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Contact Officer:

John Armstrong,
Democratic Services and Elections Manager
Tel: 01483 444102

16 September 2020

Dear Councillor

Your attendance is requested at a meeting of the **CORPORATE GOVERNANCE AND STANDARDS COMMITTEE** to be held via Microsoft Teams on **THURSDAY, 24 SEPTEMBER 2020 at 7.00 pm.**

Yours faithfully

James Whiteman
Managing Director

MEMBERS OF THE COMMITTEE:

Chairman: Councillor Nigel Manning
Vice-Chairman: Councillor Deborah Seabrook

Councillor Liz Hogger	+Maria Angel MBE
Councillor Ramsey Nagaty	+Murray Litvak
Councillor George Potter	^Julia Osborn
Councillor John Redpath	^Ian Symes
Councillor James Walsh	^Tim Wolfenden

+Independent member

^ Parish member

Authorised Substitute Members:

Councillor Jon Askew	Councillor Masuk Miah
Councillor Ruth Brothwell	Councillor Marsha Moseley
Councillor Colin Cross	Councillor Susan Parker
Councillor Andrew Gomm	Councillor Jo Randall
Councillor Angela Gunning	Councillor Tony Rooth
Councillor Tom Hunt	Councillor Catherine Young

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QUORUM 3



THE COUNCIL'S STRATEGIC FRAMEWORK

Vision – for the borough

For Guildford to be a town and rural borough that is the most desirable place to live, work and visit in South East England. A centre for education, healthcare, innovative cutting-edge businesses, high quality retail and wellbeing. A county town set in a vibrant rural environment, which balances the needs of urban and rural communities alike. Known for our outstanding urban planning and design, and with infrastructure that will properly cope with our needs.

Three fundamental themes and nine strategic priorities that support our vision:

- | | |
|---------------------|--|
| Place-making | Delivering the Guildford Borough Local Plan and providing the range of housing that people need, particularly affordable homes |
| | Making travel in Guildford and across the borough easier |
| | Regenerating and improving Guildford town centre and other urban areas |
| Community | Supporting older, more vulnerable and less advantaged people in our community |
| | Protecting our environment |
| | Enhancing sporting, cultural, community, and recreational facilities |
| Innovation | Encouraging sustainable and proportionate economic growth to help provide the prosperity and employment that people need |
| | Creating smart places infrastructure across Guildford |
| | Using innovation, technology and new ways of working to improve value for money and efficiency in Council services |

Values for our residents

- We will strive to be the best Council.
- We will deliver quality and value for money services.
- We will help the vulnerable members of our community.
- We will be open and accountable.
- We will deliver improvements and enable change across the borough.

AGENDA

ITEM

1 APOLOGIES FOR ABSENCE AND NOTIFICATION OF SUBSTITUTE MEMBERS

2 LOCAL CODE OF CONDUCT - DISCLOSURE OF INTERESTS

In accordance with the local Code of Conduct, a councillor is required to disclose at the meeting any disclosable pecuniary interest (DPI) that they may have in respect of any matter for consideration on this agenda. Any councillor with a DPI must not participate in any discussion or vote regarding that matter and they must also withdraw from the meeting immediately before consideration of the matter.

If that DPI has not been registered, you must notify the Monitoring Officer of the details of the DPI within 28 days of the date of the meeting.

Councillors are further invited to disclose any non-pecuniary interest which may be relevant to any matter on this agenda, in the interests of transparency, and to confirm that it will not affect their objectivity in relation to that matter.

3 MINUTES (Pages 5 - 14)

To confirm the minutes of the meeting of the Corporate Governance and Standards Committee held on 30 July 2020.

4 DATA PROTECTION AND INFORMATION SECURITY UPDATE REPORT (Pages 15 - 18)

5 FINANCIAL MONITORING 2020-21 PERIOD 4 (APRIL TO JULY 2020) (Pages 19 - 86)

6 REVIEW OF EXECUTIVE ADVISORY BOARDS (Pages 87 - 114)

7 REVIEW OF PROTOCOL ON COUNCILLOR / OFFICER RELATIONS (Pages 115 - 134)

8 ANNUAL REPORT ON COUNCILLOR TRAINING AND DEVELOPMENT (Pages 135 - 148)

9 WORK PROGRAMME (Pages 149 - 156)

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CORPORATE GOVERNANCE AND STANDARDS COMMITTEE

30 July 2020

- * Councillor Nigel Manning (Chairman)
- * Councillor Deborah Seabrook (Vice-Chairman)

- * Councillor Liz Hogger
- * Councillor Ramsey Nagaty
- * Councillor George Potter
- * Councillor John Redpath
- * Councillor James Walsh

Independent Members:

- *Mrs Maria Angel MBE
- *Mr Murray Litvak

Parish Members:

- Ms Julia Osborn
- Mr Ian Symes
- *Mr Tim Wolfenden

*Present

The Leader of the Council, Councillor Caroline Reeves, the Deputy Leader of the Council, Councillor Joss Bigmore, the Lead Councillor for Resources, Councillor Tim Anderson, and Councillor Paul Spooner were also in attendance.

CGS11 APOLOGIES FOR ABSENCE AND NOTIFICATION OF SUBSTITUTE MEMBERS

Apologies for absence were received from Julia Osborn (parish member).

CGS12 LOCAL CODE OF CONDUCT - DISCLOSURE OF INTERESTS

There were no disclosures of interest.

CGS13 MINUTES

The Committee confirmed as a correct record the minutes of the meeting held on 18 June 2020. The Chairman would sign the minutes at the earliest opportunity.

CGS14 CAPITAL AND INVESTMENT OUTTURN REPORT 2019-20

The Committee considered the Capital and Investment Outturn Report for 2019-20, which had included:

- a summary of the economic factors affecting the approved strategy and counterparty update
- a summary of the approved strategy for 2019-20
- a summary of the treasury management activity for 2019-20
- details of compliance with the treasury and prudential indicators
- non-treasury investments
- capital programme
- risks and performance
- Minimum Revenue Provision (MRP)
- details of external service providers
- details of training

The Committee was informed that total expenditure on the General Fund capital programme in 2019-20 had been £48.1 million, which was less than the budget by £38.7 million. Details of the revised estimate and actual expenditure in the year for each scheme were set out in

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Appendix 3 to the report. Although the budget for Minimum Revenue Provision (MRP) had been £1.02 million, the outturn had been £926,639, due to slippage in the capital programme in 2018-19.

Councillors noted that the Council's investment property portfolio stood at £153 million as at 31 March 2020. Rental income had been £8.4 million, and income return was 6% against the benchmark of 4.7%.

The Council's cash balances had built up over a number of years, and reflected the strong balance sheet, with considerable revenue and capital reserves. Officers carried out the treasury function within the parameters set by the Council each year in the Capital and Investment Strategy. As at 31 March 2020, the Council held £107.6 million in investments, £44 million of short-term borrowing and £192 million of long-term borrowing, resulting in net debt of £129 million.

The report confirmed that the Council had complied with its prudential indicators, treasury management policy statement, and treasury management practices for 2019-20.

The Committee noted that the slippage in the capital programme had resulted in a lower Capital Financing Requirement than estimated. Interest paid on debt had been lower than budget, due to less long-term borrowing taken out on the General Fund because of slippage in the capital programme.

The yield returned on investments had been lower than estimated, but the interest received had been higher due to more cash being available to invest in the year – a direct result of the capital programme slippage.

Officers had been reporting higher interest receivable and payable and a lower charge for MRP during the year as part of the budget monitoring when reported to councillors during the year.

The report had also set out detailed information on the return on investments, and interest paid on external debt.

During the debate, the following queries were raised:

- a) In relation to performance of investment property, what percentage of rent roll was received for the March quarter day?
- b) In the table in paragraph 3.11 of Appendix 1 to the report on page 35 showing General Fund items of capital expenditure, there appeared to be an error in respect of the variance in respect of the Rodboro through road scheme, which was shown as 0 in the table.
- c) In the same table, an explanation was requested as to the reason for the 50% overspend on Strategic property.
- d) In the same table, it was clarified that the £4.4 million variance in respect of the Weyside Urban Village project related to actual expenditure against the original budget, which did not take account of a subsequent revised budget.
- e) The projected rental income on investment property for 2020-21 was approximately £7.5 million.

In relation to a) to c) above, Officers would circulate a response to each of these queries following the meeting.

The Committee also noted the following additional points:

- Whilst the Council investments generally included commercial property, there was a prudent diversity in investments in order to spread the risk.
- The Council's property investments in CCLA totalling £6.5 million related to retail and offices, but mainly industrial property across the country.
- Given that demand in the local office market was generally for smaller space, and in view of the costs associated with dividing large office buildings into smaller lettable units, it was

confirmed that there were no plans to divide the Council's remaining office properties. It was also understood that any that might require revised layouts in the future would not be too expensive to divide.

The Committee, having noted the various corrections on the Supplementary Information Sheet and that the outturn report would also be considered by the Executive at its meeting on 22 September 2020, and by full Council on 6 October 2020

RESOLVED: That, subject to the comments referred to above, the report be commended to the Executive.

Reason:

To comply with the Council's treasury management policy statement, the Chartered Institute of Public Finance and Accountancy (CIPFA) Code of Practice on treasury management and the CIPFA Prudential Code for Capital Finance in Local Authorities.

CGS15 GENERAL FUND REVENUE OUTTURN REPORT 2019-20

The Committee received a report setting out the final position on the General Fund and the Collection Fund revenue accounts, for the 2019-20 financial year.

Overall, the outturn on the General Fund had been £331,208 less than originally budgeted, which reflected the Council's continued sound financial management. The report had set out the major reasons for the variance.

Net income from interest receipts had been £1.194 million more than estimated and the minimum revenue provision (MRP) for debt repayment had been £39,640 lower than estimated.

In accordance with the authority delegated to the Chief Finance Officer, in consultation with the Leader of the Council and the Lead Councillor for Resources, the underspent balance had been used to make a transfer to the Invest to Save Reserve to support the transformation agenda.

Details of the closing balance on all the Council reserves were set out in the report, together with the ongoing policy for each.

The Committee noted that the Business Rates balance on the Collection Fund was particularly susceptible to movements in the number and value of appeals that businesses had made against their rateable values. The Council had no control over these appeals and had limited information from the Valuation Office to help assess the potential impact.

The Committee was advised that there was an overall deficit on the Collection Fund of £1.6 million.

The outturn position would be included in the Statement of Accounts to be signed by the Chief Finance Officer on or before 31 August 2020 which would be subsequently audited by the Council's external auditor, Grant Thornton. The Committee would review the audited accounts at its meeting on 19 November 2020.

Having noted the corrections on the Supplementary Information Sheet, and that this matter would be considered by the Executive at its meeting on 22 September 2020, the Committee

RESOLVED: That the report be commended to the Executive.

Reasons:

- To note the final outturn position and delegated decisions taken by the Chief Finance Officer, which have been included within the statutory accounts the Chief Finance Officer signed at the end of May.

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- To facilitate the on-going financial management of the Council.

CGS16 HOUSING REVENUE ACCOUNT FINAL ACCOUNTS 2019-20

The Committee received a report setting out the final position on the Housing Revenue Account (HRA) for the 2019-20 financial year. The HRA recorded all the income and expenditure associated with the provision and management of Council owned residential dwellings in the Borough.

This report sets out the actual level of revenue spending on day-to-day services provided to tenants recorded in the HRA in 2019-20.

Rental income from dwellings had been £165,000 (0.55%) below the estimate. The actual net cost of revenue services in 2019-20 had been £432,916 higher than the budget of £15,809,270. This variation represented 2.73% of the total turnover of £32.37 million. The final outturn (subject to audit) had shown a surplus for the year of £10.3 million, compared to a budgeted surplus of £10.93 million. The HRA working balance at year-end remained at £2.5 million.

In accordance with the authority delegated to the Chief Finance Officer, in consultation with the Lead Councillors with responsibility for Housing and Finance, the surplus had been used to make a transfer of £2.5 million to the reserve for future capital programmes, with the balance of £7.8 million being transferred to the new build reserve.

This continued the policy adopted in previous years, whereby the year-end surplus was applied to each of the above two reserves.

During the debate, the Committee noted that there were approximately 5,200 properties held in the HRA, and although 19 had been sold under the Right to Buy during the year, the Council was adding to the stock with its new build programme.

Having noted that this matter would be considered by the Executive at its meeting on 22 September 2020, the Committee

RESOLVED: That the report be commended to the Executive.

Reason:

To allow the Statutory Statement of Accounts to be finalised and subject to external audit, prior to approval by the Corporate Governance and Standards Committee, on behalf of the Council.

CGS17 FINANCIAL MONITORING 2020-21 (APRIL-MAY 2020)

The Committee considered a report that set out the financial monitoring position for period April to May 2020.

The report summarised the projected outturn position for the Council's general fund revenue account, based on actual and accrued data for this period. Officers were projecting an increase in net expenditure on the general fund revenue account of £9,158,977. The main reason for such a large increase was due to the impact of Covid-19.

Covid-19 had impacted on the Council in several ways including the inability to maintain income levels at those budgeted for in February 2020. The direct expenditure incurred by the Council in the current financial year stood at £514,913 (£250,769 in 2019-20) with support from the Government of £1,954,748. The Government support received was to cover both the direct and indirect costs of the Covid-19 pandemic.

The indirect costs of Covid-19 were reflected in the services forecasting. As the pandemic continued estimates for losses in income and increased costs had been made with the best information available, which were subject to change as the year progressed.

The Council, at its meeting on 5 May 2020, approved an emergency budget to deal with the impact of Covid-19 should government support fall short of the final costs of the pandemic. Government had since announced further support for local authorities and figures would be updated to reflect this support once the detail had been received.

There had been a reduction of £351,107 in the statutory Minimum Revenue Provision (MRP) charge to the general fund to make provision for the repayment of past capital debt reflecting a re-profiling of capital schemes.

A surplus on the Housing Revenue Account would enable a projected transfer of £8.53 million to the new build reserve and £2.5 million to the reserve for future capital at year-end. The transfer was projected to be £97,384 higher than budgeted assumption and reflects modest variations in repair and maintenance expenditure and staffing costs.

Officers were making progress against a number of major capital projects on the approved programme as outlined in section 7 of the report. The Council was expected to spend £138.151 million on its capital schemes by the end of the financial year. The expenditure was higher than it had been for many years and demonstrated progress in delivering the Council's capital programme.

The Council's underlying need to borrow to finance the capital programme was expected to be £118.463 million by 31 March 2021, against an estimated position of £125.956 million, which was due to slippage on both the approved and provisional capital programme, as detailed in the report.

The Council held £118.8 million of investments and £238.9 million of external borrowing as at 31 May 2020, which included £192.8 million of HRA loans. Officers confirmed that the Council had complied with its Prudential indicators in the period, which had been set in February 2020 as part of the Council's Capital Strategy.

Comments from the Committee raised the following points:

- During the Covid-19 crisis, the Council had provided operator support to Freedom Leisure as Spectrum had to close all of its facilities with a resulting loss of all income. Spectrum was due to reopen on 1 August 2020, albeit with a very limited leisure provision due to the need to continue with social distancing measures. This would mean that the Council would need to continue providing operator support, provisionally until October 2020 and possibly into 2021. In addition, the Council had waived the management fee that it would normally receive from the contractor. The overall cost to the Council had been approximately £365,000 for each month that Spectrum had been closed.
- In relation to G Live, it was noted that the Council had continued to pay HQ Theatres its management fee and a small additional monthly payment of approximately £21,000 to help support them through the Covid crisis.
- In relation to the Yvonne Arnaud Theatre, the Council had continued to support the Trust with an annual revenue grant and had deferred payment of ground rent for the Theatre and Mill Studio.

Having considered the report, the Committee

RESOLVED: That the results of the Council's financial monitoring for the period April to May 2020 be noted.

Reason:

To allow the Committee to undertake its role in relation to scrutinising the Council's finances.

CGS18 REVIEW OF VARIOUS CORPORATE GOVERNANCE RELATED MATTERS

Arising from a number of concerns raised by councillors since the 2019 elections in relation to ethical standards, communications, and transparency, the Committee at its meeting in November 2019 established a cross-party task group, including a co-opted parish representative and an independent member of this Committee, with a wide remit to consider, review and make recommendations in respect of these matters.

The Committee considered a report on the review by the Task Group, including its recommendations, of:

- (a) the Councillors' Code of Conduct, including the policy on acceptance of gifts and hospitality by councillors;
- (b) the 15 Best Practice recommendations of the Committee on Standards in Public Life (CSPL) contained within its Report on *Local Government Ethical Standards* (January 2019); and
- (c) the Council's guidance on the use of social media by councillors;

In reviewing the Code, the Task Group considered those Best Practice Recommendations suggested by the CSPL (nos.1 to 5), which were directly relevant to codes of conduct, notably Recommendation 1:

"Local authorities should include prohibitions on bullying and harassment in codes of conduct. These should include a definition of bullying and harassment, supplemented with a list of examples of the sort of behaviour covered by such a definition".

In addition, following research by officers, the Task Group reviewed examples of other councils' codes of conduct particularly in respect of matters covered by other codes which were not currently included in Guildford's.

In considering the revised Code, the Task Group has tried to avoid being overly prescriptive. The CSPL in its report acknowledges that codes of conduct "cannot be written to cover every eventuality and attempts to do so may actually make codes less effective. They should therefore not be 'legalistic' in tone, or overly technical in style." However, the Task Group were also keen to encourage robust challenge from councillors provided always that, in so doing, they conduct themselves in a respectful manner.

Following consideration of proposed revisions to the Code of Conduct, which now include:

- a definition of "bullying" and "harassment" and examples of behaviour covered by such definitions,
- a new requirement for councillors to register and declare non-pecuniary interests, and
- revisions to the section of the Code dealing with Gifts and Hospitality

the Task Group agreed to consult all borough councillors and all parish councils on the proposed revisions. The consultation took place from 5 March to 31 May 2020. Summaries of the responses received from councillors and parish councils were appended to the report.

The Task Group met on 24 June 2020 to consider the responses and made further revisions to the Code. A copy of the revised draft Code of Conduct, as now proposed by the task group, was also appended to the report.

In reviewing the Social Media Guidance for Councillors, the Task Group had noted that the increasing prevalence of social media in our personal and professional lives, whilst hugely beneficial on the one hand by enabling instant engagement and communication (and re-

communication) of information and opinion, could also, if used improperly by councillors, lead to Code of Conduct complaints.

As the Council first introduced guidance on the use of social media by councillors in 2014, the opportunity had been taken to review the guidance in light of changing social media trends and increasing usage.

