

## APPENDIX 'B'

### NATIONAL LOCAL GROWTH ASSURANCE FRAMEWORK – CHECKLIST

The National Local Growth Assurance Framework can be accessed here:

<https://www.gov.uk/government/publications/national-local-growth-assurance-framework>

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance statement
1.	A clear description of the roles and responsibilities of LEP	19.a	Page 4 – section 1.1. Background of the Assurance Framework.	Completed
2.	Arrangements for taking and accounting for all decisions and ways of working	19.b	Page 6 – Section 2 – LEP Governance and Decision Making of the Assurance Framework.	Completed
3.	Responsibilities of the Accountable Body	19.c	Page 105 – Annex 13 – Accountable Body Statement and references throughout the Framework in each section.	Completed
4.	The arrangements to ensure value for money.	19.d	Page 25 – Section 6 – Ensuring Value for Money of the Assurance Framework.	Completed
5.	Publish their Local Assurance Framework on their website.	20.a	Completed, with updated framework to be uploaded once approved the Framework can be found on the website here: <a href="http://www.lancashirelep.co.uk/about-us/policies.aspx">http://www.lancashirelep.co.uk/about-us/policies.aspx</a>	Framework is on website, new Framework to be uploaded immediately upon approval by the LEP Board on 19 <sup>th</sup> March 2019.

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
<b>Corporate Structure for LEPs</b>				
6.	LEPs must have a legal personality.	62 - 64	Completed – already set up as Private Company Limited by Guarantee . Details can be found on Companies House here: <a href="https://beta.companieshouse.gov.uk/company/07388600">https://beta.companieshouse.gov.uk/company/07388600</a>	Completed

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
<b>Local Assurance Framework &amp; Website</b> <b>The Local Assurance Framework must:</b>				
7.	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	Various sections in the Assurance Framework which is on the website – Page 22 – Section 5 – Accountable Decision Making, Page 107 – Annex 14 – Growth Deal Project Proposal Assessment Criteria and within the LEP website priorities section: <a href="http://www.lancashirelep.co.uk/lep-priorities.aspx">http://www.lancashirelep.co.uk/lep-priorities.aspx</a>	Completed
8.	Provide information on the LEPs' arrangements for ensuring value for money.	65.c (also see Part C)	Various sections of the Assurance Framework which is on the website and within the LEP website priorities section: <a href="http://www.lancashirelep.co.uk/lep-priorities.aspx">http://www.lancashirelep.co.uk/lep-priorities.aspx</a>	Completed
9.	Set of the LEPs' approach to risk.	65.d 176	Risk Management is a function monitored by the LEP Performance Committee, all papers for the Performance Committee including a Risk Register are published on the LEP website here: <a href="http://www.lancashirelep.co.uk/about-us/agendas-and-minutes.aspx">http://www.lancashirelep.co.uk/about-us/agendas-and-minutes.aspx</a> also referenced on page 29 section 6 – Ensuring Value for Money in the Assurance Framework.	Completed
10.	Set out how calls for bids or projects are advertised openly and that selection criteria and selection processes are transparent.	65.e	In the Assurance Framework – section 3.12	Completed
11.	Ensure the transparent publication of financial information.	65.g 107-109	Most recent LEP Budget papers are published with the LEP Board papers including monitoring and are available on the LEP Website here: <a href="http://www.lancashirelep.co.uk/about-us/agendas-and-minutes.aspx">http://www.lancashirelep.co.uk/about-us/agendas-and-minutes.aspx</a>	Completed
12.	Ensure appropriate succession planning and arrangements for resignation of Board Members.	65.i	Included in the Lancashire Framework on page 8 – section 2.4 Board and section 2.5 Diversity and Succession Planning	Completed
13.	Implement an induction process.	65.j 81-82	There is an induction process of Board Members, which is referred to in the latest Assurance Framework, page 8 – section 2.5 Diversity. All Board Members are provided with an induction pack and are offered a briefing with key LEP officers.	Completed

