>
6	The Annual Assurance statement from the leadership of the LEP.	70.f	22	<a href="https://heartofswlep.co.uk/policies/">https://heartofswlep.co.uk/policies/</a>
7	The LEP's Code of Conduct.	70.g	22	<a href="https://heartofswlep.co.uk/policies/">https://heartofswlep.co.uk/policies/</a>
8	Board Member's registers of interest and the register of the Chief Executive Officer.	70.h	22	<a href="https://heartofswlep.co.uk/about-the-lep/lep-board/">https://heartofswlep.co.uk/about-the-lep/lep-board/</a>
9	The LEP hospitality and expenses register.	70.i	22	<a href="https://heartofswlep.co.uk/policies/">https://heartofswlep.co.uk/policies/</a>
10	Complaints Policy	70.j	22	<a href="https://heartofswlep.co.uk/policies/">https://heartofswlep.co.uk/policies/</a>
11	Whistleblowing Policy	70.k	22	<a href="https://heartofswlep.co.uk/policies/">https://heartofswlep.co.uk/policies/</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://heartofswlep.co.uk/projects/">https://heartofswlep.co.uk/projects/</a> <a href="https://heartofswlep.co.uk/about-the-lep/how-we-work/">https://heartofswlep.co.uk/about-the-lep/how-we-work/</a>
13	Key LEP Strategies	70.m	22	<a href="https://heartofswlep.co.uk/about-the-lep/strategies-and-priorities/">https://heartofswlep.co.uk/about-the-lep/strategies-and-priorities/</a>
14	Information on the process for applying for funding	113	30	<a href="https://heartofswlep.co.uk/doing-business-in-our-area/funding/">https://heartofswlep.co.uk/doing-business-in-our-area/funding/</a> <a href="https://heartofswlep.co.uk/doing-business-in-our-area/funding/endorsements/">https://heartofswlep.co.uk/doing-business-in-our-area/funding/endorsements/</a>
15	SME Champion	127	33	<a href="https://heartofswlep.co.uk/about-the-lep/lep-board/">https://heartofswlep.co.uk/about-the-lep/lep-board/</a>
16	The LEP should ensure that it uses the correct Government branding on any relevant website page. Additional guidance is provided to LEPs.			