The revised version of the guidance, as recommended by the Task Group was also appended to the report.

The Task Group had also considered each of the 15 Best Practice Recommendations proposed by the CSPL. This included an assessment of the extent to which the Council currently complied with the recommendations and commentary on actions the Council could take to ensure future compliance. As some of the Best Practice Recommendations were directly relevant to parish councils, the Task Group agreed to consult all parish councils in that regard as part of its consultation on the proposed revisions to the Code of Conduct.

Having considered the Task Group's recommendations, the Committee

RESOLVED:

- (1) That the Council, at its meeting on 6 October 2020, be requested to adopt the following recommendations:
 - (i) That the draft revised Councillors' Code of Conduct, as set out in Appendix 3 to the report submitted to the Committee, be adopted and implemented with immediate effect (CSPL Best Practice Recommendations 1 and 2 refer).
 - (ii) That parish councils in the borough be invited to consider adopting at the earliest opportunity the revised Code of Conduct set out in Appendix 3, with such modifications as they deem necessary.
 - (iii) That the Monitoring Officer be authorised to prepare, maintain and make available for inspection at the Council's offices and online a revised register of councillors' interests to comply with the requirements of the Localism Act 2011 and of the Council's revised code of conduct.
 - (iv) That the Council agrees that the code of conduct should normally be reviewed every four years during the year following the Borough Council Elections, with any such review involving formal consultation with parish councils within the borough (CSPL Best Practice Recommendation 3 refers).
 - (v) That the Council's Arrangements for Dealing with Allegations of Misconduct by Councillors ("the Arrangements") be amended as follows:
 - (a) paragraph 7.3 (g) iii) to read: "Whether the complaint appears to be *trivial*, malicious, vexatious, politically motivated or 'tit-for-tat'";
 - (b) paragraph 7.4 (6) to read: "The complaint appears to be *trivial*, malicious, vexatious, politically motivated or 'tit-for-tat'";
 - (c) paragraph 7.10 to read: "The decision of the Monitoring Officer, or Assessment Sub-Committee (as the case may be) shall be recorded in writing, and a decision notice will be sent to the Complainant and the Subject Member within 10 working days of the decision. *The Independent Person shall be given the option to review and comment on allegations which the Monitoring Officer (or Assessment Sub-Committee) is minded to dismiss as being without merit, vexatious, or trivial.* The decision notice will summarise the allegation, give the decision of the Monitoring

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Officer or Assessment Sub-Committee, and the reasons for their decision. There is no right of appeal against the decision of the Monitoring Officer or Assessment Sub-Committee.”; and

- (d) Substitute the following in place of paragraph 31 of Appendix 3 to the Arrangements (Procedure and Powers of the Corporate Governance and Standards Committee and Hearings Sub-Committee): “*The Monitoring Officer will also arrange for a decision notice to be published as soon as possible on the Council’s website, including a brief statement of facts, the provisions of the code engaged by the allegations, the view of the Independent Person, the reasoning of the decision-maker, and any sanction applied..*”

(CSPL Best Practice Recommendations 2, 8, and 9 refer).

- (vi) That no change be made to the Arrangements in respect of CSPL Best Practice Recommendation 6: that councils should publish a clear and straightforward public interest test against which allegations are filtered.
- (vii) That the Council notes that the role of the Monitoring Officer includes providing advice, support and management of investigations and adjudications on alleged breaches to parish councils within the remit of the principal authority, and agrees that the Monitoring Officer should be provided with adequate training, corporate support and resources to undertake this work (CSPL Best Practice Recommendation 12 refers).
- (2) That the Executive, at its meeting on 22 September 2020, be requested to adopt the following recommendations:
- (i) That the draft revised Social Media Guidance for Councillors, as set out in Appendix 4 to the report submitted to the Committee, be adopted.
- (ii) That the Council should report on separate bodies it sets up or which it owns (e.g. Guildford Borough Council Holdings Limited and North Downs Housing Limited) as part of the annual governance statement, and that such bodies should abide by the Nolan principle of openness and publish their board agendas and minutes and annual reports in an accessible place (CSPL Best Practice Recommendation 14 refers).
- (3) That the Council’s code of conduct be readily accessible to both councillors and the public in a more prominent position on the Council’s website and available for inspection at the Council offices (CSPL Best Practice Recommendation 4 refers).
- (4) That, notwithstanding the duty of all councillors to ensure that their register of interests (including gifts and hospitality) is kept up to date, the Democratic Services and Elections Manager be requested to prompt councillors to review their register of interests on a quarterly basis (CSPL Best Practice Recommendation 5 refers).
- (5) That the Committee notes that, by having a shared pool of seven Independent Persons jointly appointed by Guildford and six other Surrey councils for the four-year period 2019-23, the Council complies fully with CSPL Best Practice Recommendation 7: Local authorities should have access to at least two Independent Persons.
- (6) That the Monitoring Officer be requested to provide an indicative estimate of timescales for investigations and outcomes within the guidance on the Council’s website in respect of making a complaint under the Councillors’ Code of Conduct (CSPL Best Practice Recommendation 10 refers).
- (7) That the Committee agrees that CSPL Best Practice Recommendation 11: “Formal standards complaints about the conduct of a parish councillor towards a clerk should be made by the chair or by the parish council as a whole, rather than the clerk in all but

exceptional circumstances” is a matter for individual parish councils, but that there should be no impediment for a clerk to make a formal complaint about the conduct of a parish councillor.

- (8) That should there be the need for assistance to a Parish Council in dealing with a conduct issue on the part of the Clerk, the Monitoring Officer could assist in this regard by offering advice, support, and guidance.
- (9) That the Councillor Development Steering Group be requested to look at extending training opportunities to parish councils wherever possible and encouraging parish councillors’ attendance at any such opportunities in the future.
- (10) That the Committee notes that by having procedures already in place in the Council’s Arrangements to address any conflicts of interest that might arise when undertaking a standards investigation, the Council complies fully with CSPL Best Practice Recommendation 13.
- (11) That the Committee notes that by having frequent meetings with political group leaders where the Managing Director is able to discuss various matters including, where necessary, ethical standards issues, the Council complies fully with CSPL Best Practice Recommendation 15.

Reasons:

- To address various corporate governance and ethical standards related concerns raised by councillors.
- To address the 15 Best Practice Recommendations of the Committee on Standards in public Life in their report *Local Government Ethical Standards (January 2019)*

CGS19 WORK PROGRAMME

The Committee considered its updated 12 month rolling work programme and

RESOLVED: That the updated 12 month rolling work programme, as set out in Appendix 1 to the report submitted to the Committee, be approved, subject to

- (i) the decision to be taken in respect of the item listed as “the Council’s Constitution for consideration on 19 November 2020, to read:

“To review and update Procurement Procedure Rules and ~~Financial Procedure Rules~~”

- (ii) the addition of the following items to the list of matters for consideration on 25 March 2021:

Subject	Details of decision to be taken
The Council’s Constitution	To review and update Financial Procedure Rules
Planning Appeals	To monitor the Council’s performance at appeals against refusal of planning permission by the Planning Committee (both in respect of officer recommendations for refusal and Committee overturns) including, where appeals are upheld, details of costs awarded against the Council and other associated legal/external adviser costs.

Reason:

To allow the Committee to maintain and update its work programme.

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The meeting finished at 8.15 pm

Signed

Chairman

Date

Corporate Governance and Standards Committee Report

Ward(s) affected: n/a

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Lead Councillor responsible: Caroline Reeves

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Date: 24 September 2020

Data Protection and Information Security Update Report

Executive Summary

The transactions and interactions customers, residents and staff make with the Council often involves the sharing of personal data, for example in relation to council tax accounts, housing agreements, employment contracts.

It is therefore vitally important that this data is used only in ways reasonably expected, and that it stays safe. Similarly, the secure collection, storage and transfer must be executed with regard to sound cybersecurity practices.

Recommendation to Committee

To note this report.

Is the report (or part of it) exempt from publication? No

1. Background

1.1 It is now over two years since the General Data Protection Regulation (GDPR) came into force. A number of positive advances have taken place within the Council since then.

1.2 This report provides an update on developments in data protection and information security within the Council since the last report of March 2020.

2. Update on Progress

Information Governance Successes since March 2020

- Updated guidance on email encryption for staff and councillors has been uploaded to the intranet

- The volume of data breaches has been reduced considerably – three breaches during last six months compared with ten instances during equivalent period last year
- Personal Storage Table (PST) archived email files – good progress on removal from GBC devices – Since migration of council network to MS 365
- Spike in phishing¹ scams during Covid-19 lockdown situation – emails distributed warning staff and councillors to be vigilant
- Future Guildford – Salesforce – data processing agreements drawn up
- New online GDPR training package (Workrite) procured – compulsory for all new starters

Objectives for the next 6 months:

- Transfer files from Sharepoint to Microsoft 365
- Complete removal of PST files
- Implement next stage of Salesforce

Information Assurance Successes since March 2020

- As part of GBC's ongoing implementation of National Cyber Security Centre's (NCSC) active cyber defence initiative, we implemented a Dmarcian solution to protect the Council's mail domain from being used for email related cybercrime
- KPMG Audit Report on cybersecurity and GDPR finalised in May 2020
- New suite of in-depth information security policies being delivered, tailored and branded for GBC to be deployed on the intranet, referencing standards such as ISO 27001, Payment Card Industry Data Security Standard PCI DSS and Public Services Network (PSN).
- Provided expert advice and best practice standards in relation to information security and risk to Enterprise Resource Portal (ERP), Salesforce and Open Portal Future Guildford projects

Objectives for next six months

- Removal of legacy systems from GBC infrastructure

¹ "Phishing" means a fraudulent attempt to obtain sensitive information such as usernames, passwords and credit card details by disguising oneself as a trustworthy entity in an electronic communication – e.g. emails or text messages - which often direct users to enter personal data at a fake website which matches the look and feel of the legitimate site.

- Phasing out of GCSX (Government Connect Secure Extranet) email solution - sending data from .gov to .gov addresses is now secure, so GCSX is now redundant as a result of migration to Microsoft 365. Information Assurance Manager to advise Council on implementation
- Renewal of Council's PSN compliance
- Active Cyber Defence National Cyber Security Centre (NSCC) Protective Domain Name Service (PDNS)
- Renewal of Council's Payment Card Industry Data Security Standard (PCI-DSS)

3. Background Papers

None

4. Appendices

None

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Corporate Governance and Standards Committee Report

Ward(s) affected: All

Report of Director of Resources

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Date: 24 September 2020

Financial Monitoring 2020-21: Period 4 (April to July 2020)

Executive Summary

The report summarises the projected outturn position for the Council's general fund revenue account, based on actual and accrued data for the period April to July 2020.

Officers are projecting an increase in net expenditure on the general fund revenue account of £12,308,497 which, in the majority of cases, is a result of the impact of Covid-19.

Covid-19 has impacted on the Council in several ways including the inability to maintain income levels at those budgeted for in February 2020. The direct expenditure incurred by the Council in the current financial year stands at £948,881 (2019-20 £250,769) with support from the Government of £1,954,748. The Government support received is to cover both the direct and indirect costs of the Covid-19 pandemic.

The indirect costs of Covid-19 are reflected in the services forecasting. As the pandemic continues, estimates for losses in income and increased costs have been made with the best information available, and these are subject to change as the year progresses.

The Council, at its meeting on 5 May 2020, approved an emergency budget to deal with the impact of Covid-19 should government support fall short of the final costs of the pandemic. Government have since announced further support for local authorities and figures will be updated to reflect this support once the detail has been received.

There is a reduction (£351,107) in the statutory Minimum Revenue Provision (MRP) charge to the general fund to make provision for the repayment of past capital debt reflecting a re-profiling of capital schemes.

A surplus on the Housing Revenue Account will enable a projected transfer of £8.53 million to the new build reserve and £2.5 million to the reserve for future capital at year-

end. The transfer is projected to be £97,384 higher than budgeted assumption and reflects modest variations in repair and maintenance expenditure and staffing costs.

Progress against significant capital projects on the approved programme as outlined in section 7 are underway. The Council expects to spend £135.808 million on its capital schemes by the end of the financial year. The expenditure is higher than it has been for many years and demonstrates progress in delivering the Council's capital programme.

The Council's underlying need to borrow to finance the capital programme is expected to be £116.110 million by 31 March 2021, against an estimated position of £125.956 million. The lower underlying need to borrow is a result of slippage on both the approved and provisional capital programme as detailed in paragraphs 7.3 to 7.6 of the report.

The Council held £131.5 million of investments and £275.2 million of external borrowing at 31 July 2020, which includes £192.7 million of HRA loans. Officers confirm that the Council has complied with its Prudential indicators in the period, which were set in February 2020 as part of the Council's Capital Strategy.

Recommendation to Committee

That the Committee notes the results of the Council's financial monitoring for the period April to July 2020 and makes any comments it feels appropriate.

Reason for Recommendation:

To allow the Committee to undertake its role in relation to scrutinising the Council's finances.

Is the report (or part of it) exempt from publication? No

1. Purpose of Report

- 1.1 Recommendation 8 of the 2015 Council Governance Review was: 'That the importance of the Corporate Governance and Standards Committee to the Council be recognised, particularly in the way in which it supports the overview and scrutiny function through ongoing scrutiny of financial matters, including its proposed expanded remit on the treasury management function and budget monitoring.
- 1.2 This Committee started its enhanced review of our financial management at its meeting on 24 September 2015. This report covers the period April to July 2020.

2. Strategic Priorities

- 2.1 Councillors have reviewed and adopted a corporate plan for the period 2018-2023. The plan includes many significant projects and aspirations that will challenge us financially. Monitoring of our financial position during the financial year is a critical part of the management of resources that will ultimately support delivery of the corporate plan.

3 Background

- 3.1 The Council undertakes regular financial monitoring in the following ways:
- a. reporting the General Fund and Housing Revenue Account position on a bimonthly basis [periods 2, 4, 6, 8 and 10]. This report covers the period to July 2020 [period 4] and covers all Council services
 - b. quarterly monitoring of the capital programme
 - c. monthly and quarterly monitoring of its treasury management activity
- 3.2 The Council's Corporate Management Team (CMT), Chief Finance Officer and deputy, and officer Capital Programme Monitoring Group review monitoring reports. Financial monitoring for all services is reported to this Committee on a regular basis.
- 3.3 This report sets out the financial monitoring and covers:
- (a) general fund revenue monitoring (section 4)
 - (b) housing revenue account monitoring (section 5)
 - (c) treasury management (section 6)
 - (d) capital programmes (section 7)

4 General Fund Revenue Account monitoring

- 4.1 Officers are projecting an increase in net expenditure on the general fund revenue account of £12,308,497, in most cases this is a result of the impact of Covid-19.
- 4.2 The direct costs associated with the Covid-19 pandemic in the current financial year are £948,881 offset by Government grant of £1,954,748 (net expenditure of £250,769 was incurred in 2019-20) and these are included in the forecast for the Finance Directorate. The breakdown of the direct costs to date are shown in the table below.

Description	£
Emergency Accommodation	175,045
Food Purchases	197,886
Leisure costs	341,461
Staffing costs	88,121
Consumables	91,873
Computer Software	29,479
Equipment	20,232
Other	4,784
Gross Expenditure	948,881
Government Grant	(1,954,748)
Net Expenditure	(1,005,867)

- 4.3 Estimates have been made for increased costs and lower than expected income within services with the best information available; these estimates will be

monitored closely as the year progresses, and further information becomes available.

- 4.4 **Appendix 1** shows the summary monitoring report for the general fund revenue account. Officers have prepared the projected outturn on four months' actual and accrued data.
- 4.5 **Appendix 2** shows detailed information for each service split between direct expenditure and income and indirect costs. We monitor the projected outturn against the revised (or latest) budget as this takes into account any virement or supplementary estimates approved since the original budget was set in February 2020.
- 4.6 Net external interest is currently projected to be £641,385 which is lower than our original estimate. The reduction is caused by the COVID-19 related fall in interest rates in the current financial year.
- 4.7 The Minimum Revenue Provision (MRP), based on the Capital Financing Requirement (CFR) at 31 March 2020 for the purposes of this report is shown as £1.288 million. This is £351,107 lower than originally estimated. The reduction is due to slippage in the capital programme experienced during 2019-20.
- 4.8 The overall projected position for net expenditure is £12,308,497 higher than estimate.
- 4.9 The table shows the supplementary estimates and virements approved to date.

Supplementary Estimates 2020-21

Service/Description	Approval Date	Committee	Value £
Nil			
TOTAL			NIL

Virement Record 2020-21

Service/Description	Nature of Virement	Approved by	Date of Approval	Value £
Nil				
TOTAL				NIL

- 4.10 **Appendix 2** provides detailed information on variances at service level. The table below summarises the main components of the higher than budgeted service level expenditure referred to in paragraph 4.1.

Service/Budget heading	Variance to revised estimate £000	Explanation
Leisure Management	1,152	Income budgets have been seriously affected by the Covid-19 pandemic with less income expected in almost all income budgets.