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			LEP Officers will be provided with an induction by the new Independent LEP Chief Executive.	
14.	Set out the processes the LEP has put in place in regard to the handling of data.	65.m 102	The draft Assurance Framework refers to the LEP having “established appropriate data handling procedures”. The LEP follows the Accountable Body (LCC's) policies and processes with regard to data projection and handling, and this needs to be properly referenced in the Assurance Framework.	Completed. Follows LCC arrangements, though plans to make LEP a data controller.
15.	Provide information on LEP scrutiny arrangements.	65.o	Page 12 – Section 2.15 Local Government Scrutiny Committee refers within the Assurance Framework which will enhance the scrutiny arrangements already in place – the Accountable Body regularly receives reports to its Scrutiny Committee regarding the work of the LEP.	Completed. Existing arrangements are in place and compliant with Lancashire Leaders to be approached to setup a new Joint LEP Scrutiny Committee to further enhance this area.
<b>Websites</b>				
16.	Have a dedicated website.	67 - 71	Yes, the website is available here: <a href="http://www.lancashirelep.co.uk/">http://www.lancashirelep.co.uk/</a>	Completed
<b>Local Engagement</b>				
17.	Set out how the LEP will conduct ongoing local engagement.	65.f	Provision included in page 22 - paragraph 4.12 of the Assurance Framework.	Completed
18.	Set out how the LEP will evidence effective engagement.	72-74	Provision included in page 22 - paragraph 4.12 of the Assurance Framework.	Completed
<b>Appointment Process for Board Members and Chairs</b>				
19.	Set out how the LEP ensures open recruitment processes.	65.h	Included in sections 2.4 Board and 2.5 Diversity of the Assurance Framework.	Completed
20.	Set out the appointment process for Board members (Public and Private sector), Chairs and Deputy Chairs.	75-77	New section added to the Assurance Framework – Section 2.7 Appointment Process	Completed

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
<b>Diversity Statements</b>				
21.	Set out the LEPs commitment to diversity, including a diversity statement.	65.l 78-79	Included in section 2.5 Diversity on the Assurance Framework and the Lancashire LEP adheres to the Accountable Body's Diversity Policy which can be accessed here: <a href="http://www3.lancashire.gov.uk/corporate/web/?siteid=5580&amp;pageid=33450&amp;e=e">http://www3.lancashire.gov.uk/corporate/web/?siteid=5580&amp;pageid=33450&amp;e=e</a>	Completed
<b>Board remuneration and LEP Officer salaries</b>				
22.	Set out the expenditure and/or remuneration policy for Chairs and Board Members clear on their websites.	80	There are no remuneration payments made – new section 2.8 has been added to the Assurance Framework to confirm.	Completed
<b>Code of Conduct</b>				
23.	Have a code of conduct which all Board Members and LEP Officials sign up to.	55-57 83 - 85	There is a Code of Conduct and all Board Members and LEP Officials are asked to sign up to it. Should ensure this is reviewed and keep a record. Also all LEP officers are automatically signed up to the LCC Code of Conduct as employees of the Accountable Body.	Completed
<b>Conflicts of Interest</b>				
24.	Set out how the LEP manages conflict of interest, including having a conflict of interest policy.	65.k 86 - 92	There is a conflict of interests policy set out at Annex 7 in the Assurance Framework.	Completed
<b>Complaints for Third Parties and the Public</b>				
25.	Set out the LEPs overarching approach to dealing with complaints and whistleblowing.	65.n 97-101	There is a complaints and whistleblowing policy set out at annexes 10 and 11 in the Assurance Framework and published separately on the LEP website.	Completed
26.	Have a Complaints Policy.	93-96	The Complaints policy is set out at Annex 10 in the Assurance Framework and set out on the LEP website.	Completed
27.	Set out the confidential reporting arrangements.	94	This is set out in the confidential reporting of complaints policy set out at Annex 10 in the Assurance Framework.	Completed
<b>Whistleblowing Policy</b>				

