

Audit and Standards Advisory Committee

Wednesday 20 March 2019 at 6.00 pm
Boardrooms 7 & 8 - Brent Civic Centre, Engineers
Way, Wembley HA9 0FJ

Membership:

Members

David Ewart (Chair)

Councillors:

A Choudry (Vice-Chair)
Donnelly-Jackson
Kansagra
Naheerathan
Nerva

Substitute Members

Councillors:

Kabir, Lo, Long and Stephens

Councillors:

Colwill and Maurice

Independent Members

Margaret Bruce
Robert Cawley
Sheila Darr
Karen McArthur

Independent Advisor

Vacancy

For further information contact: Kunwar Khan, Governance Officer, Tel: 020 8937 2037; Email: kunwar.khan@brent.gov.uk

For electronic copies of minutes, reports and agendas, and to be alerted when the minutes of this meeting have been published visit:

www.brent.gov.uk/committees

The press and public are welcome to attend this meeting

Notes for Members - Declarations of Interest:

If a Member is aware they have a Disclosable Pecuniary Interest* in an item of business, they must declare its existence and nature at the start of the meeting or when it becomes apparent and must leave the room without participating in discussion of the item.

If a Member is aware they have a Personal Interest** in an item of business, they must declare its existence and nature at the start of the meeting or when it becomes apparent.

If the Personal Interest is also significant enough to affect your judgement of a public interest and either it affects a financial position or relates to a regulatory matter then after disclosing the interest to the meeting the Member must leave the room without participating in discussion of the item, except that they may first make representations, answer questions or give evidence relating to the matter, provided that the public are allowed to attend the meeting for those purposes.

***Disclosable Pecuniary Interests:**

- (a) **Employment, etc.** - Any employment, office, trade, profession or vocation carried on for profit gain.
- (b) **Sponsorship** - Any payment or other financial benefit in respect of expenses in carrying out duties as a member, or of election; including from a trade union.
- (c) **Contracts** - Any current contract for goods, services or works, between the Councillors or their partner (or a body in which one has a beneficial interest) and the council.
- (d) **Land** - Any beneficial interest in land which is within the council's area.
- (e) **Licences** - Any licence to occupy land in the council's area for a month or longer.
- (f) **Corporate tenancies** - Any tenancy between the council and a body in which the Councillor or their partner have a beneficial interest.
- (g) **Securities** - Any beneficial interest in securities of a body which has a place of business or land in the council's area, if the total nominal value of the securities exceeds £25,000 or one hundredth of the total issued share capital of that body or of any one class of its issued share capital.

****Personal Interests:**

The business relates to or affects:

- (a) Anybody of which you are a member or in a position of general control or management, and:
 - to which you are appointed by the council;
 - which exercises functions of a public nature;
 - which is directed is to charitable purposes;
 - whose principal purposes include the influence of public opinion or policy (including a political party or trade union).
- (b) The interests of a person from whom you have received gifts or hospitality of at least £50 as a member in the municipal year;

Or

A decision in relation to that business might reasonably be regarded as affecting the well-being or financial position of:

- You yourself;
- A member of your family or your friend or any person with whom you have a close association or any person or body who is the subject of a registrable personal interest.

Agenda

Introductions, if appropriate.

Item	Page
------	------

1	Apologies for absence and clarification of alternate members	
----------	---	--

2	Declarations of Interest	
----------	---------------------------------	--

Members are invited to declare at this stage of the meeting, the nature and existence of any relevant disclosable pecuniary or personal interests in the items on this agenda and to specify the item(s) to which they relate.

3	Deputations (if any)	
----------	-----------------------------	--

To hear any deputations received from members of the public in accordance with Standing Order 67.

4	Minutes of previous meetings	1 - 16
----------	-------------------------------------	---------------

4.1 To approve the minutes of the Audit and Standards Advisory Committee meeting held on 5 February 2019 as a correct record.

4.2 To approve the minutes of the Audit and Standards Committee meeting held on 11 December 2018 as a correct record.

5	Matters arising (if any)	
----------	---------------------------------	--

To consider any matters arising from the minutes of the previous meeting.

Standards Items

6	Annual Review of the Member Development Programme and Members' Expenses	17 - 124
----------	--	-----------------

The purpose of this report is to provide members of the Audit and Standards Advisory Committee with a summary of the Member Development Programme since last reported to Committee, and to provide information regarding the Members' Expenses Scheme.