Service/Budget heading	Variance to revised estimate £000	Explanation
Off street Parking	5,096	The projected income shortfall is significant with no restrictions in off street parking for the first three months of the financial year. Occupancy going forward is expected to be at much lower levels ranging from 50% to 95% by the end of the year.
Major Projects	1,549	Major Project costs and costs of consultancy which will be funded from reserves.
Building Maintenance	219	Due to Covid-19 only emergency repairs have been possible, resulting in lower income from Services and external works.
Other Property	55	Indirect costs and reduced income levels as a result of Covid-19
Home Farm estate	105	Regularising the home farm area and enforcement to maintain boundary and illegal tree felling.
On Street Parking	482	Reduction in income as a result of Covid-19.
Industrial Estates	215	Business rates, voids and costs of traveller incursion.
Day Services	187	Day centre income and expected savings delayed as a result of Covid-19 along with additional staff costs.
EMI Services	76	Expected savings delayed by Covid-19.
Parks and Countryside	254	Income projections less than budgeted.
Homelessness and emergency Accommodation	(302)	Flexible Homelessness Support Grant £150,235 and Homelessness Prevention Grant £336,252 will be used to support additional expenditure. Any balance of funding will be transferred to reserve to support homelessness prevention in subsequent years.
Community Meals and TPT	165	Expected savings delayed by Covid-19 partially offset by vacancy savings.
Development Control	281	It is assumed that income will be under budget by £164,000 and planning appeals expenses are projected to be £40,000 higher. Staffing costs £56k greater than budget.
Policy	(287)	Employment related savings
Building Control	94	Reductions in building control fees.
Crematorium	94	Loss of abatement scheme income.
Corporate Finance	122	Increases in brokerage fees.
Guildford Museum	100	Income down and carry forward to be loaded.
Engineering and Transport Services	(61)	Vacancy savings
Procurement	(67)	Vacancy savings

Service/Budget heading	Variance to revised estimate £000	Explanation
Miscellaneous Items	1,265	Impact of Covid-19 both actual costs and forecasted costs to year end.
Refuse and Recycling	446	Additional costs agency staff costs. Vehicle hire costs are expected to be over budget. Trade refuse disposal charges and refuse sack sales are less than budget along with corresponding income.
Street Cleansing	(288)	There are salary savings due to vacancies and other smaller savings in supplies and services.
Town Centre Management	180	Sponsorship and advertising income targets will face a severe challenge this year, due to current conditions. Farmers Market income is also forecast to be lower due to Covid-19.
Future Guildford	922	Transformation programme.
Public Relations and Marketing	(131)	Salary savings are forecast through vacancies and the implementation of Future Guildford. Savings will be achieved through the electronic About Guildford newsletter and reduction in special promotional expenditure.
Taxi Licensing and Private Hire	61	Impact on Covid-19 on income.
Council Tax	87	Vacancies which are in part being covered by temporary staff. Due to Covid-19 recovery action is being deferred; it is expected that income from recovery of costs will reduce.
Housing Benefit	(96)	Additional grant funding received from central government and savings on consultancy and printing costs.
Operations	(89)	Future Guildford salary savings
Licensing Services	48	Income loss as a result of Covid-19
Land Charges	57	Shortfall in income
HR Services	54	Increases in staffing and medical costs.
Markets	44	Income loss as a result of Covid-19
Insurance	42	Increases in insurance premium paid.
Investment Property	72	Void property business rates and income rental down on expectation.

Use of Reserves

- 4.11 As part of the budget setting process for 2020-21 it was anticipated that £256,000 would be transferred from earmarked reserves during the year. Major movements anticipated at this point in the year are explained in the table below.

Reserve	Variance (£000)	Explanation

Budget Pressure	120	Section 81 Environmental Act spending
Carry Forward Items	(112)	Infrastructure development planning and major projects spending unlikely to be used.
Car Park Maintenance	522	Multi Storey Car Parks repair and maintenance
IT Renewals	926	IT expenditure offset by revenue contributions.
On Street Parking	(260)	Income predictions lower as a result of Covid-19.
Invest to Save	220	Future Guildford expenditure
New Homes Bonus	70	Development of Leisure bid and Stoke Park master planning.
Energy Management	(42)	Contributions from revenue
Business Rates Equalisation	30	Deferred loan agreement
Other Reserves	(1,047)	Changes to SPA's, Refugee expenditure not budgeted, Unspent ringfenced grants taken to reserves, Family Support Programme higher grant received.
Net movement	428	

5 Housing Revenue Account

5.1 **Appendix 3** shows the budget monitoring report for the Housing Revenue Account (HRA) for the period April 2020 to July 2020. The report shows that HRA gross service expenditure, projected outturn is 102.56% of the budgeted level, whilst income is projected to be 100.03% of the budgeted level. The projected outturn would enable a transfer of around £11.03 million to the new build reserve and the reserve for future capital expenditure.

- The rental income estimate for 2020-21 included a revised prudent allowance for Right to Buy (RTB) sales and the re-commissioning of new units. Rental income is currently projected not to change from original forecast of £29.98m as a result of changes in the economic landscape, especially in employment, lending and property market due to the Covid-19 pandemic.
- Current projections indicate that salary related expenditure; net of temporary staffing and redundancy costs, will be slightly lower than budget.
- Emphasis continues to be on planned rather than responsive maintenance, supported by the benefits accruing from past levels of expenditure on planned capital and revenue maintenance works. Looking at last year's out-turn we are forecasting a modest increase in budget but slightly below last year expenditure on repairs.
- The projected cost increases in communal cost includes insurance provision and other costs incurred last year that were not specifically provided for in the budget.

- With the exception of receipts from RTB sales, the estimates for the year do not provide for any repayment of HRA debt principal or for setting aside any amounts towards the repayment of debt. This is consistent with the HRA Business Plan, which prioritised the provision of additional housing. This approach will be subject to regular review and an updated business plan will be submitted reflecting constraints placed on the HRA by the prevailing legislation.

5.2 Tenancy arrears remain stable and are consistent with the assumptions contained in the business plan. Particular attention is paid to introductory tenancies (tenants of less than 12 months), as they often have no previous experience of managing a household budget or of renting a property.

6 Treasury Management

6.1 The Chartered Institute of Public Finance and Accountancy's (CIPFA) Code of Practice on Treasury Management ("the Code") recommends that councillors are informed of treasury management activities at least twice a year. This report therefore ensures the Council is embracing best practice in accordance with CIPFA's recommendations by reporting quarterly to councillors.

Debt management

6.2 We have a substantial long-term PWLB debt portfolio for the HRA totalling £193 million. Currently, the general fund is only borrowing short-term for cash flow purposes. There is no cost of carry on our short-term borrowing.

6.3 The following table summarises the current borrowing position of the Council and the activity to month 4.

Loan type		Balance 31 May 20 £000	New loans £000	Loans repaid £000	Balance 31 July 20 £000	Weighted average rate of interest
PWLB						3.25%
Variable		45,000	0	0	45,000	
Fixed	Maturity	147,435	0	0	147,435	
	EIP	230	0	0	230	
Total long-term Loans		192,665	0	0	192,665	
Temporary Loans		62,500	71,500	(51,500)	82,500	0.50%
Total Loans		255,165	71,500	(51,500)	275,165	

Investment activity

6.4 During the period, we have continued with the diversification of our in-house investment portfolio into secure instruments such as bonds and secure bank deposits (not subject to bail-in) in line with our Treasury Management Strategy.

6.5 The Council's gross budgeted and projected investment income for 2020-21 is £1.6 million. The gross cash balances representing the Council's reserves and

working balances at 31 July 2020 available for investment were £131.5 million and net of short-term borrowing £49 million.

- 6.6 The Council's budgeted, and projection of external interest cost, which relates to short and long-term borrowing, for the year is £0.6 million.
- 6.7 The original net interest receivable budget was £1,172,935. As at 31 July, we are projecting that the outturn will be lower than budgeted.
- 6.8 The Council's annualised weighted return on investments for the period to May 2020 was 1.05% against an estimate of 2.17%. This is because interest rates have fallen significantly because of COVID-19 and are projected to stay very low for a long time.
- 6.9 The table below summarises the Council's investment activity for May to July 2020.

Investment	Principal invested £000	Balance 31 May 20 £000	Movement in investment £000	Change in capital value £000	Balance 31 July 20 £000	Weighted average rate of interest
Investment Funds						
CCLA	5,000	6,844	0	(85)	6,759	1.88%
M&G	1,008	2,884	0	(18)	2,865	1.23%
Royal London	2,500	2,302	0	40	2,342	0.00%
Schroders	1,000	586	0	(14)	572	4.52%
Funding Circle	490	515	0	(19)	496	2.40%
UBS	2,500	2,136	0	59	2,195	1.04%
In- House Investments:						
Call Accounts		5,526	(5,095)	0	432	0.20%
Money Market Funds		14,364	24,895	0	39,259	0.29%
Notice Accounts		8,000	(5,000)	0	3,000	0.57%
Temporary Fixed Deposits		32,000	0	0	32,000	1.15%
Covered Bonds		19,100	(2,000)	0	17,100	0.79%
Long Term Fixed Deposits		19,500	0	0	19,500	1.65%
Revolving Credit Facility		5,000	0	0	5,000	1.70%
Total Investments		118,756	12,801	(37)	131,520	

- 6.10 Some of our externally managed funds have seen a fall in their capital values since inception. The falls are indicative of wider financial market movements over the same period. The Council's external investments are held for long-term purposes and are invested to generate an income for the Council over the longer term. Any loss in investment value will not be realised unless the investment is sold. The Council has an earmarked reserve available to utilise in the event of a loss, thus minimising the impact on the general fund.

Prudential Indicators

- 6.11 Officers confirm that the Council has complied with its Prudential indicators in the period, which were set in February 2020 as part of the Council’s Treasury Management Strategy Statement.

Authorised limit and Operational Boundary for External Debt

- 6.12 The Local Government Act 2003 requires the Council to set an Affordable Borrowing Limit, irrespective of their indebted status. This is a statutory limit, which we should not breach.
- 6.13 The Council’s authorised borrowing limit was set at £531 million for 2020-21.
- 6.14 The Operational Boundary is based on the same estimates as the Authorised Limit but reflects the most likely, prudent but not worst-case scenario without the additional headroom included in the Authorised Limit.
- 6.15 The operational boundary was set at £477 million for 2020-21.
- 6.16 The Chief Finance Officer confirms that there have been no breaches to the authorised limit and operational boundary during the year. Borrowing, at its peak, was £275 million. The Council did, however, breach the amount invested with its operational bank, HSBC, due to cashflow uncertainties as a result of COVID. Whilst this was not an investment as such, because we use the call account for cashflow fluctuations, for transparency purposes we wanted to inform councillors.

7 Capital Programmes

- 7.1 **Appendices 4 to 9** of this report set out the following for each scheme on the Council’s capital programme
- the gross estimate for the scheme approved by the Executive
 - the cumulative expenditure to 31 March 2020 for each scheme
 - the estimate for 2020-21 as approved by Council in February 2020
 - the 2020-21 revised estimate which takes into account the approved estimate, any project under spends up to 31 March 2020, and any virement or supplementary estimates
 - 2020-21 current expenditure
 - 2020-21 projected expenditure estimated by the project officer
- 7.2 The table below summarises the current position on the various strands of the Council’s capital programme. Detailed explanation is provided in paragraph 7.3 to 7.11

CAPITAL EXPENDITURE SUMMARY	2020-21 Approved £000	2020-21 Revised £000	2020-21 Outturn £000	2019-20 Variance £000
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General Fund Capital Expenditure				
- Main Programme	45,182	65,221	55,513	(9,708)
- Provisional schemes	122,362	107,869	73,865	(34,004)
- Schemes funded by reserves	3,984	8,402	6,341	(2,061)
- S106 Projects	0	89	89	0
- Affordable Housing (General Fund)	0	0	0	0
Total Expenditure	171,528	181,581	135,808	(45,773)
Housing Revenue Account Capital Expenditure				
Approved programme	11,468	13,716	13,716	(1)
Provisional programme	12,457	13,245	250	(12,995)
Total Expenditure	23,925	26,961	13,966	(12,996)

Approved (main) programme (Appendix 4)

7.3 Expenditure is expected to be £55.513 million representing a £9.708 million variance to the revised estimate of £65.221 million. If a project is on the approved programme, it is an indicator that the project has started or is near to starting following the approval of a final business case by Executive. Whilst actual expenditure for the period of £5.835 million may seem low, a number of significant projects are in progress. These include:

- OP6 – Vehicles, Plant & Equipment Replacement (£4.566m) – to include the replacement of refuse vehicles £3m and minibuses £820k.
- P5 – Walnut Bridge replacement (£3.414m) – works progressing timeframe for completion 12-18 months.
- P14 – Town Centre Approaches (£1m) – work is progressing.
- P21 – Ash Road Bridge (£2.257m) – work is progressing on this scheme with majority of budget still on provisional programme.
- ED25 – Guildford Park infrastructure works (£3.056m) - this scheme is awaiting decision regarding progression of works and new planning approval. A significant amount of the cost of this project is still on the provisional capital programme awaiting final business case approval.
- ED6 – Slyfield area Regeneration Project (WUV) (£6.483m) - work is progressing on the detailed design, pre-planning and site investigation work for this scheme to inform the final business case.
- P12 – Strategic Property Acquisitions (£1.496m) - £550k potential new burial ground, £946k Thornberry Way.
- North Downs Housing (£5.315m) and Guildford Holding Ltd (£3.543m) – target to purchase 25 properties this financial year, bringing total to 72.
- ED49 – Midleton Industrial Estate redevelopment (£7.455m) – work on design and planning is progressing with work on site to commence Jan 21 for phase 2/3.
- ED18 - Museum (£1.464m) and ED52 Public Realm Scheme (£1.616m) – decision is pending as to the future of these projects.
- P16 – A331 Hotspots (£3.661m) – scheme is now progressing after securing contribution from SCC.

7.4 In addition to the schemes outlined above, the re-profiling of the following significant amounts that were due to be spent on schemes or projects in 2020-21 will now be carried forward into 2021-22 or vice versa.:

- Town Centre Gateway Regeneration (£3.473m) – spend now expected in 2021-22, report for this project to Executive on 21 July 2020.
- SMC (£1.658m) – spend of £1m expected in 2020-21 with the majority of spend now expected in 2021-22.
- ED25 – Guildford Park infrastructure works (£3.056m) – spend of £250k expected in 2020-21 the remaining £2.806m in 2021-22, this scheme is awaiting decision regarding progression of works and new planning approval. A significant amount of the cost of this project is still on the provisional capital programme awaiting final business case approval.

Provisional programme (Appendix 5)

7.5 Expenditure on the provisional programme is expected to be £73.865 million, against the revised estimate of £107.869 million, representing a variance of £34.004 million. These projects are still at feasibility stage and will be subject to Executive approval of a business case before they are transferred to the approved capital programme. It is only once the business case is approved that the capital works can start. Monitoring progress of these projects is key to identifying project timescales. The significant projects are:

- ED25(p) - Guildford Park new MSCP and infrastructure works (£4.38 million)
- ED49(p) – Midleton Industrial Estate (£5.557m)
- ED6(p) – Slyfield area Regeneration Project (WUV) (£12.178m)
- DF1(p) – Investment Property acquisitions (£20m)
- ED18(p) – Museum (£16.810m) - decision is pending as to the future of this project.

The re-profiling of schemes has resulted in a lower level of expenditure than planned in 2020-21.

7.6 A number of projects, that were also anticipated to start in 2020-21 have been re-profiled into future years including:

- PL21(p) - Ash Road Bridge (£23.240m)
- ED48(p) – Westfield/Moorfield Road resurfacing
- P11(p) – Guildford West (PB) Station
- P14(p) – Guildford Gyratory and Approaches

S106 (Appendix 6)

7.7 Capital schemes funded from s106 developer contributions are expected to total £89,000.

Reserves (Appendix 7)

7.8 Capital schemes funded from the Council's specific reserves. The outturn is anticipated to be £6.341 million. The main projects are:

- expenditure on car parks £1.414 million
- ICT renewals and infrastructure improvements £1.376 million
- Future Guildford Implementation Team £2.6 million

Capital resources (Appendix 8)

7.9 When the Council approved the budget, the estimated underlying need to borrow for 2020-21 was £125.596 million. The current estimated underlying need to borrow is £116.110 million. The reduction is due to slippage in the programme where schemes are re-profiled into future years.

Housing Investment Programme Approval Capital (Appendix 9)

7.10 The HRA approved capital programme is expected to outturn at £13.716 million against a revised estimate of £13.716 million. A number of projects are in progress. These include:

- Guildford Park - initial works are progressing, a significant amount of the cost of this project is still on the provisional capital programme awaiting final business case approval.
- Various small site projects – works are progressing.
- Acquisitions of Land and Buildings for development – dependent on availability of suitable sites.

Housing Investment Programme Provisional Capital (Appendix 10)

7.11 The provisional programme revised estimate is £13.245 million with expenditure anticipated this financial year of £250 thousand. The reprofiling of schemes has resulted in a lower level of expenditure on 2020-21.

- Guildford Park - initial works are progressing, this scheme is awaiting decision regarding progression of works and new planning approval and awaiting final business case approval.

8 Consultations

8.1 The accountants prepare the budget monitor in consultation with the relevant service managers.

9 Equality and Diversity Implications

9.1 There are no direct equality and diversity implications as a result of this report. Each service manager will consider these issues when providing their services and monitoring their budgets.

10 Financial Implications

10.1 The financial implications are contained throughout the report.

11 Legal Implications

11.1 The Local Government Act 1972, Section 151 states that each local authority has a statutory duty to make arrangements for the proper administration of their financial affairs. In addition, the Accounts and Audit Regulations 2015 impose an explicit duty on the Council to ensure that financial management is adequate and effective and that they have a sound system of internal control, including arrangements for the management of risk.

11.2 Proper administration is not statutorily defined; however, there is guidance, issued by the Chartered Institute of Public Finance and Accountancy (CIPFA) on the responsibilities of the Chief Financial Officer (CFO). This states that local authorities have a corporate responsibility to operate within available resources and the CFO should support the effective governance of the authority through development of corporate governance arrangements, risk management and reporting framework. Regular monitoring of the Council's actual expenditure to budget and forecasting of the expenditure for the full year is part of the proper administration and governance of the Council.

11.3 There are no further direct legal implications because of this report.

12 Human Resource Implications

12.1 There are no human resource implications arising from this report.

13 Summary of Options

13.1 This report outlines the anticipated outturn position for the 2020-21 financial year based on four months actual data. There are no specific recommendations and therefore no options to consider.

14 Conclusion

14.1 The report summarises the financial monitoring position for the period April to July 2020 for the 2020-21 financial year.

14.2 Officers are currently projecting an increase in expenditure of £12,308,497 on the general fund revenue account.

14.3 The Chief Finance Officer in consultation with the Lead Councillor for Resources will determine the treatment of any balance as part of closing the 2020-21 accounts.

14.4 The surplus on the Housing Revenue Account will enable a transfer of £8.53 million to the new build reserve and £2.5 million to the reserve for future capital at year-end.

- 14.5 Actual expenditure incurred on our general fund capital programme for the period has been comparatively low against the programme envisaged at the 1 April 2020. Officers are making progress against significant capital projects on the approved programme as outlined in section 7. The Council expects to spend £135.808 million on its capital schemes by the end of the financial year.
- 14.6 It is anticipated that the Council's underlying need to borrow to finance the capital programme will be £116.110 million by 31 March 2021. The Council has complied with Prudential Indicators during the period with the exception of the upper limit on variable interest rates.
- 14.7 At the end of July 2020, the Council had £131.5 million of investment balances, and £275 million borrowing.