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
28.	Have a Whistleblowing Policy.	97-101	This is set out at Annex 11 in the Assurance Framework.	Completed
<b>Publication of meeting and agenda items</b>				
29.	Commit to the publication of meeting agendas, papers and minutes.	103-104	The Lancashire LEP states it confirms to national guidance in this regard and complies with the Local Government Act 1972 a statement is contained on the LEP website in the policies section here: <a href="http://www.lancashirelep.co.uk/about-us/policies.aspx">http://www.lancashirelep.co.uk/about-us/policies.aspx</a>	Completed
<b>Handling confidential and exempt information</b>				
30.	Set out the process for handling information which is not to be placed in the public domain.	105-106	The Lancashire LEP states it confirms to national guidance in this regard and complies with the Local Government Act 1972 a statement is contained on the LEP website in the policies section here: <a href="http://www.lancashirelep.co.uk/about-us/policies.aspx">http://www.lancashirelep.co.uk/about-us/policies.aspx</a>	Completed
<b>Management of Contracts</b>				
31.	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	Contained within Section 6 – Value for Money of the Assurance Framework.	Completed
<b>Government Branding</b>				
32.	The LEP should commit to meeting the Government branding guidelines for projects.	115	Government branding (Northern Powerhouse) is included on the LEP website: <a href="http://www.lancashirelep.co.uk/">http://www.lancashirelep.co.uk/</a>	Completed
<b>Accountability and decision making</b>				
33.	Set out the LEP's structure, and decision making processes.	65.a, 117	Page 38 – Annex 1 – LEP Structure Chart in the Assurance Framework with it noted that an Innovation Board shall be developed and added to the Framework structure.	Completed
34.	Confirm the accountable body arrangements for funding received.	116a.	There is an arrangement in place for the accountable body to receive and manage funding on behalf of the LEP – review to ensure wording up to date in Lancs Assurance Framework.	Arrangements in place but finalise fully when Accountable Body statement is signed.

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
35.	Confirm that public resources are managed appropriately.	116.b	Section 1.2 of the Assurance Framework refers.	Completed
36.	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	Section 5.1 of the Assurance Framework refers	Completed
37.	Describe the arrangements for enabling effective meaningful engagement of local partners and the public to inform key decision and future strategy development.	116.d	Contained in Section 3 – page 19 – Local Authority Partnership Working in the Assurance Framework.	Completed
38.	Roles and responsibilities of the Chair, LEP Board, Sub-boards, Accountable Body and Section 151 Officer.	118	The Chair has a job description currently out to advert through the open process. Details of the responsibilities of the LEP Board, Sub Boards, Accountable Body and Section 151 Officer are detailed through out the Assurance Framework.	Completed
39.	Membership requirements of the Board and sub-boards.	119	There are Terms of Reference stating the membership requirements of Committees, may need to review how membership of the LEP Board is stated to ensure this is included in the Assurance Framework.	Completed
40.	Clear scheme of delegation.	119	Included on page 26 of the Assurance Framework	Completed
41.	Specify that a decision which is made in contravention of the process will be invalid.	121	Section added to 5. Accountable Decision Making under 5.6 Financial and Legal Accountability – new section – Validation of Decision Making Process – bottom of page 27 onwards in the Assurance Framework.	Completed
42.	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	In the Assurance Framework in section 4.1	Completed

