

# Audit and Standards Advisory Committee

**Tuesday 7 December 2021 at 6.00 pm**

Conference Hall - Brent Civic Centre, Engineers Way, Wembley, HA9 0FJ

Please note that this meeting will be held as a socially distanced physical meeting with all Committee members required to attend in person.

Guidance on the safe delivery of face-to-face meetings is included at the end of the agenda front sheet.

**Due to current restrictions and limits on the socially distanced venue capacity, any press and public wishing to attend this meeting are encouraged to do so via the live webcast. The link to attend the meeting will be made available [here](#).**

## Membership:

### Members

David Ewart (Chair)

### Substitute Members

### Councillors:

Lo (Vice-Chair)  
Akram  
Donnelly-Jackson  
Johnson  
Kansagra  
Long  
Naheerathan

### Councillors:

Afzal, S Choudhary, Colacicco, Gbajumo, Kabir and W Mitchell Murray

### Councillors:

Colwill and Maurice

### Independent Members

Javed Ansari  
Mark Mills

### Independent Advisor

Vineeta Manchanda

**For further information contact:** Andrew Phillips, Governance Officer  
Tel: 020 8937 4219; Email: [Andrew.Phillips@brent.gov.uk](mailto:Andrew.Phillips@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](http://www.brent.gov.uk/committees)**

### **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 a 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 the previous meeting** 1 - 16

To approve the minutes of the previous meeting held on Wednesday 22 September 2021 as a correct record. (Republished to include minutes on 3 December 2021)

**5 Matters arising (if any)**

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

## Standards Items

**6 Standards Report (including Gifts and Hospitality)** 17 - 20

The purpose of this report is to update the Audit and Standards Advisory Committee on gifts and hospitality registered by Members, and the attendance record for Members in relation to mandatory training sessions.

**Ward Affected:**  
All Wards

**Contact Officer:** Debra Norman  
Director of Legal, HR, Audit & Investigations  
Tel: 020 8937 1578  
Email: [Debra.Norman@brent.gov.uk](mailto:Debra.Norman@brent.gov.uk)

Biancia Robinson  
Senior Constitutional & Governance Lawyer  
Tel: 020 8937 1544

**7 Review of the Constitutional Working Group** 21 - 28

In response to a recommendation from the Resources and Public Realm Scrutiny Committee, this report provides a review of the current role and operation of the Constitutional Working Group (CWG). It provides some information about practices elsewhere, highlights steps taken already in response to the Scrutiny Committee recommendation and proposes that a further review be undertaken following the Local Elections in May 2022.

**Ward Affected:**  
All Wards

**Contact Officer:** Debra Norman  
Director of Legal, HR, Audit & Investigations  
Tel: 020 8937 1578  
Email: [Debra.Norman@brent.gov.uk](mailto:Debra.Norman@brent.gov.uk)

**8 Review of the Financial and Procedural Rules governing the Mayor's Charity Appeal** 29 - 38

The purpose of this report is to update the Audit and Standards Advisory Committee on a recent review of the financial and procedural rules for governing the Mayor's Charity Appeal.

**Ward Affected:**  
All Wards

**Contact Officer:** Debra Norman  
Director of Legal, HR, Audit & Investigations  
Tel: 020 8937 1578  
Email: [Debra.Norman@brent.gov.uk](mailto:Debra.Norman@brent.gov.uk)

### Audit Items

**9 Cyber-Security Strategy implementation update** 39 - 84

At the last meeting of the ASAC, it was agreed that a report be brought back to the next Committee regarding the actions that the Council are taking in relation to cyber security. The report at Appendix 1 provides an update on progress in implementing the Brent and Shared Technology Service (STS) cyber security Strategies.

**Ward Affected:**  
All Wards

**Contact Officer:** Sadie East, Operational  
Director Transformation  
Tel: 020 8937 1507  
Email: [Sadie.east@brent.gov.uk](mailto:Sadie.east@brent.gov.uk)

**10 CIPFA Financial Management Code and Redman Review - Progress Report** 85 - 98

This report is to update the Committee on progress to implement the CIPFA Financial Management Code and the Redmond Review of Audit

and Transparency in Local Authority Financial Reporting.

**Ward Affected:** All Wards  
**Contact Officer:** Ravinder Jassar  
Deputy Director of Finance  
Tel: 020 8937 1487  
Email: [Ravinder.Jassar@brent.gov.uk](mailto:Ravinder.Jassar@brent.gov.uk)

**11 Treasury Management Update** (Item republished on 3 December 2021)

**11.1 Treasury Management Mid-Year Report 2021-21** 99 - 110

This report updates Members on treasury activity for the first half of the financial year 2021-22.

**11.2 Treasury Management Strategy** 111 - 134

This report presents the draft Treasury Management Strategy (TMS) for 2022/23 for consideration by the Committee. The final version of the TMS incorporating the views of this Committee will be included in the annual budget setting report to be presented to Cabinet on 7 February 2022.

**Ward Affected:** All Wards  
**Contact Officer:** Amanda Healy  
Head of Finance  
Tel: 020 8937 5912  
Email: [Amanda.Healy@brent.gov.uk](mailto:Amanda.Healy@brent.gov.uk)

**12 Internal Audit Charter** 135 - 154

This report sets out the revised Internal Audit Charter, which has been appended to the report for consideration and approval.

**Ward Affected:** All Wards  
**Contact Officer:** Darren Armstrong  
Head of Audit & Investigations  
Tel: 020 8937 1751  
Email: [Darren.Armstrong@brent.gov.uk](mailto:Darren.Armstrong@brent.gov.uk)

**13 External Audit Progress Report** 155 - 174

This paper provides the Audit and Standards Advisory Committee with a report on Grant Thornton's progress in delivering their responsibilities as external auditors.

**Ward Affected:** All Wards  
**Contact Officer:** Sophia Brown  
Senior Audit Manager, Grant Thornton  
Tel: 020 7728 3179  
Email: [Sophia.y.brown@uk.gt.com](mailto:Sophia.y.brown@uk.gt.com)

## 14 Forward Plan and Agenda for the next meeting

175 - 176

To note the Committee's Forward Plan & Work Programme for 2021/22.

## 15 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: Monday 31 January 2022**

### **Guidance on the delivery of safe meetings at The Drum, Brent Civic Centre**

- We have revised the capacities and floor plans for event spaces to ensure they are Covid-19 compliant and meet the current social distancing guidelines.
- Attendees will need to maintain the necessary social distancing at all times.
- Signage and reminders, including floor markers for social distancing and one-way flow systems are present throughout The Drum and need to be followed.
- Please note the Civic Centre visitor lifts will have reduced capacity to help with social distancing.
- The use of face coverings is encouraged with hand sanitiser dispensers located at the main entrance to The Drum and within each meeting room.
- Those attending meetings are asked to scan the coronavirus NHS QR code for The Drum upon entry. Posters of the QR code are located in front of the main Drum entrance and outside each boardroom.
- Although not required, should anyone attending wish to do book a lateral flow test in advance these are also available at the Civic Centre and can be booked via the following link: <https://www.brent.gov.uk/your-community/coronavirus/covid-19-testing/if-you-dont-have-symptoms/>