14 Background Papers

None

15 Appendices

Appendix 1: General fund revenue account summary
Appendix 2: General fund services - revenue detail
Appendix 3: Housing Revenue Account summary
Appendix 4: Approved capital programme
Appendix 5: Provisional capital programme
Appendix 6: Schemes funded from S106
Appendix 7: Capital reserves
Appendix 8: Capital resources
Appendix 9: Housing Revenue Account approved capital programme
Appendix 10: Housing Revenue Account provisional capital programme

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Appendix 1

Draft Actual	GENERAL FUND SUMMARY	Original Estimate	Latest Estimate	Projected Outturn
2019-20		2020-21	2020-21	2020-21
£		£	£	£
3,850,231	Community Services	(314,990)	(789,990)	(281,133)
17,680,547	Planning and Regeneration	3,142,170	3,328,170	4,970,135
12,557,225	Environment	11,556,920	11,687,925	18,858,817
3,579,422	Management Directorate	783,410	(566,020)	243,182
6,221,257	Finance	11,820,880	11,820,880	13,012,170
43,888,682	Total Directorate Level	26,988,390	25,480,965	36,803,171
	Growth to be allocated to services	964,000	0	0
	Savings to be allocated to services	(2,471,425)	0	0
(26,601,575)	Depreciation (contra to Service Unit Budgets)	(8,813,830)	(8,813,830)	(8,813,830)
17,287,107	Directorate Level excluding depreciation	16,667,135	16,667,135	27,989,341
(1,180,245)	External interest receivable (net)	(1,172,935)	(1,172,935)	(641,385)
356,027	Housing Revenue Account	531,550	531,550	531,550
926,640	Minimum Revenue Provision	1,639,171	1,639,171	1,288,064
(30,417)	Revenue income from sale of assets	0	0	0
	Revenue Contributions to Capital Outlay (RCCO)			
893,630	Met from: Capital Schemes reserve	0	0	0
2,299,990	Other reserves	537,000	537,000	1,951,000
0	General Fund	0	0	0
20,552,732	Total before transfers to and from reserves	18,201,921	18,201,921	31,118,570
(from)	Transfers to and from reserves			
to	Capital Schemes reserve			
(893,630)	Funding of Revenue Contribution to Capital Outlay	0	0	0
	<i>Contribution in year</i>			
(174,269)	Budget Pressures reserve	0	0	(120,000)
(2,103,206)	Business Rates Equalisation reserve	(1,274,014)	(1,274,013)	(1,304,013)
(469,494)	Car Park Maintenance reserve	272,950	272,950	(249,534)
(124,268)	Election Costs reserve	62,500	62,500	62,500
(15,177)	Insurance reserve	0	0	0
(538,252)	IT Renewals reserve	542,710	542,710	(383,290)
(1,721,421)	Invest to Save reserve	(10,000)	(10,000)	(229,900)
(36,904)	New Homes Bonus reserve	351,019	351,019	281,019
31,563	Energy Management reserve	0	0	42,199
109,467	On Street Parking reserve	(260,070)	(260,070)	0
(5,495,884)	Pensions reserve (Statutory)	0	0	0
(150,000)	Recycling reserve	0	0	0
185,140	Spectrum reserve	188,843	188,843	188,843
(206,110)	Carry Forward Items	0	(1,654,219)	(1,542,533)
3,234,252	Other reserves	(477,090)	(477,090)	569,630
12,184,540	Total after transfers to and from reserves	17,598,769	15,944,551	28,433,491
	Business Rates Retention Scheme payments			
31,332,993	Business Rates tariff payment	33,119,290	33,119,290	33,119,290
1,383,117	Business Rates levy payment to MHCLG	810,933	810,933	810,933
0	Business Rates tariff payment from MHCLG	0	0	0
0	Business Rates pilot gain from Surrey Pilot Pool	0	0	0
	Non specific government grants			
(2,401,199)	s31 grant re BRR scheme	(1,959,000)	(1,959,000)	(1,959,000)
(24,170)	s31 grant re council tax	0	0	0
(25,587)	New Burdens grant	0	0	0
0	Other government grant	0	0	0
(1,039,201)	New Homes Bonus grant	(851,019)	(851,019)	(851,019)
41,410,493	GUILDFORD BOROUGH COUNCIL NET BUDGET	48,718,973	47,064,755	59,553,695
1,740,697	Parish Council Precepts	1,741,000	1,741,000	1,741,000
43,151,190	TOTAL NET BUDGET	50,459,973	48,805,755	61,294,695
(34,941,330)	Business Rates - retained income	(34,713,245)	(34,713,245)	(34,713,245)
1,493,170	Collection Fund Deficit - Business Rates	(3,812,870)	(3,812,870)	(3,812,870)
85,997	Collection Fund Surplus - Council Tax	0	0	0
9,789,027	COUNCIL TAX REQUIREMENT	11,933,858	10,279,640	22,768,580
	Projected (under)/over spend			12,488,940
	Movement in MRP and External Interest			180,443
	Underlying (under) / overspend on services			12,308,497

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COMMUNITY SERVICE DIRECTORATE SUMMARY	Actual	Revised Budget	Projected Outturn	Variance	Notes
Direct Expenditure	3,442,233	15,997,740	16,285,313	287,573	
Income	(5,842,528)	(19,845,170)	(19,411,699)	433,471	
Total Directly Controllable (Income)/Expenditure	(2,400,295)	(3,847,430)	(3,126,386)	721,044	
Indirect Expenditure	1,028,521	3,057,440	2,845,253	(212,187)	
Net (Income)/Expenditure	(1,375,584)	(789,990)	(281,133)	508,857	

BUILDING MAINTENANCE

Direct Expenditure	849,614	4,026,960	3,496,204	(530,756)
Income	(32,068)	(4,058,890)	(3,309,498)	749,392
Total Directly Controllable (Income)/Expenditure	817,546	(31,930)	186,706	218,636
Indirect Expenditure	26,692	80,050	80,062	12
Net (Income)/Expenditure	844,238	48,120	266,768	218,648

Due to Covid-19 only emergency repairs have been possible, resulting in lower income from Services and external works. It is anticipated income will gradually build towards more normal levels but the overall impact on 2020-21 is forecast at £749,000. Employee costs are in the main fixed, with staff seconded to Covid-19 work still charged to the department hence salary costs are £11,000 lower than budget and additional leasing costs are £6,000. Materials and contractor costs are forecast to be £525,000 lower than budget as a result of the reduced activity.

GYPSY AND TRAVELLER SITES

Direct Expenditure	14,670	103,190	141,928	38,738
Income	8,200	(210,090)	(215,301)	(5,211)
Total Directly Controllable (Income)/Expenditure	22,870	(106,900)	(73,373)	33,527
Indirect Expenditure	1,316	3,890	3,896	6
Net (Income)/Expenditure	24,186	(103,010)	(69,477)	33,533

Surreywide Traveller site study funded from reserves £25,000 has not yet been added to the budget. In addition water charges are significantly higher than budget.

CITIZENS ADVICE BUREAU

Direct Expenditure	176,463	283,420	283,422	2
Total Directly Controllable (Income)/Expenditure	176,463	283,420	283,422	2
Indirect Expenditure	432	1,290	1,292	2
Net (Income)/Expenditure	176,895	284,710	284,714	4

CIVIL EMERGENCIES

Direct Expenditure	15,705	58,380	56,585	(1,795)
Total Directly Controllable (Income)/Expenditure	15,705	58,380	56,585	(1,795)
Indirect Expenditure	1,036	3,090	3,096	6
Net (Income)/Expenditure	16,741	61,470	59,681	(1,789)

CORPORATE PROPERTY SERVICES

Direct Expenditure	234,975	2,356,660	2,232,577	(124,083)
Income	(298,142)	(1,176,060)	(914,439)	261,621
Total Directly Controllable (Income)/Expenditure	(63,167)	1,180,600	1,318,138	137,538
Indirect Expenditure	71,477	474,680	215,486	(259,194)
Net (Income)/Expenditure	8,310	1,655,280	1,533,624	(121,656)

Indirect expenditure and costs recharged to services area both overstated in the budget process by in the region of £260,000. Planned and reactive repairs and maintenance is budgeted and forecast centrally but will be spent in the services. Overall it is currently forecast to be on budget and it likely to be fully spent +/- 5%, however the expenditure to date allocated to the services of £119k will show as an underspend in Corporate Property until the budgets are transferred..

DAY SERVICES

Direct Expenditure	157,771	539,500	676,893	137,393
Income	(15,107)	(160,610)	(109,276)	51,334
Total Directly Controllable (Income)/Expenditure	142,664	378,890	567,617	188,727
Indirect Expenditure	57,596	185,430	183,336	(2,094)
Net (Income)/Expenditure	200,260	564,320	750,953	186,633

The Day Centres have been impacted by Covid-19 resulting in estimated loss of income of £51,000. We estimate savings in food and activity costs of £23,000. However the £125,000 budgeted salary savings has not been reflected in the forecast as restructuring of the service planned by the previous Service Leader has been delayed and the outcome of Future Guildford is awaited. We have several vacant posts that will not be filled meaning the permanent establishment is a net £50,000 over the reduced budget but we have £85,000 of temporary staff enabling us to operate from the centre 7 days a week during the current crisis.

EMERGENCY COMMUNICATIONS SYSTEM

Direct Expenditure	61,554	259,310	252,081	(7,229)
Income	(119,675)	(451,430)	(434,196)	17,234
Total Directly Controllable (Income)/Expenditure	(58,121)	(192,120)	(182,115)	10,005

Indirect Expenditure	22,824	68,470	68,480	10
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Net (Income)/Expenditure	(35,297)	(123,650)	(113,635)	10,015
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EMI SERVICES

Direct Expenditure	58,684	193,690	251,923	58,233
Income	(8,378)	(129,340)	(111,340)	18,000
Total Directly Controllable (Income)/Expenditure	50,306	64,350	140,583	76,233

Indirect Expenditure	15,696	47,050	47,060	10
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Net (Income)/Expenditure	66,002	111,400	187,643	76,243
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£100,000 budgeted salary savings has not been reflected in the forecast as the restructuring of the service planned by the previous Service Leader has been delayed and the outcome of Future Guildford is awaited, although this is mitigated by £42,000 of vacancy savings. It is forecast that £18,000 of fees will be lost due to the covid-19 loss of services.

ENVIRONMENTAL CONTROL

Direct Expenditure	105,787	411,510	405,275	(6,235)
Income	(30,086)	(22,020)	(49,896)	(27,876)
Total Directly Controllable (Income)/Expenditure	75,701	389,490	355,379	(34,111)

Indirect Expenditure	21,916	65,670	65,698	28
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Net (Income)/Expenditure	97,617	455,160	421,077	(34,083)
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Receipt in advance of the Air Quality Grant

SURREY FAMILY SUPPORT PROGRAMME

Direct Expenditure	120,587	437,110	510,094	72,984
Income	(707)	(421,900)	(669,215)	(247,315)
Total Directly Controllable (Income)/Expenditure	119,880	15,210	(159,121)	(174,331)

Indirect Expenditure	30,420	91,260	91,264	4
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Net (Income)/Expenditure	150,300	106,470	(67,857)	(174,327)
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Family Support staff costs are £38,000 higher than budget due to staff typed from Waverley, with the forecast based on the assumption that vacancies are not filled until after Future Guildford has been completed. These costs are partially offset by a £5,000 saving in transport costs. The grant we will receive from Surrey County Council will increase by £247,000 reflecting the wider service provision. The £41,000 refugee programme expenditure is not included in the budget as it is funded from grant income held in reserve.

FOOD AND SAFETY SERVICES

Direct Expenditure	61,380	320,270	317,502	(2,768)
Income	(182)	(1,580)	(1,500)	80
Total Directly Controllable (Income)/Expenditure	61,198	318,690	316,002	(2,688)
Indirect Expenditure	19,280	57,820	57,824	4
Net (Income)/Expenditure	80,478	376,510	373,826	(2,684)

HEALTH AND SAFETY

Direct Expenditure	37,906	150,380	154,032	3,652
Income	(51,776)	(156,330)	(156,174)	156
Total Directly Controllable (Income)/Expenditure	(13,870)	(5,950)	(2,142)	3,808
Indirect Expenditure	6,040	18,090	18,096	6
Net (Income)/Expenditure	(7,830)	12,140	15,954	3,814

HOUSING SURVEYING SERVICES

Direct Expenditure	169,300	678,810	657,978	(20,832)
Income	(199,742)	(781,550)	(760,732)	20,818
Total Directly Controllable (Income)/Expenditure	(30,442)	(102,740)	(102,754)	(14)
Indirect Expenditure	34,252	102,740	102,754	14

GRANTS TO VOLUNTARY ORGANISATIONS - HOUSING AND COMMUNITY

Direct Expenditure	107,540	475,850	466,539	(9,311)
Total Directly Controllable (Income)/Expenditure	107,540	475,850	466,539	(9,311)
Indirect Expenditure	1,708	7,700	7,278	(422)
Net (Income)/Expenditure	109,248	483,550	473,817	(9,733)

HOME FARM ESTATE, EFFINGHAM

Direct Expenditure	0	3,260	105,165	101,905
Income	(3,706)	(11,710)	(8,100)	3,610
Total Directly Controllable (Income)/Expenditure	(3,706)	(8,450)	97,065	105,515
Indirect Expenditure	4,558	23,450	22,792	(658)
Net (Income)/Expenditure	852	15,000	119,857	104,857

£102,415 allowed for carried forward request not yet added to budget. The funds will be used to regularise the Home Farm area, specifically where enforcement is required to maintain the boundary and prevent illegal tree felling.

HOMELESSNESS AND EMERGENCY ACCOMMODATION

Direct Expenditure	268,354	797,450	972,751	175,301
Income	(489,343)	(35,000)	(512,363)	(477,363)
Total Directly Controllable (Income)/Expenditure	(220,989)	762,450	460,388	(302,062)
Indirect Expenditure	33,912	101,730	101,738	8
Net (Income)/Expenditure	(187,077)	864,180	562,126	(302,054)

Income received from DCLG in respect of Flexible Homelessness Support Grant £150,235 and Homelessness Prevention Grant £336,252 will be used to support additional expenditure. The balance of funding will be transferred to reserve at year-end to support homelessness prevention in subsequent years.

HOUSING ADVICE

Direct Expenditure	32	352,640	335,092	(17,548)
Total Directly Controllable (Income)/Expenditure	32	352,640	335,092	(17,548)
Net (Income)/Expenditure	32	352,640	335,092	(17,548)

AFFORDABLE HOUSING DEVELOPMENT

Direct Expenditure	38,481	90,410	118,117	27,707
Total Directly Controllable (Income)/Expenditure	38,481	90,410	118,117	27,707
Indirect Expenditure	7,944	23,810	23,814	4
Net (Income)/Expenditure	46,425	114,220	141,931	27,711

Cost of relatively expensive agency staff member covering vacant posts.

INDUSTRIAL ESTATES

Direct Expenditure	81,847	400,510	677,834	277,324
Income	(1,164,836)	(3,148,420)	(3,211,568)	(63,148)
Total Directly Controllable (Income)/Expenditure	(1,082,989)	(2,747,910)	(2,533,734)	214,176
Indirect Expenditure	52,163	160,330	161,319	989
Net (Income)/Expenditure	(1,030,826)	(2,587,580)	(2,372,415)	215,165

Business rates and associated costs for void units in Middleton Industrial Estate, Woodbridge Meadows and Thornberry Way in excess of those included in the estimates amount to £195,000. Traveller incursion costs were incurred £27,000 and a carry forward from 2019-20 for consultancy related to the Slyfied growth strategy, which has not been added to the budget is £35,000. Repairs and maintenance costs budgeted centrally and mobile phone costs allocated by IT Services account for £14,000. Overall rents and service charges are forecast to be £63,000 lower than budget.

INVESTMENT PROPERTY

Direct Expenditure	27,130	185,960	203,937	17,977
Income	(1,915,102)	(4,655,790)	(4,620,656)	35,134
Total Directly Controllable (Income)/Expenditure	(1,887,972)	(4,469,830)	(4,416,719)	53,111
Indirect Expenditure	71,457	161,590	180,848	19,258
Net (Income)/Expenditure	(1,816,515)	(4,308,240)	(4,235,871)	72,369

Expenditure is a net £18,000 over budget with void property business rates offset by savings in recharged salaries and insurance costs. Rental income is down £38,000 compared with budget and work undertaken by Asset Development and recharged to Investment Properties amounts to an additional £19,000.

LICENSING SERVICES

Direct Expenditure	69,012	267,440	263,545	(3,895)
Income	(26,789)	(193,990)	(142,158)	51,832
Total Directly Controllable (Income)/Expenditure	42,223	73,450	121,387	47,937
Indirect Expenditure	30,544	91,510	91,562	52
Net (Income)/Expenditure	72,767	164,960	212,949	47,989

Income down as a result of Covid-19, will be monitored closely throughout the year.

COMMUNITY MEALS AND TPT

Direct Expenditure	220,033	639,770	810,087	170,317
Income	(83,917)	(241,900)	(247,580)	(5,680)
Total Directly Controllable (Income)/Expenditure	136,116	397,870	562,507	164,637
Indirect Expenditure	34,732	104,160	104,172	12
Net (Income)/Expenditure	170,848	502,030	666,679	164,649

£250,000 budgeted salary savings has not been reflected in the forecast as the restructuring of the service planned by the previous Service Leader has been delayed and the outcome of Future Guildford is awaited, although this is mitigated by £99,000 of vacancy savings. Transport costs are forecast to save £5,000 but food costs are anticipated to be £20,000 higher due to the increased number of meals supplied. Community Transport income is forecast to be down by £35,000 due to Covid-19 although this has increased the demand for Meals on Wheels which improve by £41,000.

OFFICE SERVICES TEAM

Direct Expenditure	232,041	1,437,510	1,227,606	(209,904)
Income	(655,173)	(2,229,600)	(2,123,258)	106,342
Total Directly Controllable (Income)/Expenditure	(423,132)	(792,090)	(895,652)	(103,562)

Indirect Expenditure	229,966	565,310	567,796	2,486
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Net (Income)/Expenditure	(193,166)	(226,780)	(327,856)	(101,076)
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Although there are salary savings of £98,250 showing under the old structure only the Facilities Specialist post remains vacant. There are savings of £23,500 due to non usage of the biomass boiler. Printing costs will be under budget by an estimated £30,000 and there other smaller savings anticipated in premises and supplies and services. The reprographics recharge will not achieve budget.

HOUSING OUTSIDE THE HRA

Direct Expenditure	4,509	2,120	177,978	175,858
Income	190,051	(7,100)	(203,898)	(196,798)
Total Directly Controllable (Income)/Expenditure	194,560	(4,980)	(25,920)	(20,940)

Indirect Expenditure	16,628	64,610	62,160	(2,450)
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Net (Income)/Expenditure	211,188	59,630	36,240	(23,390)
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A £99,000 grant was deferred from 2019-20 and shows as unbudgeted income and expenditure in 2020-21. In addition we are forecasting £60,000 of Housing Company premises related expenditure and £100,000 associated income. Unbudgeted council tax for Old Manor House East Horsley amounts to £12,000.