Ward Affected:
All Wards

Contact Officer: Thomas Cattermole, Head of Executive and Member Services, 020 8937 5446, Thomas.Cattermore@brent.gov.uk

7 Annual Standards Report (including quarterly update on Gifts & Hospitality) 125 - 144

This is the Monitoring Officer's Annual Report to the Audit and Standards Advisory Committee for 2018. It provides an update on Member conduct issues, work of the Audit and Standards Advisory Committee, the Audit and Standards Committee and the Monitoring Officer during 2018 as well as the quarterly update on Gifts and Hospitality.

Ward Affected: All Wards
Contact Officer: Debra Norman, Director of Legal & HR, 020 8937 1578, Debra.Norman@brent.gov.uk

Audit Items

8 Draft Internal Audit and Investigations Annual Plan 2019/20 145 - 156

This report sets out the draft Internal Plan for 2019/20 and the basis on which the plan has been prepared. In accordance with the terms of reference for the Committee and in accordance with Standard 2000 – Managing the Internal Audit Activity as outlined within the Public Sector Internal Audit Standards, the Audit and Standards Advisory Committee is asked to review and approve the 2019/20 Internal audit plan.

Ward Affected: All Wards
Contact Officer: Michael Bradley, Head of Internal Audit, 020 8937 6526, Michael.Bradley@brent.gov.uk

9 Annual Report & Certification of Grants and Returns 2017/18 157 - 166

This report summarises the results of work carried out by KPMG on the Authority's 2017/18 grant claims and returns.

Ward Affected: All Wards
Contact Officer: Stephen Lucas, Senior Manager, KPMG LLP, 020 7311 2184, Stephan.Lucas@kpmg.co.uk

10 Review of the Use of the Regulation of Investigatory Powers Act (RIPA) Powers in 2018 167 - 204

The report explains the Council's use and conduct of covert surveillance techniques when investigating serious criminal offences relying on the powers made available to local authorities in Part II of the Regulation of Investigatory Powers Act 2000 (RIPA).

Ward Affected: All Wards
Contact Officer: Debra Norman, Director of Legal & HR Services, 020 8937 1578,

11 Corporate Risk Register Update

205 - 218

This report provides an updated Corporate Risk Register following a review of the effectiveness of the Risk Management approach and a series of workshops with departmental management teams. In accordance with the terms of reference for the Audit and Standards Advisory Committee, the report is presented to 'enable the Committee to monitor the effective development and operation of risk management and corporate governance in the Council.'

Ward Affected:
All Wards

Contact Officer: Michael Bradley, Head of
Internal Audit, 020 8937 6526,
Michael.Bradley@brent.gov.uk

12 London Counter Fraud Hub

219 - 228

This report provide a briefing to the Audit and Standards Advisory Committee on the "London Counter Fraud Hub" and asks members to note that, subject to comments made, the Council is considering entry into the contract as a Participating Authority and award of a contract to the provider of the Hub, which would be by way of the an individual Cabinet Member decision.

Ward Affected:
All Wards

Contact Officer: Conrad Hall, Chief Finance
Officer
020 8937 6528, Conrad.Hall@brent.gov.uk

13 Internal Audit External Quality Assessment update

229 - 236

This report provides an update on the external assessment of internal audit conducted during October 2018 in accordance with Standard 1312 of the UK Public Sector Internal Audit Standards (PSIAS).

Ward Affected:
All Wards

Contact Officer: Michael Bradley, Head of
Internal Audit, 020 8937 6526,
Michael.Bradley@brent.gov.uk

14 Update on Financial and Procedural Rules Governing the Mayor's Charity Appeal

237 - 245

The purpose of this report is to update the Audit and Standards Advisory Committee on the recommended changes to be made to the financial and procedural rules for governing the Mayor's Charity Appeal, prior to approval of the proposed changes by the Audit and Standards

Committee.

Ward Affected: All Wards
Contact Officer: Debra Norman, Director of Legal & HR, 020 8937 1578,
Debra.Norman@brent.gov.uk

15 Forward Plan and Agenda for the next meeting

245 - 246

To note the Committee's Forward Plan up to April 2020 and agree a draft agenda for the next meeting, which would be reviewed and finalised by the Chief Finance Officer, the Head of Audit and the Chair of the Committee one month after the date of the current meeting.

16 Any other urgent business

Notice of items to be raised under this heading must be given in writing to the Head of Executive and Member Services or his representative before the meeting in accordance with Standing Order 60.

Date of the next meeting: Wednesday 24 April 2019



- Please remember to **SWITCH OFF** your mobile phone during the meeting.
- The meeting room is accessible by lift and seats will be provided for members of the public.