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
<b>The LEP Board</b>				
43.	The LEP Board consists of at least two-thirds private sector.	125	The LEP Board does comply as it has 5 public sector directors, 1 further education director and 13 private sector directors as set out in the Assurance Framework.	Completed
44.	A LEP Board member designated as a Small and Medium Enterprise, which is published on the website.	127	Miranda Barker is the Director designated as Small and Medium enterprise Champion, this is in the framework.	Completed
45.	The LEP Board should have a maximum of 20 people, with the option to co-opt an additional five Board Members.	128	There are currently there are 19 Directors (with a new permanent chair to be appointed making the maximum 20) plus one co-optee – Mr Tony Attard, Chairman of Marketing Lancashire	Completed
<b>Chair and Deputy Chair</b>				
46.	The LEP Chair must come from the private sector.	132	The current interim Chair, David Taylor, is from the Private Sector and the new permanent Chair will be appointed from the Private Sector.	Completed
47.	The LEP must have a Deputy Chair.	133	David Taylor is the Interim Chair and will return the this role once the permanent Chair appointment is completed.	Completed
48.	The LEP Chair and Deputy Chair have a defined term limit of three years with an optional extension of three years.	133	YES – this reference will be included in the revised Assurance Framework. See section 2.6 page 9	Completed
<b>LEP Staff and Independent Secretariat</b>				
49.	Outline how the independent secretariat will function.	134-135	Section included in draft Assurance Framework set out in the Scheme of Delegation section.	Completed
<b>LEP Network: cooperation, collaboration and partnership with other LEPs</b>				
50.	Commit to working with the LEP Network.	136	Completed, subject to review to ensure as robust as possible. – See section 2.7 of the Framework.	Completed
51.	The LEP should outline the dependencies or relationships with other LEPs as appropriate.	136-137	See section 2.3 Cross Boundary and Cross LEP Initiatives	Completed
<b>The Accountable Body and Section 151 Officer</b>				

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
52.	The LEP has a single Accountable Body.	139	Lancashire County Council is the single Accountable Body	Completed
53.	Outline the agreement between the Accountable Body and the LEP.	141	Draft Agreement added to the Assurance Framework.	Included in Assurance Framework, subject to finalisation by Accountable Body and LEP.
<b>Section 151 Officer Role</b>				
54.	The S151 officer should provide a letter by the 28 February each year.	145	This is completed each year and the letter to be submitted by 28 February 2019 was submitted prior to the deadline to ensure compliance.	Completed
<b>Decisions relating to LEPs awarding public funds</b>				
55.	Describe the decision making process.	147	Set out in section 2 – LEP Governance and Decision Making in the Assurance Framework.	Completed
56.	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	This is part of Directors legal duties to act in the best interests of the company and also set out in the Directors / Committee Members protocol found on the website: <a href="http://www.lancashirelep.co.uk/about-us/policies.aspx">http://www.lancashirelep.co.uk/about-us/policies.aspx</a>	Completed
57.	Clear lines of accountability to the LEP Board and, where applicable, the Accountable Body.	147.b	Draft Accountable Body Statement added to the Assurance Framework.	Included in Assurance Framework, subject to finalisation by Accountable Body and LEP.
58.	Describe the process for recording decisions and communicating these to the Accountable Body, CA or MCA.	147.c	The process for publication and recording of decisions made is set out in the assurance framework and are made publically available including for the Accountable Body which receives notification of all decisions taken.	Completed
59.	Information on the LEP's decision making procedures, including the arrangements for ensuring decisions are taken at meetings which are quorate.	147.d	This is clearly defined in the LEP Company Articles of Association and the Lancs Assurance Framework	Completed

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
60.	A link to the current schemes of delegation.	147.e	See page 26 – Scheme of Delegation	Completed
61.	The person (or name of the position) responsible for providing the final sign off for funding decisions.	147.f	The person responsible is the Section 151 Officer as detailed in the Scheme of Delegation section in the Assurance Framework – page 28 onwards.	Completed
62.	Describe the process by which the Accountable Body confirms receipt of the information and can report back when the direction is completed.	147.g	Contained in Validation of Decision Making Process section in the Assurance Framework – Page 28.	Completed
63.	The process allowing decisions, by exception, to be made by the LEP Board in the absence of a formal meeting.	147.h	There is a process for this defined in the Lancs Assurance Framework – the LEP Executive Committee – review to be undertaken with regard frequency of urgent decisions to ensure it is only used in exceptional , unavoidable circumstances.	Completed but under review with three options presented to the LEP Board on 19 <sup>th</sup> March 2019.
64.	A system for promptly considering complaints.	147.i	YES – there is a complaints policy that outlines the steps and system for complaints	Completed
65.	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	Growth Deal Business Case process is set out in the Assurance Framework.	Completed
66.	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> </ul>	148	Section 4.5 in the Assurance Framework refers – Growth Deal Funding wording is included. All agenda papers are cleared as necessary by the Accountable Bodies finance and legal officers.	Completed.