OTHER PROPERTY

Direct Expenditure	9,321	179,580	176,614	(2,966)
Income	(612,546)	(1,067,080)	(1,038,746)	28,334
Total Directly Controllable (Income)/Expenditure	(603,225)	(887,500)	(862,132)	25,368

Indirect Expenditure	149,522	295,850	325,472	29,622
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Net (Income)/Expenditure	(453,703)	(591,650)	(536,660)	54,990
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Other Commercial Property has held up well, with income projected to be just £28,000 below budget. Indirect costs are forecast to be £30,000 higher than plan due to an increased depreciation charge and additional asset development salary recharges.

PEST CONTROL

Direct Expenditure	16,790	50,000	48,704	(1,296)
Income	(15,234)	(55,000)	(55,002)	(2)
Total Directly Controllable (Income)/Expenditure	1,556	(5,000)	(6,298)	(1,298)

Indirect Expenditure	2,012	6,000	6,006	6
Net (Income)/Expenditure	3,568	1,000	(292)	(1,292)

PRIVATE SECTOR HOUSING

Direct Expenditure	157,383	703,930	703,905	(25)
Income	(274,766)	(411,130)	(382,452)	28,678
Total Directly Controllable (Income)/Expenditure	(117,383)	292,800	321,453	28,653

Indirect Expenditure	38,656	115,910	115,938	28
Net (Income)/Expenditure	(78,727)	408,710	437,391	28,681

Income falling short on services provided to clients as a result of Covid-19

PROJECT ASPIRE

Direct Expenditure	5,250	0	5,250	5,250
Income	(1,911)	0	(1,911)	(1,911)
Total Directly Controllable (Income)/Expenditure	3,339	0	3,339	3,339

Net (Income)/Expenditure	3,339	0	3,339	3,339
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Project Aspire is funded from reserves.

PUBLIC HEALTH

Direct Expenditure	13,806	77,820	75,854	(1,966)
Total Directly Controllable (Income)/Expenditure	13,806	77,820	75,854	(1,966)

Indirect Expenditure	2,240	6,680	6,690	10
Net (Income)/Expenditure	16,046	84,500	82,544	(1,956)

COMMUNITY WELLBEING

Direct Expenditure	67,052	282,130	273,285	(8,845)
Total Directly Controllable (Income)/Expenditure	67,052	282,130	273,285	(8,845)

Indirect Expenditure	16,648	49,930	49,936	6
Net (Income)/Expenditure	83,700	332,060	323,221	(8,839)

TAXI LICENSING AND PRIVATE HIRE VEHICLES

Direct Expenditure	35,861	149,680	144,793	(4,887)
Income	(27,874)	(124,200)	(58,705)	65,495
Total Directly Controllable (Income)/Expenditure	7,987	25,480	86,088	60,608
Indirect Expenditure	22,858	67,420	67,456	36
Net (Income)/Expenditure	30,845	92,900	153,544	60,644

Income is expected to be down as a result of Covi-19 with reduced income expected from vehicle applications and renewals.

WOKING ROAD DEPOT STORES

Direct Expenditure	23,395	82,490	61,763	(20,727)
Income	(13,719)	(94,450)	(73,735)	20,715
Total Directly Controllable (Income)/Expenditure	9,676	(11,960)	(11,972)	(12)
Indirect Expenditure	3,996	11,920	11,932	12
Net (Income)/Expenditure	13,672	(40)	(40)	0

Staff costs are lower due to vacancy savings; consequently the income from recharges to services are lower.

ENVIRONMENT DIRECTORATE SUMMARY	Actual	Revised Budget	Projected Outturn	Variance	Notes
Direct Expenditure	5,685,238	29,081,610	28,185,835	(895,775)	
Income	(4,553,853)	(27,802,680)	(19,629,838)	8,172,842	
Total Directly Controllable (Income)/Expenditure	1,131,385	1,278,930	8,555,997	7,277,067	
Indirect Expenditure	3,184,446	10,408,990	10,302,820	(106,170)	
Net (Income)/Expenditure	4,315,831	11,687,920	18,858,817	7,170,897	

ABANDONED VEHICLES

Direct Expenditure	8,984	37,920	34,273	(3,647)
Income	0	(240)	(200)	40
Total Directly Controllable (Income)/Expenditure	8,984	37,680	34,073	(3,607)
Indirect Expenditure	1,420	4,240	4,246	6
Net (Income)/Expenditure	10,404	41,920	38,319	(3,601)

BUSINESS FORUM

Direct Expenditure	14,654	25,280	64,955	39,675
Income	0	(30)	0	30
Total Directly Controllable (Income)/Expenditure	14,654	25,250	64,955	39,705
Indirect Expenditure	532	1,570	1,574	4
Net (Income)/Expenditure	15,186	26,820	66,529	39,709

A carry forward request relating to a grant and associated loan to a local business amounting to £40,000 has been included in the forecast but is currently not included in the budget.

CCTV SYSTEMS

Direct Expenditure	45,005	80,370	73,733	(6,637)
Total Directly Controllable (Income)/Expenditure	45,005	80,370	73,733	(6,637)
Indirect Expenditure	5,429	20,330	19,602	(728)
Net (Income)/Expenditure	50,434	100,700	93,335	(7,365)

CEMETERIES AND CLOSED CHURCHYARDS

Direct Expenditure	47,852	219,710	237,301	17,591
Income	(21,766)	(78,230)	(84,069)	(5,839)
Total Directly Controllable (Income)/Expenditure	26,086	141,480	153,232	11,752
Indirect Expenditure	9,650	71,760	64,911	(6,849)
Net (Income)/Expenditure	35,736	213,240	218,143	4,903

CLINICAL WASTE

Direct Expenditure	544	2,480	2,440	(40)
Total Directly Controllable (Income)/Expenditure	544	2,480	2,440	(40)
Indirect Expenditure	104	290	292	2
Net (Income)/Expenditure	648	2,770	2,732	(38)

CREMATORIUM

Direct Expenditure	134,107	786,810	856,224	69,414
Income	(468,348)	(1,697,210)	(1,671,421)	25,789
Total Directly Controllable (Income)/Expenditure	(334,241)	(910,400)	(815,197)	95,203
Indirect Expenditure	131,138	81,340	79,646	(1,694)
Net (Income)/Expenditure	(203,103)	(829,060)	(735,551)	93,509

There will be three additional temporary staff employed at the Crematorium at a cost of £36,000. A carry forward of £14,000 for fixed plant machinery has yet to be loaded into the ledger. Abatement scheme income will not be generated in 2020-21.

FLEET MANAGEMENT SERVICE

Direct Expenditure	178,201	926,500	928,317	1,817
Income	(864,824)	(2,580,460)	(2,580,620)	(160)
Total Directly Controllable (Income)/Expenditure	(686,623)	(1,653,960)	(1,652,303)	1,657
Indirect Expenditure	495,964	1,669,090	1,672,186	3,096
Net (Income)/Expenditure	(190,659)	15,130	19,883	4,753

LEGAL SERVICES

Direct Expenditure	263,527	1,117,930	1,014,113	(103,817)
Income	(464,725)	(1,404,720)	(1,312,574)	92,146
Total Directly Controllable (Income)/Expenditure	(201,198)	(286,790)	(298,461)	(11,671)
Indirect Expenditure	56,384	226,420	169,152	(57,268)
Net (Income)/Expenditure	(144,814)	(60,370)	(129,309)	(68,939)

Expenditure reductions are salary savings as a result of Future Guildford restructuring and vacancies amounting to £115,000 although car leasing costs exceed budget by £11,000. Legal fees has been forecast at the budgeted level for the Service of £55,000. The shortfall in income is due to the effect of a likely pause on developments resulting from Covid-19 on s106 income £40,000 and lower recharge of legal fees £50,000. Indirect expenditure is lower due to a budget error; legal costs are not recharged to Legal department.

ENGINEERING AND TRANSPORT SERVICES

Direct Expenditure	51,643	359,010	236,757	(122,253)
Income	(71,644)	(398,170)	(337,142)	61,028
Total Directly Controllable (Income)/Expenditure	(20,001)	(39,160)	(100,385)	(61,225)

Indirect Expenditure	15,032	45,060	45,070	10
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Net (Income)/Expenditure	(4,969)	5,900	(55,315)	(61,215)
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There are salary savings due to vacancies and the support service recharge won't be met as a consequence.

GUILDFORD HOUSE

Direct Expenditure	53,755	365,270	252,163	(113,107)
Income	7	(83,330)	(31,033)	52,297
Total Directly Controllable (Income)/Expenditure	53,762	281,940	221,130	(60,810)

Indirect Expenditure	39,128	118,100	118,340	240
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Net (Income)/Expenditure	92,890	400,040	339,470	(60,570)
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There are salary savings due to vacancies. Projection in both supplies and services and income assume that Guildford House will remain closed until early September.

GUILDHALL

Direct Expenditure	25,031	120,350	90,921	(29,429)
Income	(2,604)	(39,060)	(17,024)	22,036
Total Directly Controllable (Income)/Expenditure	22,427	81,290	73,897	(7,393)

Indirect Expenditure	11,075	65,270	59,946	(5,324)
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Net (Income)/Expenditure	33,502	146,560	133,843	(12,717)
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There are salary savings due to vacancies and letting fees will be lower than budgeted.

INFORMATION RIGHTS OFFICER

Direct Expenditure	17,422	69,390	74,406	5,016
Income	(24,204)	(72,610)	(72,616)	(6)
Total Directly Controllable (Income)/Expenditure	(6,782)	(3,220)	1,790	5,010

Indirect Expenditure	2,536	7,590	7,594	4
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Net (Income)/Expenditure	(4,246)	4,370	9,384	5,014
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LAND DRAINAGE

Direct Expenditure	8,471	131,270	116,088	(15,182)
Total Directly Controllable (Income)/Expenditure	8,471	131,270	116,088	(15,182)

Indirect Expenditure	12,593	163,700	163,700	0
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Net (Income)/Expenditure	21,064	294,970	279,788	(15,182)
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LEISURE ART DEVELOPMENT

Direct Expenditure	17,209	95,330	94,977	(353)
Total Directly Controllable (Income)/Expenditure	17,209	95,330	94,977	(353)
Indirect Expenditure	7,572	22,700	22,706	6
Net (Income)/Expenditure	24,781	118,030	117,683	(347)

LEISURE COMMUNITY CENTRES

Direct Expenditure	8,736	33,640	31,557	(2,083)
Income	(2,754)	(11,370)	(9,642)	1,728
Total Directly Controllable (Income)/Expenditure	5,982	22,270	21,915	(355)
Indirect Expenditure	22,177	94,200	89,566	(4,634)
Net (Income)/Expenditure	28,159	116,470	111,481	(4,989)

LEISURE G LIVE

Direct Expenditure	124,299	414,820	413,982	(838)
Income	0	(49,380)	(19,380)	30,000
Total Directly Controllable (Income)/Expenditure	124,299	365,440	394,602	29,162
Indirect Expenditure	382,948	1,357,130	1,322,568	(34,562)
Net (Income)/Expenditure	507,247	1,722,570	1,717,170	(5,400)

LEISURE GRANTS

Direct Expenditure	178,021	393,060	393,131	71
Total Directly Controllable (Income)/Expenditure	178,021	393,060	393,131	71
Indirect Expenditure	972	0	486	486
Net (Income)/Expenditure	178,993	393,060	393,617	557

LEISURE MANAGEMENT CONTRACT

Direct Expenditure	135,007	1,394,250	1,116,160	(278,090)
Income	(56,080)	(2,071,140)	(629,917)	1,441,223
Total Directly Controllable (Income)/Expenditure	78,927	(676,890)	486,243	1,163,133
Indirect Expenditure	635,195	1,976,100	1,965,333	(10,767)
Net (Income)/Expenditure	714,122	1,299,210	2,451,576	1,152,366

Income budgets have been seriously affected by the Covid-19 pandemic with less income expected in almost all income budgets.

LEISURE PLAY DEVELOPMENT

Direct Expenditure	29,993	224,730	132,880	(91,850)
Income	(3,260)	(38,500)	(18,260)	20,240
Total Directly Controllable (Income)/Expenditure	26,733	186,230	114,620	(71,610)

Indirect Expenditure	9,916	29,680	29,702	22
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Net (Income)/Expenditure	36,649	215,910	144,322	(71,588)	As a result of Covid-19 casual staffing levels are expected to be lower along with costs relating to the hire of premises.
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LEISURE RANGERS

Direct Expenditure	46,636	220,330	176,907	(43,423)
Total Directly Controllable (Income)/Expenditure	46,636	220,330	176,907	(43,423)

Indirect Expenditure	3,648	10,930	10,936	6
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Net (Income)/Expenditure	50,284	231,260	187,843	(43,417)	As a result of Covid-19 casual staffing levels are expected to be lower along with costs relating to the hire of premises.
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LEISURE SPORT DEVELOPMENT

Direct Expenditure	20,104	89,280	63,719	(25,561)
Income	(4,650)	(1,500)	(4,650)	(3,150)
Total Directly Controllable (Income)/Expenditure	15,454	87,780	59,069	(28,711)

Indirect Expenditure	4,652	13,940	13,942	2
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Net (Income)/Expenditure	20,106	101,720	73,011	(28,709)	Reduction in expenditure due to staffing vacancies.
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MARKETS

Direct Expenditure	2,757	46,980	42,558	(4,422)
Income	(14,754)	(160,410)	(112,418)	47,992
Total Directly Controllable (Income)/Expenditure	(11,997)	(113,430)	(69,860)	43,570

Indirect Expenditure	1,812	5,430	5,434	4
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Net (Income)/Expenditure	(10,185)	(108,000)	(64,426)	43,574	Markets were free of charge for the first three months of the financial year hence the shortfall in income.
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MOT BAY

Direct Expenditure	31,795	124,620	123,564	(1,056)
Income	(19,963)	(154,070)	(127,509)	26,561
Total Directly Controllable (Income)/Expenditure	11,832	(29,450)	(3,945)	25,505

Indirect Expenditure	10,560	31,670	31,678	8
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Net (Income)/Expenditure	22,392	2,220	27,733	25,513	Income is projected under budget.
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GUILDFORD MUSEUM

Direct Expenditure	113,642	430,220	483,707	53,487
Income	0	(64,490)	(19,626)	44,864
Total Directly Controllable (Income)/Expenditure	113,642	365,730	464,081	98,351
Indirect Expenditure	53,204	149,960	151,988	2,028
Net (Income)/Expenditure	166,846	515,690	616,069	100,379

There is a lower casual staffing requirement. There is a carry forward for £70,000 not yet loaded on to the ledger for additional support in the form of consultancy. Another carryforward for £13,000 is included in the projections for accreditation and again this has not yet been loaded into the budget. Income at the castle, Victorian schoolroom and museum will be under budget due to a period of closure.

OFF STREET PARKING

Direct Expenditure	363,474	4,063,720	4,021,844	(41,876)
Income	(211,706)	(10,379,740)	(5,235,182)	5,144,558
Total Directly Controllable (Income)/Expenditure	151,768	(6,316,020)	(1,213,338)	5,102,682
Indirect Expenditure	480,906	1,633,940	1,627,031	(6,909)
Net (Income)/Expenditure	632,674	(4,682,080)	413,693	5,095,773

There are salary savings due to vacancies. General maintenance will be below budget this year. Works funded from the Car Parks Maintenance Reserve will be £300,700 (the budget as loaded was £190,000). There will be savings in Pay and Display maintenance, cash collection, equipment and ticket purchases. The projected income shortfall is significant with no restrictions in offstreet parking for the first three months of the financial year. Occupancy going forward is expected to be at much lower levels ranging from 33% to 85% by the very end of the year. Season ticket and contract car parking will also not achieve budget.

ON STREET PARKING

Direct Expenditure	65,123	1,342,520	1,152,098	(190,422)
Income	(96,356)	(1,826,680)	(1,153,991)	672,689
Total Directly Controllable (Income)/Expenditure	(31,233)	(484,160)	(1,893)	482,267
Indirect Expenditure	49,592	148,710	148,736	26
Net (Income)/Expenditure	18,359	(335,450)	146,843	482,293

There are salary savings due to vacancies. The payment to SCC under the agency agreement for Waverley onstreet is greatly reduced as income falls away due to pandemic lockdown regulations and at present we anticipate net expenditure for Guildford onstreet. There is a contribution of £23,810 for the design and installation of electric charging points which will be funded from reserve.

ORDNANCE SURVEY AND MAPPING SERVICES

Direct Expenditure	4,405	3,540	5,490	1,950
Total Directly Controllable (Income)/Expenditure	4,405	3,540	5,490	1,950
Indirect Expenditure	24	4,530	3,786	(744)
Net (Income)/Expenditure	4,429	8,070	9,276	1,206

PARKS AND COUNTRYSIDE

Direct Expenditure	1,105,094	4,149,120	4,303,146	154,026
Income	(353,336)	(1,242,570)	(1,140,379)	102,191
Total Directly Controllable (Income)/Expenditure	751,758	2,906,550	3,162,767	256,217
Indirect Expenditure	282,510	898,320	896,170	(2,150)
Net (Income)/Expenditure	1,034,268	3,804,870	4,058,937	254,067

There are salary savings due to vacancies. Utilities are more than budgeted and a carry forward for £45,000 for grounds works has been requested which has yet to be loaded to the ledger. Repairs and maintenance are at present £41,800 and the budget will be transferred from Asset Development at year end. There two further carry forwards in supplies and services totalling £89,600 which have also not been loaded (machinery/ plant purchase and playground equipment). There will be no contributions to festivals this financial year resulting in a saving of £20,000. It is anticipated that £80,000 will be spent on the Stoke Park masterplan, funded from reserve. Income projections are £102,200 less than budgeted notably in rents, fee income, roundabout advertising and hire of parks for events.

PARK AND RIDE SERVICES

Direct Expenditure	(198,116)	616,940	635,677	18,737
Income	32,355	(37,500)	(29,887)	7,613
Total Directly Controllable (Income)/Expenditure	(165,761)	579,440	605,790	26,350
Indirect Expenditure	36,737	264,180	261,154	(3,026)
Net (Income)/Expenditure	(129,024)	843,620	866,944	23,324

The contribution to Spectrum P&R weekend service will increase as bus operator income falls.

