



GUILDFORD  
BOROUGH

**James Whiteman**  
Managing Director

[www.guildford.gov.uk](http://www.guildford.gov.uk)

Dear Councillor

**CORPORATE GOVERNANCE AND STANDARDS COMMITTEE - WEDNESDAY, 15TH  
JANUARY, 2020**

Please find attached the following:

**Supplementary Information Sheet (Pages 1 - 2)**

Yours sincerely

John Armstrong,  
Democratic Services and Elections Manager  
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# CORPORATE GOVERNANCE AND STANDARDS COMMITTEE

15 JANUARY 2020

## SUPPLEMENTARY INFORMATION

### AGENDA ITEM 4 – ANNUAL REPORT OF THE MONITORING OFFICER REGARDING MISCONDUCT ALLEGATIONS

To assist the Committee with some comparative information, the relevant statistics in relation to complaints against councillors for 2018 were as follows:

A total of 16 complaints were received. Of these, 7 complaints were regarding parish councillors and 9 were regarding borough councillors.

**Action taken.** Thirteen of the complaints were the subject of no further action at stage 1, the initial jurisdiction test. Two of the complaints proceeded to stage 2, and one proceeded to stage 3, investigation– after which no further action was taken.

In relation to the 8 complaints received in 2019:

- 3 were against one particular member
- 2 were against one particular member
- 3 were against other members

### AGENDA ITEM 6 – CAPITAL AND INVESTMENT STRATEGY (2020-21 TO 2024-25)

#### Correction:

The small table in paragraph 5.6 showing the budget for Minimum Revenue Provision for 2020-21 and future years (page 37), should read:

2020-21	£1.639 million
2021-22	£2.121 million
2022-23	£2.998 million

#### Joint Executive Advisory Board (JEAB)

The JEAB, as in previous years, was invited to consider this report at its meeting on 9 January 2020. Specifically, the JEAB reviewed the new capital bids included within the report, and to make any comments to the Executive. The role of the Corporate Governance and Standards Committee is to review the Treasury Management related information within the Capital and Investment Strategy, rather than the detailed bids.

Having discussed the Capital and Investment Strategy and the General Fund Capital Programme Bids and received responses to related questions, the Joint EAB indicated its support for the Strategy and Bids and commended the recommendations in the report to the Executive and Council.

### AGENDA ITEM 8 – SUMMARY OF INTERNAL AUDIT REPORTS

#### **Audit Plan and Performance**

We always base the audit plan on risk assessments in line with best practice. We aim to audit the majority of services at least once every three years and we update the risk

assessment after each audit. The planning process is an assessment of the areas of risk, local knowledge and the resources available.

The planning process includes:

1. identifying the 'audit universe' (all of the areas that require audit attention)
2. carrying out a risk assessment to identify the level of risk and the appropriate frequency of audit
3. an estimate of the resources required to carry out the audits
4. reviewing how we resource the plan

The audit plan includes a certain amount of contingency to allow for unplanned work, but actual requirements may vary from year to year. We base the planned figure on records from previous years, but it can only ever be an estimate.

The aim of the audit plan is to cover areas that support the Council's strategic priorities, governance issues and financial probity. We also have to reflect the current changes and major projects within the Council. These changes bring both opportunities and challenges for us. Audit skills are relevant to many of the new initiatives across the Council and we have become involved in fundamental service reviews and the Future Guildford project, which are part of the overall corporate business improvement programme. While this is not traditional audit work it affords an in-depth knowledge of the services that a purely systems audit would not always provide and is therefore an important source of information about the Council. This information feeds into the risk assessments.

The audit plan for 2019-20 is closely aligned with the Future Guildford Project. The theme in carrying out the audit work this year was to assess how we are managing and monitoring service performance, how we measure success and how we introduce transparency and accountability into the process. This is very much part of the Future Guildford project and going forward into 2020-21 we will include a standing item in all audit reviews on the performance and outcomes against the key corporate and service performance indicators.