Ref.	Requirement	NLGAF Reference	Where the reference can be found in relation to Lancashire	Compliance Statement
	<ul style="list-style-type: none"> <li>• A recommendation about conditions which should be attached to the proposal.</li> </ul>			
67.	<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"> <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	The Lancs Assurance Framework sets out in Value for Money section this process	Completed
68.	Set out the arrangements to recover non-compliant funding.	150	The Lancs Assurance Framework sets out in Value for Money section this process	Completed
<b>Scrutiny and Audit arrangements</b>				
69.	Describe the agreed scrutiny and audit arrangements.	154	Included in Framework – section 5 Accountabl e Decision Making	Completed

In addition to the information that must be contained in the Local Assurance Framework, the website must contain the following:				
Ref	Requirement	NLGAF Reference	Current status	Compliance Statement
70.	The National Assurance Framework	70.a	There is now a link on the policy section of the LEP website	Completed
71.	An annual financial statement.	70.b	Can be found in the Annual Report on the website here <a href="http://www.lancashirelep.co.uk/about-us/about-the-lep/lep-annual-report.aspx">http://www.lancashirelep.co.uk/about-us/about-the-lep/lep-annual-report.aspx</a>	Completed
72.	The LEP annual report and delivery plan.	70.c	The latest annual report is on the website <a href="http://www.lancashirelep.co.uk/about-us/about-the-lep/lep-annual-report.aspx">http://www.lancashirelep.co.uk/about-us/about-the-lep/lep-annual-report.aspx</a>  and business plan <a href="http://www.lancashirelep.co.uk/about-us/about-the-lep/lep-business-plan.aspx">http://www.lancashirelep.co.uk/about-us/about-the-lep/lep-business-plan.aspx</a>	Completed
73.	A statement on the publication of meeting papers, minutes and agenda items.	70.d	Is on in the policy section of the website	Completed
74.	Copies of the LEP Board meeting agendas, papers and minutes.	70.e	All agendas and minutes for the LEP and all its committees are on the LEP website in accordance with Local Government Act 1972	Completed
75.	The Annual Assurance statement from the leadership of the LEP.	70.f	There is a joint assurance statement that has just been uploaded for 2019 in the policy section of the LEP website.	Completed
76.	The LEP's Code of Conduct.	70.g	There are separate codes of conduct for both officers and members in the policy section of the LEP website.	Completed

77.	Board Member's registers of interest and the register of the Chief Executive Officer.	70.h	There is a full Register of Interests – containing Directors, Committee Members, Officers and nominated Chief Executive Officer – ongoing updates taking place.	Completed
78.	The LEP hospitality and expenses register.	70.i	There is a basic hospitality policy in the Lancs Assurance Framework – this needs added to website as a separate document. There is no expenses register – this needs creating and a process agreed for monitoring and recording. The Accountable Bodies Finance Officer maintains a record of any expense claims made in a register.	Completed
79.	Complaints Policy	70.j	There is a confidential reporting of complaints policy and procedure	Completed
80.	Whistleblowing Policy	70.k	There is a whistleblowing policy both in the Framework and listed separately on the LEP website	Completed
81.	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	Growth Deal projects are published on the LEP website, other projects to be added by LEP Officers by 31 March 2019.	Growth Deal projects published, LEP Officers to ensure all other projects are published on the website by 31 March 2019.
82.	Key LEP documentation.	70.m	See policy section of LEP website	Completed
83.	Information on the process for applying for funding	113	Funding opportunities can be found on the LEP website here: <a href="http://www.lancashirelep.co.uk/the-lancashire-offer/funding-and-business-support.aspx">http://www.lancashirelep.co.uk/the-lancashire-offer/funding-and-business-support.aspx</a>	Completed
84.	SME Champion	127	This has been updated to reflect the new appointment of Miranda Barker as new Director and LEP SME Champion.	Completed