PROCUREMENT

Direct Expenditure	50,874	248,640	181,094	(67,546)
Income	(40,836)	(122,510)	(122,518)	(8)
Total Directly Controllable (Income)/Expenditure	10,038	126,130	58,576	(67,554)

Indirect Expenditure	8,568	25,700	25,702	2
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Net (Income)/Expenditure	18,606	151,830	84,278	(67,552)
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Agency staff costs of £81,000 are being saved due to an interim staff member being replaced by a fixed term appointment. The vacant post held in the old structure means this does not show as a variance on pay costs although the Senior Specialist Procurement was increased to 1 FTE, leading to an additional £14,000.

PUBLIC CONVENIENCES

Direct Expenditure	63,297	266,770	261,906	(4,864)
Income	(4,016)	(12,050)	(12,050)	0
Total Directly Controllable (Income)/Expenditure	59,281	254,720	249,856	(4,864)

Indirect Expenditure	25,888	96,510	93,257	(3,253)
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Net (Income)/Expenditure	85,169	351,230	343,113	(8,117)
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REFUSE AND RECYCLING

Direct Expenditure	1,429,900	6,013,970	6,216,624	202,654
Income	(1,407,178)	(3,171,790)	(2,928,376)	243,414
Total Directly Controllable (Income)/Expenditure	22,722	2,842,180	3,288,248	446,068

Indirect Expenditure	167,244	503,060	502,878	(182)
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Net (Income)/Expenditure	189,966	3,345,240	3,791,126	445,886
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There are additional costs associated with agency staff. Vehicle hire costs are will be over budget by £22,500 as the existing fleet has yet to be replaced. Trade refuse disposal charges and refuse sack sales are less than budget but so is the corresponding income. Educational promotion and publicity budgets will not be spent. Garden waste income will exceed budget by £160,000 and unbudgeted special collections are £25,800. Cardboard recycling income will not achieve budget.

RIVER CONTROL

Direct Expenditure	94,866	22,300	20,085	(2,215)
Total Directly Controllable (Income)/Expenditure	94,866	22,300	20,085	(2,215)

Indirect Expenditure	22,279	4,940	34,712	29,772
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Net (Income)/Expenditure	117,145	27,240	54,797	27,557
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The engineers recharge is greater than budgeted due to the collapse of the weir at Millmead.

ROADS AND FOOTPATHS MAINTENANCE

Direct Expenditure	3,908	37,580	37,094	(486)
Total Directly Controllable (Income)/Expenditure	3,908	37,580	37,094	(486)
Indirect Expenditure	22,955	72,110	72,159	49
Net (Income)/Expenditure	26,863	109,690	109,253	(437)

SNOW AND ICE PLAN HOLDING ACCOUNT

Direct Expenditure	13,072	32,790	34,176	1,386
Income	0	(55,140)	(55,140)	0
Total Directly Controllable (Income)/Expenditure	13,072	(22,350)	(20,964)	1,386
Indirect Expenditure	80	1,230	1,066	(164)
Net (Income)/Expenditure	13,152	(21,120)	(19,898)	1,222

SPA SITES

Direct Expenditure	9,290	50,000	100,024	50,024
Income	(79,750)	(50,000)	(113,086)	(63,086)
Total Directly Controllable (Income)/Expenditure	(70,460)	0	(13,062)	(13,062)
Net (Income)/Expenditure	(70,460)	0	(13,062)	(13,062)

The SPA income for the future development and maintenance of green spaces is currently projected approximately on budget. An element of this income will be used in the current year to fund revenue spending, the remainder will be transferred to the reserve at year-end. There will be additional expenditure this year at Parsonage and Riverside (boardwalk repairs) and there have been increased SPA receipts allocated to Effingham Common.

STREET CLEANSING

Direct Expenditure	576,014	2,283,460	1,990,044	(293,416)
Income	(49,171)	(182,670)	(177,786)	4,884
Total Directly Controllable (Income)/Expenditure	526,843	2,100,790	1,812,258	(288,532)
Indirect Expenditure	58,004	174,000	174,010	10
Net (Income)/Expenditure	584,847	2,274,790	1,986,268	(288,522)

There are salary savings due to vacancies. Fuel costs will be less than budgeted but there has been an increase in the hire of vehicles. There are in addition savings in supplies and services.

STREET FURNITURE

Direct Expenditure	19,988	83,310	76,373	(6,937)
Total Directly Controllable (Income)/Expenditure	19,988	83,310	76,373	(6,937)
Indirect Expenditure	5,368	30,280	28,333	(1,947)
Net (Income)/Expenditure	25,356	113,590	104,706	(8,884)

TOURIST INFORMATION CENTRE

Direct Expenditure	69,523	264,110	254,843	(9,267)
Income	10,933	(58,630)	(15,173)	43,457
Total Directly Controllable (Income)/Expenditure	80,456	205,480	239,670	34,190
Indirect Expenditure	16,900	50,690	50,696	6
Net (Income)/Expenditure	97,356	256,170	290,366	34,196

Although the TIC has now re-opened there are projected income shortfalls.

BUSINESS AND TOURISM

Direct Expenditure	66,118	478,680	357,123	(121,557)
Income	(1,391)	(135,680)	(58,484)	77,196
Total Directly Controllable (Income)/Expenditure	64,727	343,000	298,639	(44,361)
Indirect Expenditure	35,199	106,070	106,133	63
Net (Income)/Expenditure	99,926	449,070	404,772	(44,298)

Salary savings from Future Guildford amount to £49,000 excluding those directly charged to individual events. The cancellation of Guildford Summer Festival saves £10,000 expenditure but loses £10,000 of income. It has been assumed that Innovate Guildford will not be held, which will save £21,000 expenditure but would normally deliver £21,000 income and Tourism will lose £43,000 of income due to event and publication cancellations but aims to save £30,000 of expenditure.

TOWN CENTRE MANAGEMENT

Direct Expenditure	30,110	95,920	102,526	6,606
Income	(5,567)	(225,130)	(51,500)	173,630
Total Directly Controllable (Income)/Expenditure	24,543	(129,210)	51,026	180,236
Indirect Expenditure	5,608	16,790	16,808	18
Net (Income)/Expenditure	30,151	(112,420)	67,834	180,254

Sponsorship and advertising income targets will face a severe challenge this year, due to the economic conditions and the removal of dedicated resource to identify and coordinate initiatives with leaders in other services. We are therefore projecting an adverse variance of £158k in this income. Farmers Market income is forecast to be £15k lower due to Covid-19 closures, with associated expenditure savings being offset by unbudgeted vehicle lease charges and consultancy costs.

TRANSPORTATION

Direct Expenditure	30	12,740	12,730	(10)
Total Directly Controllable (Income)/Expenditure	30	12,740	12,730	(10)
Indirect Expenditure	1,691	7,960	7,159	(801)
Net (Income)/Expenditure	1,721	20,700	19,889	(811)

VEHICLE MAINTENANCE WORKSHOP

Direct Expenditure	272,751	730,700	842,350	111,650
Income	(134,027)	(774,430)	(858,681)	(84,251)
Total Directly Controllable (Income)/Expenditure	138,724	(43,730)	(16,331)	27,399
Indirect Expenditure	16,376	49,120	49,126	6
Net (Income)/Expenditure	155,100	5,390	32,795	27,405

Additional staffing costs, parts and external repairs will be recovered through the recharge to relevant services. There is a redundancy cost in this service which represents the outstanding balance.

THE VILLAGE

WOKING ROAD DEPOT

Direct Expenditure	66,429	486,590	444,444	(42,146)
Income	(164,946)	(535,360)	(541,618)	(6,258)
Total Directly Controllable (Income)/Expenditure	(98,517)	(48,770)	(97,174)	(48,404)
Indirect Expenditure	31,312	143,660	142,614	(1,046)
Net (Income)/Expenditure	(67,205)	94,890	45,440	(49,450)

There are salary savings due to vacancies.

RECYCLING, CLEANSING AND PARKING SERVICES OVERHEAD ACCOUNT

Direct Expenditure	21,693	88,660	81,311	(7,349)
Income	(29,292)	(87,880)	(87,886)	(6)
Total Directly Controllable (Income)/Expenditure	(7,599)	780	(6,575)	(7,355)
Indirect Expenditure	3,564	10,690	10,692	2
Net (Income)/Expenditure	(4,035)	11,470	4,117	(7,353)

FINANCE DIRECTORATE SUMMARY

	Actual	Revised Budget	Projected Outturn	Variance	Notes
Direct Expenditure	8,943,294	43,494,950	45,438,383	1,943,433	
Income	(6,627,564)	(34,723,730)	(35,446,711)	(722,981)	
Total Directly Controllable (Income)/Expenditure	2,315,730	8,771,220	9,991,672	1,220,452	
Indirect Expenditure	787,324	3,049,660	3,020,498	(29,162)	
Net (Income)/Expenditure	3,103,054	11,820,880	13,012,170	1,191,290	

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ACCESS GROUP FOR GUILDFORD

Direct Expenditure	390	2,880	2,333	(547)
Total Directly Controllable (Income)/Expenditure	390	2,880	2,333	(547)
Indirect Expenditure	816	2,430	2,430	0
Net (Income)/Expenditure	1,206	5,310	4,763	(547)

ACCOUNTANCY

Direct Expenditure	159,480	747,120	768,864	21,744
Income	(320,304)	(960,910)	(960,974)	(64)
Total Directly Controllable (Income)/Expenditure	(160,824)	(213,790)	(192,110)	21,680
Indirect Expenditure	35,852	107,520	107,538	18
Net (Income)/Expenditure	(124,972)	(106,270)	(84,572)	21,698

Increases in the costs of agency staffing.

BUSINESS RATES

Direct Expenditure	58,608	205,810	203,757	(2,053)
Income	(9,558)	(258,910)	(241,097)	17,813
Total Directly Controllable (Income)/Expenditure	49,050	(53,100)	(37,340)	15,760
Indirect Expenditure	13,308	39,850	39,862	12
Net (Income)/Expenditure	62,358	(13,250)	2,522	15,772

CIVIC EXPENSES

Direct Expenditure	30,135	226,030	188,454	(37,576)
Total Directly Controllable (Income)/Expenditure	30,135	226,030	188,454	(37,576)

Indirect Expenditure	10,124	30,330	30,340	10
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Net (Income)/Expenditure	40,259	256,360	218,794	(37,566)
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£15,000 of salary savings and £20,000 of borough promotional cost savings due to event cancellations as a consequence of Covid-19.

COUNCIL AND COMMITTEE SUPPORT

Direct Expenditure	43,385	215,630	163,825	(51,805)
Income	0	(39,000)	(29,900)	9,100
Total Directly Controllable (Income)/Expenditure	43,385	176,630	133,925	(42,705)

Indirect Expenditure	85,148	255,270	255,326	56
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Net (Income)/Expenditure	128,533	431,900	389,251	(42,649)
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The decision to hold paperless meetings, together with remotely held meetings are estimated to deliver combined savings of £55,000. Salary savings amount to £11,000, although £14,000 of redundancy costs have been incurred. The forecast recharge to the HRA is reduced by £9,000 as a result of these savings.

CORPORATE FINANCIAL

Direct Expenditure	136,050	177,730	300,095	122,365
Income	0	(150,000)	(150,000)	0
Total Directly Controllable (Income)/Expenditure	136,050	27,730	150,095	122,365

Indirect Expenditure	83,232	249,660	249,690	30
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Net (Income)/Expenditure	219,282	277,390	399,785	122,395
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Increased costs of brokerage commission against budget.

CORPORATE SERVICES

Direct Expenditure	226,662	731,090	738,911	7,821
Income	0	(115,000)	(115,000)	0
Total Directly Controllable (Income)/Expenditure	226,662	616,090	623,911	7,821

Indirect Expenditure	137,636	412,860	412,896	36
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Net (Income)/Expenditure	364,298	1,028,950	1,036,807	7,857
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COMMITTEE SERVICES

Direct Expenditure	51,020	189,880	186,716	(3,164)
Income	(73,780)	(221,340)	(221,354)	(14)
Total Directly Controllable (Income)/Expenditure	(22,760)	(31,460)	(34,638)	(3,178)
Indirect Expenditure	12,572	37,690	37,700	10
Net (Income)/Expenditure	(10,188)	6,230	3,062	(3,168)

COUNCIL TAX

Direct Expenditure	205,649	714,040	656,355	(57,685)
Income	0	(290,000)	(145,000)	145,000
Total Directly Controllable (Income)/Expenditure	205,649	424,040	511,355	87,315
Indirect Expenditure	45,232	135,680	135,694	14
Net (Income)/Expenditure	250,881	559,720	647,049	87,329

There are a large number of vacancies in the Council Tax collection team which are in part being covered by temporary staff. The overall effect on staffing costs is a saving of £55,000. Due to Covid-19 recovery action is being deferred; it is expected that income from recovery of costs will reduce by £145,000.

DEMOCRATIC REPRESENTATION AND MANAGEMENT

Direct Expenditure	192,880	720,490	713,886	(6,604)
Income	0	(107,800)	(107,800)	0
Total Directly Controllable (Income)/Expenditure	192,880	612,690	606,086	(6,604)
Indirect Expenditure	70,152	210,370	210,396	26
Net (Income)/Expenditure	263,032	823,060	816,482	(6,578)

ELECTIONS

Direct Expenditure	20,334	73,930	70,863	(3,067)
Income	(9,413)	0	(9,413)	(9,413)
Total Directly Controllable (Income)/Expenditure	10,921	73,930	61,450	(12,480)
Indirect Expenditure	7,248	21,700	21,708	8
Net (Income)/Expenditure	18,169	95,630	83,158	(12,472)

ELECTORAL REGISTRATION

Direct Expenditure	38,673	268,920	203,204	(65,716)
Income	(16,109)	(26,610)	(23,777)	2,833
Total Directly Controllable (Income)/Expenditure	22,564	242,310	179,427	(62,883)
Indirect Expenditure	11,384	34,120	34,128	8
Net (Income)/Expenditure	33,948	276,430	213,555	(62,875)

Forecast savings in individual electoral registration fees.

FEASIBILITY STUDIES

Direct Expenditure	(2,650)	40,000	40,000	0
Total Directly Controllable (Income)/Expenditure	(2,650)	40,000	40,000	0
Indirect Expenditure	156	470	470	0
Net (Income)/Expenditure	(2,494)	40,470	40,470	0

DEBTORS

Direct Expenditure	41,979	166,330	165,974	(356)
Income	(69,932)	(212,310)	(209,814)	2,496
Total Directly Controllable (Income)/Expenditure	(27,953)	(45,980)	(43,840)	2,140
Indirect Expenditure	14,880	44,620	44,628	8
Net (Income)/Expenditure	(13,073)	(1,360)	788	2,148

HOUSING BENEFITS

Direct Expenditure	4,799,595	28,614,900	27,453,323	(1,161,577)
Income	(3,111,827)	(28,374,100)	(27,308,102)	1,065,998
Total Directly Controllable (Income)/Expenditure	1,687,768	240,800	145,221	(95,579)
Indirect Expenditure	68,720	206,140	206,158	18
Net (Income)/Expenditure	1,756,488	446,940	351,379	(95,561)

The £96,000 improvement against budget is comprised of an additional £80,000 of grant funding received from central government in excess of estimates and savings on consultancy and printing costs £16,000.

INSURANCE REVENUE ACCOUNT

Direct Expenditure	837,361	826,490	867,263	40,773
Income	(14,412)	(832,710)	(831,622)	1,088
Total Directly Controllable (Income)/Expenditure	822,949	(6,220)	35,641	41,861
Indirect Expenditure	2,076	6,220	6,220	0
Net (Income)/Expenditure	825,025	0	41,861	41,861

Increases in insurance premiums paid.

IT RENEWALS REVENUE ACCOUNT

Income	(297,752)	(893,250)	(893,250)	0
Total Directly Controllable (Income)/Expenditure	(297,752)	(893,250)	(893,250)	0
Indirect Expenditure	75,292	914,440	884,960	(29,480)
Net (Income)/Expenditure	(222,460)	21,190	(8,290)	(29,480)

Reduced forecast depreciation charge.

MANAGEMENT POLICY STRATEGY

Direct Expenditure	202,824	280,620	322,347	41,727
Income	(106,268)	(303,800)	(308,820)	(5,020)
Total Directly Controllable (Income)/Expenditure	96,556	(23,180)	13,527	36,707
Indirect Expenditure	7,908	23,690	23,698	8
Net (Income)/Expenditure	104,464	510	37,225	36,715

£16,000 of savings are forecast due to salary savings resulting from the vacant Lead Specialist post and forecast IT security costs £10,000. SOCITM consultancy covering the Lead Specialist role, recruitment services and supporting the rolling out of devices amount to £71,000. An unbudgeted grant amounts to £5,000.

MISCELLANEOUS ITEMS

Direct Expenditure	1,156,633	912,680	4,132,054	3,219,374
Income	(1,959,171)	(15,240)	(1,969,986)	(1,954,746)
Total Directly Controllable (Income)/Expenditure	(802,538)	897,440	2,162,068	1,264,628
Indirect Expenditure	152	450	450	0
Net (Income)/Expenditure	(802,386)	897,890	2,162,518	1,264,628

Includes the additional costs incurred and Government support received for Covid-19.

OPERATIONS TECHNICAL SERVICES

Direct Expenditure	401,669	1,238,240	1,148,145	(90,095)
Income	(423,142)	(1,271,610)	(1,270,194)	1,416
Total Directly Controllable (Income)/Expenditure	(21,473)	(33,370)	(122,049)	(88,679)
Indirect Expenditure	42,628	127,810	127,834	24
Net (Income)/Expenditure	21,155	94,440	5,785	(88,655)

Salary Savings from Future Guildford and vacancies amount to £234,000 although there has been some requirement for agency staff totalling £44,000. £12,000 of licences as a result of decommissioning legacy systems will be funded by a virement and £15k of legacy mobile phones are in excess of current operating budgets. The remaining costs are those taken centrally by IT previously allocated out to services. There should be a compensating saving in the services.

PARISH AND LOCAL LIAISON

Direct Expenditure	13,618	187,530	187,483	(47)
Total Directly Controllable (Income)/Expenditure	13,618	187,530	187,483	(47)
Indirect Expenditure	2,680	8,010	8,018	8
Net (Income)/Expenditure	16,298	195,540	195,501	(39)

PAYMENTS AND PURCHASING

Direct Expenditure	67,831	267,910	243,742	(24,168)
Income	(143,340)	(433,470)	(432,924)	546
Total Directly Controllable (Income)/Expenditure	(75,509)	(165,560)	(189,182)	(23,622)
Indirect Expenditure	33,288	99,850	99,864	14
Net (Income)/Expenditure	(42,221)	(65,710)	(89,318)	(23,608)

Reduction in licensing costs when compared to budget.

PORTFOLIO MANAGEMENT

Direct Expenditure	56,109	262,860	213,635	(49,225)
Income	(72,556)	(217,670)	(217,684)	(14)
Total Directly Controllable (Income)/Expenditure	(16,447)	45,190	(4,049)	(49,239)
Indirect Expenditure	9,272	27,800	27,804	4
Net (Income)/Expenditure	(7,175)	72,990	23,755	(49,235)

Salary savings resulting from Future Guildford amount to £49,000.

NON DISTRIBUTED COSTS

Direct Expenditure	110,121	6,212,150	6,212,150	0
Total Directly Controllable (Income)/Expenditure	110,121	6,212,150	6,212,150	0
Indirect Expenditure	8,504	25,510	25,512	2
Net (Income)/Expenditure	118,625	6,237,660	6,237,662	2

WEBSITE

Direct Expenditure	94,938	211,680	255,004	43,324
Total Directly Controllable (Income)/Expenditure	94,938	211,680	255,004	43,324
Indirect Expenditure	9,064	27,170	27,174	4
Net (Income)/Expenditure	104,002	238,850	282,178	43,328

An increase in the salary budget as a result of a virement has been excluded in error but will appear as an underspend in Public Relations and Marketing. This budget covers a member of staff who will be working on the Future Guildford project for a least 6 months of the financial year

GUILDFORD YOUTH COUNCIL

Direct Expenditure	0	10	0	(10)
Total Directly Controllable (Income)/Expenditure	0	10	0	(10)
Net (Income)/Expenditure	0	10	0	(10)

MANAGEMENT DIRECTORATE SUMMARY	Actual	Revised Budget	Projected Outturn	Variance	Notes
Direct Expenditure	4,984,528	900,240	1,703,651	803,411	
Income	(606,968)	(1,795,240)	(1,790,881)	4,359	
Total Directly Controllable (Income)/Expenditure	4,377,560	(895,000)	(87,230)	807,770	
Indirect Expenditure	111,866	328,980	330,412	1,432	
Net (Income)/Expenditure	4,489,426	(566,020)	243,182	809,202	

COMMUNITY DEVELOPMENT

Direct Expenditure	80,383	293,930	261,300	(32,630)	
Income	(16,048)	(18,000)	(18,023)	(23)	
Total Directly Controllable (Income)/Expenditure	64,335	275,930	243,277	(32,653)	
Indirect Expenditure	14,408	38,500	39,290	790	
Net (Income)/Expenditure	78,743	314,430	282,567	(31,863)	Overall the Community Development service is achieving expenditure savings of £32,000 compared with budget. This is vacancies and redundant posts as a result of Future Guildford £48,000, less car leasing costs £4,000 and forecast spend on the Safer Guildford Partnership carried forward from 2019-20, not yet reflected in the budget. Of the £37,727 carry forward we anticipate spending £13,430 in 2020-21.

CUSTOMER SERVICE CENTRE

Direct Expenditure	83,050	306,160	308,385	2,225	
Income	(151,192)	(453,570)	(453,602)	(32)	
Total Directly Controllable (Income)/Expenditure	(68,142)	(147,410)	(145,217)	2,193	
Indirect Expenditure	26,632	79,890	79,896	6	
Net (Income)/Expenditure	(41,510)	(67,520)	(65,321)	2,199	

INTERNAL AUDIT

Direct Expenditure	5,017	117,380	117,737	357	
Income	(49,872)	(149,610)	(149,620)	(10)	
Total Directly Controllable (Income)/Expenditure	(44,855)	(32,230)	(31,883)	347	
Indirect Expenditure	2,384	7,150	7,156	6	
Net (Income)/Expenditure	(42,471)	(25,080)	(24,727)	353	

BUSINESS IMPROVEMENT

Direct Expenditure	62,938	247,990	248,477	487
Income	(83,040)	(249,120)	(249,136)	(16)
Total Directly Controllable (Income)/Expenditure	(20,102)	(1,130)	(659)	471
Indirect Expenditure	10,312	30,910	30,922	12
Net (Income)/Expenditure	(9,790)	29,780	30,263	483

FUTURE GUILDFORD

Direct Expenditure	1,274,136	(1,349,430)	(427,682)	921,748
Total Directly Controllable (Income)/Expenditure	1,274,136	(1,349,430)	(427,682)	921,748
Indirect Expenditure	570	0	570	570
Net (Income)/Expenditure	1,274,706	(1,349,430)	(427,112)	922,318

Additional costs funded from reserves and savings yet to be reallocated.

HR SERVICES

Direct Expenditure	141,210	464,310	518,588	54,278
Income	(188,248)	(564,740)	(564,778)	(38)
Total Directly Controllable (Income)/Expenditure	(47,038)	(100,430)	(46,190)	54,240
Indirect Expenditure	25,448	76,340	76,348	8
Net (Income)/Expenditure	(21,590)	(24,090)	30,158	54,248

Increases due, in the main, to staffing and medical costs.

OTHER EMPLOYEE COSTS

Direct Expenditure	3,252,797	301,720	296,685	(5,035)
Income	(72,744)	(218,230)	(218,244)	(14)
Total Directly Controllable (Income)/Expenditure	3,180,053	83,490	78,441	(5,049)
Indirect Expenditure	5,496	16,460	16,466	6
Net (Income)/Expenditure	3,185,549	99,950	94,907	(5,043)

PAYROLL AND INSURANCE

Direct Expenditure	28,499	117,220	114,826	(2,394)
Income	(45,824)	(137,470)	(137,478)	(8)
Total Directly Controllable (Income)/Expenditure	(17,325)	(20,250)	(22,652)	(2,402)
Indirect Expenditure	7,300	21,830	21,846	16
Net (Income)/Expenditure	(10,025)	1,580	(806)	(2,386)

PUBLIC RELATIONS AND MARKETING

Direct Expenditure	56,498	400,960	265,335	(135,625)
Income	0	(4,500)	0	4,500
Total Directly Controllable (Income)/Expenditure	56,498	396,460	265,335	(131,125)
Indirect Expenditure	19,316	57,900	57,918	18
Net (Income)/Expenditure	75,814	454,360	323,253	(131,107)

£83,000 of salary savings are forecast through vacancies and the implementation of the Future Guildford structure. £51,000 of savings will be achieved through the electronic About Guildford newsletter and ceasing special promotional expenditure. There will however be a small loss of associated advertising income.

PLANNING AND REGENERATION DIRECTORATE SUMMARY

	Actual	Revised Budget	Projected Outturn	Variance	Notes
Direct Expenditure	1,184,520	4,976,920	6,209,553	1,232,633	
Income	(573,590)	(2,774,200)	(2,389,379)	384,821	
Total Directly Controllable (Income)/Expenditure	610,930	2,202,720	3,820,174	1,617,454	
Indirect Expenditure	389,014	1,125,450	1,149,961	24,511	
Net (Income)/Expenditure	999,944	3,328,170	4,970,135	1,641,965	

BUILDING CONTROL SUMMARY

Direct Expenditure	222,211	774,660	767,800	(6,860)
Income	(109,205)	(503,500)	(402,918)	100,582
Total Directly Controllable (Income)/Expenditure	113,006	271,160	364,882	93,722
Indirect Expenditure	40,092	120,270	120,280	10
Net (Income)/Expenditure	153,098	391,430	485,162	93,732

There are employment related savings of £34,200 due to vacancies; temporary staff are assumed to have left the organisation by the end of December. Consultants costs will be £25,000 over budget. At present Building Control fees are expected to be under budget by £100,000.

CLIMATE CHANGE

Direct Expenditure	21,077	288,840	230,562	(58,278)
Income	(16,252)	(190,500)	(182,558)	7,942
Total Directly Controllable (Income)/Expenditure	4,825	98,340	48,004	(50,336)
Indirect Expenditure	16,356	49,260	49,236	(24)
Net (Income)/Expenditure	21,181	147,600	97,240	(50,360)

There are salary savings showing in this service although these relate to a post that is no longer on the establishment as per Future Guildford phase A.

DEVELOPMENT CONTROL

Direct Expenditure	569,152	1,978,840	2,071,715	92,875
Income	(402,755)	(1,753,380)	(1,589,399)	163,981
Total Directly Controllable (Income)/Expenditure	166,397	225,460	482,316	256,856
Indirect Expenditure	204,642	575,150	599,311	24,161
Net (Income)/Expenditure	371,039	800,610	1,081,627	281,017

Employee related expenditure is over budget by £56,600 but there is a carry forward of £35,200 which hasn't yet been loaded to cover some of the shortfall. It is assumed that most temporary staff will have left the organisation by the end of November when Future Guildford Phase B is finalised. Planning appeal expenses are projected to be over budget by £40,000 although there are further appeals which, if successful, could result in greater costs awarded against us. At this stage in the year it is assumed that income will be under budget by £164,000 although included in that figure is additional Planning Performance Agreement income of £120,000.

LOCAL LAND CHARGES

Direct Expenditure	49,781	219,700	199,533	(20,167)
Income	(45,220)	(266,060)	(188,784)	77,276
Total Directly Controllable (Income)/Expenditure	4,561	(46,360)	10,749	57,109
Indirect Expenditure	10,516	32,730	32,538	(192)
Net (Income)/Expenditure	15,077	(13,630)	43,287	56,917

We are projecting at the moment a shortfall in income of around £54,000.

MAJOR PROJECTS

Direct Expenditure	131,840	465,170	2,013,957	1,548,787
Total Directly Controllable (Income)/Expenditure	131,840	465,170	2,013,957	1,548,787
Indirect Expenditure	48,480	145,360	145,386	26
Net (Income)/Expenditure	180,320	610,530	2,159,343	1,548,813

Employee related costs are expected to be £45,848 under the revenue budget which takes into account a capital allocation of £85,100. The allocation between revenue and capital will be revised at each monitoring period as the individual projects move from revenue to capital. There are unbudgeted agency costs of £147,772. Consultants costs of £1,436,362 will be funded from reserves.

POLICY

Direct Expenditure	181,475	1,196,930	874,252	(322,678)
Income	(158)	(60,760)	(25,720)	35,040
Total Directly Controllable (Income)/Expenditure	181,317	1,136,170	848,532	(287,638)
Indirect Expenditure	61,632	180,800	181,322	522
Net (Income)/Expenditure	242,949	1,316,970	1,029,854	(287,116)

There are employment related expenditure savings of £292,400. The Future Guildford phase A budget is not loaded into the system though and there are in fact two vacant posts in design and conservation that will be recruited to in the new calendar year resulting in an actual saving of £73,530. Agency staff to the end of November is estimated at £37,000. The CIL budget of £53,969 is a carry forward not yet loaded on to the system as is an Infrastructure Delivery Plan carry forward of £60,000; only £40,000 of the CIL budget will be spent and it is not now expected that the IDP budget will be spent in this financial year. Local Plan consultancy is expected to be £65,000 in 2020-21 but there will be consultants costs for neighbourhood plans of £30,000. Although neighbourhood plan referendums are delayed we will received £25,000 for Burpham (re-designation) and Lovelace. Inspectors fees will not be needed (a saving of £50,000) and there are printing savings of £30,000 (part of the service challenge saving).

SLYFIELD AREA REGENERATION PROJECT (SARP)

Direct Expenditure	8,984	52,780	51,734	(1,046)
Total Directly Controllable (Income)/Expenditure	8,984	52,780	51,734	(1,046)
Indirect Expenditure	7,296	21,880	21,888	8
Net (Income)/Expenditure	16,280	74,660	73,622	(1,038)

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HOUSING REVENUE ACCOUNT SUMMARY - BUDGET MONITOR (APRIL 2020- JULY 2020) APPENDIX 3				
2018-19	2019-20	Analysis	2020-21	2020-21
Actual	Actual		Estimate	Projection
£	£	Borough Housing Services	£	£
738,104	793,019	Income Collection	689,870	701,138
1,036,217	1,164,320	Tenants Services	889,510	934,365
81,030	122,998	Tenant Participation	148,900	139,030
69,865	107,717	Garage Management	101,710	97,576
59,064	41,744	Elderly Persons Dwellings	75,280	73,729
584,036	575,851	Flats Communal Services	513,530	594,784
423,867	414,254	Environmental Works to Estates	444,460	440,293
5,676,678	6,265,983	Responsive & Planned Maintenance	5,869,138	6,158,020
121,665	137,128	SOCH & Equity Share Administration	139,820	142,172
8,790,527	9,623,015		8,872,218	9,281,107
		Strategic Housing Services		
419,543	485,497	Advice, Registers & Tenant Selection	366,800	350,607
217,026	201,203	Void Property Management & Lettings	212,290	181,426
9,700	5,120	Homelessness Hostels	5,120	5,070
155,194	175,717	Supported Housing Management	160,730	159,669
426,311	527,717	Strategic Support to the HRA	382,440	393,804
1,227,774	1,395,255		1,127,380	1,090,575
		Community Services		
938,878	883,927	Sheltered Housing	915,270	954,754
		Other Items		
5,638,889	5,640,147	Depreciation	5,525,000	5,528,730
(45,515)	5,059,974	Revaluation and other Capital items	0	0
163,276	160,590	Debt Management	150,000	148,125
343,578	36,359	Other Items	402,380	423,565
17,057,407	22,799,267	Total Expenditure	16,992,248	17,426,857
(31,991,396)	(32,532,978)	Income	(32,792,262)	(32,907,117)
(14,933,989)	(9,733,711)	Net Cost of Services(per inc & exp a/c)	(15,800,014)	(15,480,260)
258,720	251,530	HRA share of CDC	256,800	251,530
(14,675,269)	(9,482,181)	Net Cost of HRA Services	(15,543,214)	(15,228,730)
(456,206)	(598,260)	Investment Income	(598,260)	(598,260)
5,159,240	5,131,995	Interest Payable	5,142,230	5,142,230
(9,972,235)	(4,948,446)	Deficit for Year on HRA Services	(10,999,244)	(10,684,760)
0	67,919	REFCUS - Revenue funded from capital	75,000	75,000
2,500,000	2,500,000	Contrib to/(Use of) RFFC	2,500,000	2,500,000
7,849,699	8,530,888	Contrib to/(Use of) New Build Reserve	8,433,504	8,530,888
(421,229)	0	Tfr (fr) to Pensions Reserve	0	0
0	0	Tfr (from)/to CAA re: Voluntary Revenue Provision	0	0
76,058	0	Tfr (from)/to CAA re: Revaluation	0	0

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Appendix 3

0	0	Tfr (from)/to CAA re: REFCUS	0	0
(30,543)	0	Tfr (from)/to CAA re: Intangible assets	0	0
(1,750)	0	Tfr (from)/to CAA re: rev. inc. from sale of asset	0	0
0	6,150,360	HRA Balance	9,260	421,128
(2,500,000)	(2,500,000)	Balance Brought Forward	(2,500,000)	(2,500,000)
(2,500,000)	3,650,360	Balance Carried Forward	(2,490,740)	(2,078,872)
2018-19	2019-20	Analysis	2019-20	2019-20
Actual	Projection		Estimate	Projection
£	£	Borough Housing Services	£	£
(29,236,342)	(29,570,473)	Rent Income - Dwellings	(29,977,443)	(29,979,995)
(208,349)	(208,349)	Rent Income - Rosebery Hsg Assoc	(208,350)	(286,024)
(206,530)	(225,551)	Rents - Shops, Buildings etc	(224,650)	(224,660)
(718,083)	(753,058)	Rents - Garages	(759,744)	(759,740)
(30,369,304)	(30,757,431)	Total Rent Income	(31,170,187)	(31,250,419)
(140,122)	(113,577)	Supporting People Grant	(107,870)	(107,870)
(1,023,033)	(1,098,353)	Service Charges	(1,102,650)	(1,112,730)
(9,144)	(15,339)	Legal Fees Recovered	(28,840)	0
(51,614)	(53,277)	Service Charges Recovered	(55,000)	(225,121)
(398,179)	(495,001)	Miscellaneous Income	(327,715)	(89,670)
(31,991,396)	(32,532,978)	Total Income	(32,792,262)	(32,785,811)

GENERAL FUND CAPITAL PROGRAMME - ESTIMATED EXPENDITURE 2020-21 to 2025-26

Ref	Directorate/Service and Capital Scheme name	Approved gross estimate (a) £000	Cumulative spend at 31-03-20 (b) £000	2020-21	Revised estimate (d) £000	Expenditure at end P4 (e) £000	Projected exp est by project officer (f) £000	2021-22 Est	2022-23 Est	2023-24 Est	2024-25 Est	2025-26 Est	Future years est exp (g) £000	Projected expenditure total (b)+(g)=(h) £000	Grants / Contributions towards cost of scheme (i) £000	Funded from Reserves	Net cost of scheme (h)-(i)=(j) £000
				Estimate approved by Council in February (c) £000				for year (ii) £000	for year (iii) £000	for year (iv) £000	for year (v) £000	for year (v) £000					
APPROVED SCHEMES																	
COMMUNITY DIRECTORATE																	
General Fund Housing																	
	Disabled Facilities Grants		annual	605	605	55	605	605	605	605	605	-	2,420	3,025	-	-	3,025
	Better Care Fund		annual	-	-	47	-	-	-	-	-	-	-	-	-	-	-
	Home Improvement Assistance		annual	-	-	10	-	-	-	-	-	-	-	-	-	-	-
	Solar Energy Loans		annual	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	BCF TESH Project		annual	-	-	9	-	-	-	-	-	-	-	-	-	-	-
	BCF Prevention grant		annual	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	SHIP		annual	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	General Grants to HAs		annual	100	100	-	100	100	100	100	100	-	400	500	-	-	500
	General feasibility, site preparation costs for affordable housing		annual	120	120	-	120	120	120	120	120	-	480	600	-	-	600
	Bright Hill Car Park Site			43	-	-	27	-	-	-	-	-	-	-	-	-	-
	Garage Sites-General			161	-	-	-	-	-	-	-	-	-	-	-	-	-
	Shawfield			-	-	0	-	-	-	-	-	-	-	-	-	-	-
	Site B10b feasibility			2	-	-	0	-	-	-	-	-	-	-	-	-	-
	Redevelopment bid 13			109	-	-	27	-	-	-	-	-	-	-	-	-	-
	Corporate Property			-	-	-	-	-	-	-	-	-	-	-	-	-	-
ED14(e)	Void investment property refurbishment works	570	324	170	207	-	207	-	-	-	-	-	-	570	-	-	570
	Unit 2 The Billings void works	-	-	-	20	0	20	-	-	-	-	-	-	-	-	-	-
ED14	5 High Street void works	-	-	-	19	2	19	-	-	-	-	-	-	-	-	-	-
ED14	10 Middleton void works	230	7	-	223	-	223	-	-	-	-	-	-	230	(100)	-	130
ED21	Methane gas monitoring system	100	45	-	51	-	51	-	-	-	-	-	-	100	-	-	100
ED21a	Methane gas monitoring Depots	-	-	-	4	60	4	-	-	-	-	-	-	-	-	-	-
ED22	Energy efficiency compliance - Council owned properties	245	82	137	163	0	163	-	-	-	-	-	-	245	-	-	245
ED26	Bridges -Inspections and remedial works	317	174	-	120	-	120	-	-	-	-	-	-	317	-	-	317
ED26	Bridges - Millmead Footbridge	-	4	-	-	-	-	-	-	-	-	-	-	-	-	-	-
ED26	Bridges - Shalford Common	-	1	-	-	-	-	-	-	-	-	-	-	-	-	-	-
ED26	Bridges - Millmead Lattice	-	18	-	-	-	-	-	-	-	-	-	-	-	-	-	-
ED26	Bridges - Shalford Rd/Millmead Island	-	0	-	-	-	-	-	-	-	-	-	-	-	-	-	-
ED35	Electric Theatre - new boilers	120	-	-	120	-	-	120	-	-	-	-	120	120	-	-	120
ED41	The Billings roof	200	27	175	173	2	3	170	-	-	-	-	170	200	-	-	200
ED44	Broadwater cottage	319	93	-	226	30	226	-	-	-	-	-	-	319	-	-	319
ED45	Gunpowder mills - scheduled ancient monument	222	9	52	212	85	212	-	-	-	-	-	-	222	-	-	222
ED51(p)	Guildford House Exhibition lighting	50	-	50	50	-	50	-	-	-	-	-	-	50	-	-	50
ED47	Cladding of Ash Vale units (NO LONGER REQD)	145	5	92	140	-	-	-	-	-	-	-	-	5	-	-	5
ED53	Tyting Farm Land-removal of barns and concrete hardstanding	200	8	-	192	2	192	-	-	-	-	-	-	200	-	-	200
ED56	Foxenden Tunnels safety works	110	22	-	88	4	88	-	-	-	-	-	-	110	-	-	110
ED57	Holy Trinity Church boundary wall	63	8	-	55	27	35	2	-	-	-	-	2	45	-	-	45
CP1	SMP Ph1 Calorifier replacement	28	-	28	28	-	28	-	-	-	-	-	-	28	-	-	28
CP2	SMP Main pavilion amenity club	50	-	50	50	-	50	-	-	-	-	-	-	50	-	-	50
CP3	SMP cricket pavilion	120	-	120	120	3	120	-	-	-	-	-	-	120	-	-	120
Office Services																	
BS4	Hydro private wire - Tollhouse to Millmead	4	3	-	1	-	1	-	-	-	-	-	-	4	-	-	4
COMMUNITY DIRECTORATE TOTAL		3,092	1,146	1,699	3,086	389	2,636	1,117	825	825	825	0	3,592	7,059	(100)		6,959
ENVIRONMENT DIRECTORATE																	
Operational Services																	
OP1/OP	Flood resilience measures (use in conjunction with grant)	445	324	21	121	-	121	-	-	-	-	-	-	445	-	-	445
OP5	Mill Lane (Pirbright) Flood Protection Scheme	71	55	-	16	-	16	-	-	-	-	-	-	71	(19)	-	52
OP6	Vehicles, Plant & Equipment Replacement Programme	10,665	6,099	4,220	4,566	57	4,566	-	-	-	-	-	-	10,665	(26)	-	10,639
OP22	Litter bins replacement	265	112	153	153	-	-	153	-	-	-	-	153	265	-	-	265
OP26	Marrow lane grille & headwall construction	60	3	57	57	-	57	-	-	-	-	-	-	60	-	-	60
OP27	Marrow & Burpham surface water study	15	-	-	15	-	15	-	-	-	-	-	-	15	-	-	15
OP28	Crown court CCTV	10	-	-	10	-	10	-	-	-	-	-	-	10	-	-	10
OP22	Town Centre CCTV upgrade	250	-	-	250	-	250	-	-	-	-	-	-	250	-	-	250
Parks and Leisure																	
PL11	Spectrum Roof replacement	4,000	1,680	-	271	17	120	151	-	-	-	-	151	3,100	-	-	3,100
	Spectrum roof - steelwork ph2	-	409	-	-	-	-	-	-	-	-	-	-	-	-	-	-
	Spectrum roof - steelwork ph3	-	740	-	-	-	-	-	-	-	-	-	-	-	-	-	-
PL15	Infrastructure works: Guildford Commons	150	3	-	3	1	3	-	-	-	-	-	-	6	-	-	6
PL15(a)	Infrastructure works: Guildford Commons: Marrow	-	15	-	-	-	-	-	-	-	-	-	-	15	-	-	15
PL15(b)	Infrastructure works: Guildford Commons: Shalford	-	129	-	-	-	-	-	-	-	-	-	-	129	-	-	129
PL20(b)	Westnye Gardens play area	125	122	-	3	5	3	-	-	-	-	-	-	125	(3)	-	122
PL20(c)	Redevelopment of Westborough and Park barn play area	320	-	295	320	-	20	300	-	-	-	-	300	320	-	-	320
PL34	Stoke cemetery re-tarmac	47	-	47	47	-	-	47	-	-	-	-	47	47	-	-	47
PL35	Woodbridge rd sportsground replace fencing	280	262	-	19	11	19	-	-	-	-	-	-	280	-	-	280
PL42	Pre-sang costs	100	51	-	49	3	49	-	-	-	-	-	-	100	-	-	100
PL57	Parks and Countryside - repairs and renewal of paths,roads	165	121	-	44	7	44	-	-	-	-	-	-	165	-	-	165
PL24	Kings college astro turf	547	494	-	53	1	53	-	-	-	-	-	-	547	(401)	-	146
PL58	Shalford Common - regularising car parking/reduction of	121	22	99	99	-	-	99	-	-	-	-	99	121	-	-	121

GENERAL FUND CAPITAL PROGRAMME - ESTIMATED EXPENDITURE 2020-21 to 2025-26

Ref	Directorate/Service and Capital Scheme name	Approved gross estimate	Cumulative spend at 31-03-20	2020-21		Expenditure at end P4	Projected exp est by project officer	2021-22 Est for year	2022-23 Est for year	2023-24 Est for year	2024-25 Est for year	2025-26 Est for year	Future years est exp	Projected expenditure total	Grants / Contributions towards cost of scheme	Funded from Reserves	Net cost of scheme
				Estimate approved by Council in February	Revised estimate												
PL60	Allen House Pavilion - Roof Works	30			30	-	30	-	-	-	-	-	-	30	-		30
PL60	Traveller encampments - Bellfields Green	76	62	4	14	9	14	-	-	-	-	-	-	76	-		76
PL60	Traveller encampments - Shalford Common	48		-	48	-	-	48	-	-	-	-	48	48	-		48
PL60	Traveller encampments - Christchurch Spectrum	5		5	5	-	5	-	-	-	-	-	-	5	-		5
ENVIRONMENT TOTAL DIRECTORATE		17,795	10,702	4,901	6,193	112	5,395	798	-	-	-	-	798	16,895	(448)		16,447
FINANCE DIRECTORATE																	
Financial Services																	
FS1	Capital contingency fund	annual	-	5,000	5,000	-	5,000	5,000	5,000	5,000	5,000	-	20,000	25,000	-		25,000
RESOURCES DIRECTORATE TOTAL		0	0	5,000	5,000	0	5,000	5,000	5,000	5,000	5,000	0	20,000	25,000	0		25,000
DEVELOPMENT/INCOME GENERATING/COST REDUCTION PROJECTS																	
Development / Infrastructure																	
ED54	Rodboro Buildings - electric theatre through road and parking	450	17	280	433	3	433	-	-	-	-	-	-	450	-		450
ED18	Museum and castle development	1,652	188	1,020	1,464	14	1,464	-	-	-	-	-	-	1,652	-		1,652
ED52	Public Realm Scheme (Chapel Street/Castle Street/Tunsgate)	2,627	1,011	-	1,616	6	1,616	-	-	-	-	-	-	2,627	-	(1,615)	1,012
P5	Walnut Bridge replacement	5,098	1,667	1,593	3,414	62	3,414	17	-	-	-	17	5,097	(4,144)		954	
ED32	Internal Estate Road - CLLR Phase 1	11,139	10,571	-	568	106	568	-	-	-	-	-	-	11,139	(5,107)		6,032
P9c	Town Centre Gateway Regeneration	3,523	50	3,480	3,473	-	-	3,473	-	-	-	-	3,473	3,523	-		3,523
	SMC(West) Phase 1	4,303	1,192	2,975	3,111	77	1,453	1,658	-	-	-	-	1,658	4,303	(3,228)		1,075
P16	A331 hotspots	3,930	269	3,146	3,661	5	3,661	-	-	-	-	-	-	3,930	(2,939)		991
P14	Town Centre Approaches	1,033	7	816	1,026	2	1,003	23	-	-	-	-	23	1,033	(700)		333
P22	Ash Bridge Land acquisition	120	104	-	16	-	16	-	-	-	-	-	-	120	-		120
P21	Ash Road Bridge	4,060	1,803	2,214	2,257	182	2,257	-	-	-	-	-	-	4,060	(4,060)		-
P11	Guildford West (PB) station	500	-	-	500	-	-	500	-	-	-	-	500	500	-		500
Development Financial																	
	Investment in North Downs Housing (60%)	15,180	8,183	4,500	5,315	252	5,315	1,682	-	-	-	-	1,682	15,180	-		15,180
	Equity shares in Guildford Holdings Ltd (40%)	10,120	5,460	3,000	3,543	169	3,543	1,117	-	-	-	-	1,117	10,120	-		10,120
ED25	Guildford Park - new MSCP and infrastructure works	6,500	2,184	3,462	3,056	3	250	2,806	-	-	-	-	2,806	6,500	-		6,500
	Guildford Park - Housing for private sale	-	1,260	-	-	186	-	-	-	-	-	-	-	-	-		-
ED49	Middleton Ind Est Redevelopment	9,350	1,895	5,500	7,455	628	7,455	-	-	-	-	-	-	9,350	-		9,350
P12	Strategic property acquisitions	8,520	7,024	-	1,496	68	1,496	-	-	-	-	-	-	8,520	-		8,520
PL9	Rebuild Crematorium	11,822	10,381	-	1,441	151	1,441	-	-	-	-	-	-	11,822	-		11,822
ED27	North Street Development / Guild Town Centre regeneration	1,477	861	736	616	43	616	-	-	-	-	-	-	1,477	(50)		1,427
ED6	Slyfield Area Regeneration Project (SARP)	21,006	5,202	700	6,483	1,838	6,483	1,096	-	-	-	-	1,096	21,206	(1,528)		19,678
ED6	WUV - Allotment relocation	200	158	160	-	(4)	-	-	-	-	-	-	-	-	-		-
ED6	WUV - Int roads, Site clearance	-	1	-	-	-	-	-	-	-	-	-	-	-	-		-
ED6	WUV - New GBC Depot	-	0	-	-	16	-	-	-	-	-	-	-	-	-		-
ED6	WUV - Thames Water relocation	-	8,267	-	-	436	-	-	-	-	-	-	-	-	-		-
ED6	WUV - Land Purchase	-	-	-	-	1,091	-	-	-	-	-	-	-	-	-		-
DEVELOPMENT/INCOME GENERATING/COST REDUCTION		122,610	67,755	33,582	50,942	5,334	42,482	12,372	0	0	0	0	12,372	122,610	(21,755)	(1,615)	99,239
APPROVED SCHEMES TOTAL		143,497	79,603	45,182	65,221	5,835	55,513	19,287	5,825	5,825	5,825	0	36,762	171,564	(22,304)	(1,615)	147,646
non-development projects total		20,887	11,848	11,600	14,279	502	13,031	6,915	5,825	5,825	5,825	0	24,390	48,955	(548)	0	48,406
development/infrastructure - non-financial benefit		38,435	16,879	15,524	21,539	457	15,885	5,671	0	0	0	0	5,671	38,435	(20,177)	(1,615)	16,642
development- financial benefit		83,975	42,451	17,898	29,403	3,338	26,597	6,701	0	0	0	0	6,701	84,175	(1,578)	0	82,597
TOTAL		143,297	71,178	45,022	65,221	4,296	55,513	19,287	5,825	5,825	5,825	0	36,762	171,564	(22,304)	(1,615)	147,646

GENERAL FUND CAPITAL PROGRAMME - ESTIMATED EXPENDITURE 2020-21 to 2025-26

Ref	Directorate / Service Units Capital Schemes	Gross estimate approved by Executive	Cumulative spend at 31-03-20	2020-21 Estimate approved by Council in February	Revised estimate	Expenditure at end P4	Projected exp est by project officer	2021-22 Est for year	2022-23 Est for year	2023-24 Est for year	2024-25 Est for year	2025-26 Est for year	Future years estimated expenditure	Projected expenditure total	Grants or Contributions towards cost of scheme	Net total cost of scheme to the Council
		(a)	(b)	(c)	(e)	(f)	(g)	(i)	(ii)	(iii)	(iv)	(v)	(h)	(b) to (g)=(i)	(j)	(i) - (j) = (k)
		£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000	£000
PROVISIONAL SCHEMES (schemes approved in principle; further report to the Executive required)																
COMMUNITY DIRECTORATE																
General Fund Housing																
CM1(p)	Old Manor House - replacement windows	193	-	193	193	-	193	-	-	-	-	-	-	193	-	193
Corporate Property																
ED21(p)	Methane gas monitoring system	150	-	150	150	-	150	-	-	-	-	-	-	150	-	150
ED22(p)	Energy efficiency compliance - Council owned properties	950	-	950	950	-	950	-	-	-	-	-	-	950	-	950
ED26(p)	Bridges	370	-	370	370	-	370	-	-	-	-	-	-	370	-	370
ED48(p)	Westfield/Moorfield rd resurfacing	3,152	-	3,152	3,152	-	-	-	-	3,152	-	-	3,152	3,152	-	3,152
ED53(p)	Tyting Farm Land-removal of barns and concrete hardstanding	50	-	-	50	-	50	-	-	-	-	-	-	50	-	50
ED56(p)	Land to the rear of 39-42 Castle Street	10	-	-	10	-	10	-	-	-	-	-	-	10	-	10
CP4	New House works	416	-	416	416	-	416	-	-	-	-	-	-	416	-	416
CP5	Energy & CO2 reduction in Council non HRA properties	2,268	-	268	268	-	268	500	500	500	500	-	2,000	2,268	-	2,268
Office Services																
CD3(p)	Renewables	65	-	-	65	-	65	-	-	-	-	-	-	65	-	65
BS3(p)	Millmead House - M&E plant renewal	33	-	-	65	-	65	33	-	-	-	-	33	33	-	33
BS4(p)	Hydro private wire - Tollhouse to Millmead	82	-	-	82	-	82	-	-	-	-	-	-	82	-	82
COMMUNITY DIRECTORATE TOTAL																
		7,739	-	5,499	5,706	-	2,554	533	500	3,652	500	-	5,185	7,739	-	7,739
ENVIRONMENT DIRECTORATE																
Operational Services																
OP5(P)	Mill Lane (Pirbright) Flood Protection Scheme	200	-	-	200	-	200	-	-	-	-	-	-	200	(20)	180
OP6(P)	Vehicles, Plant & Equipment Replacement Programme	780	-	780	780	-	780	-	-	-	-	-	780	780	-	780
OP21(P)	Surface water management plan	200	-	-	200	-	200	-	-	-	-	-	-	200	-	200
Parks and Leisure																
PL16(P)	New burial grounds - acquisition & development	7,834	38	-	50	-	20	30	-	-	-	-	30	88	-	88
PL18(P)	Refurbishment / rebuild Sutherland Memorial Park Pavilion	150	-	-	-	-	-	-	-	150	-	-	150	150	-	150
PL41(P)	Stoke pk office accommodation & storage buildings	665	-	665	665	-	-	665	-	-	-	-	665	665	-	665
PL45(p)	Stoke PK gardens water feature refurb	81	-	-	81	-	51	30	-	-	-	-	30	81	(59)	22
PL55(p)	Sutherland Memorial Park - electrical works	39	-	-	39	-	39	-	-	-	-	-	-	39	-	39
PL56(p)	Stoke Park Masterplan enabling costs	500	-	100	100	-	50	200	100	150	-	-	450	500	-	500
PL57(p)	Parks and Countryside - repairs and renewal of paths,roads and	1,572	-	400	772	-	50	1,122	400	-	-	-	1,522	1,572	-	1,572
PL58(p)	Sports pavilions - replace water heaters	154	-	28	28	-	28	42	42	42	-	-	126	154	-	154
PL59(p)	Millmead fish pass	60	-	-	60	-	60	-	-	-	-	-	60	60	-	60
PL60(p)	Traveller encampments	121	-	121	121	-	46	75	-	-	-	-	75	121	-	121
ENVIRONMENT DIRECTORATE TOTAL																
		12,356	38	2,094	3,096	-	684	3,004	542	342	-	-	3,888	4,610	(79)	4,531
DEVELOPMENT/INCOME GENERATING/COST REDUCTION PROJECTS																
Development / Infrastructure																
ED18(P)	Guildford Museum	16,810	-	16,810	16,810	-	16,810	-	-	-	-	-	-	16,810	(11,800)	5,010
	Investment in North Downs Housing	30,100	-	-	-	-	-	5,518	12,539	-	-	-	18,057	18,057	-	18,057
	Equity shares in Guildford Holdings Ltd	-	-	-	-	-	-	3,683	8,360	-	-	-	12,043	12,043	-	12,043
P10(p)	Sustainable Movement Corridor	6,045	-	-	-	-	-	-	6,045	-	-	-	6,045	6,045	-	6,045
P11(p)	Guildford West (PB) station	4,700	-	1,700	1,700	-	4,700	-	-	-	-	-	4,700	4,700	(3,750)	950
P14(p)	Guildford Gyrony & approaches	10,967	-	3,500	3,500	-	-	-	3,500	3,500	3,967	-	10,967	10,967	(5,000)	5,967
P15(p)	Guildford bike share	530	-	-	530	-	530	-	-	-	-	-	-	530	-	530
P17(p)	Bus station relocation	500	-	500	500	-	500	-	-	-	-	-	-	500	-	500
P21(p)	Ash Road Bridge	18,440	-	18,440	18,440	-	18,440	-	-	-	-	-	18,440	18,440	(18,440)	-
P21(p)	Ash Road Footbridge	4,800	-	4,800	4,800	-	4,800	-	-	-	-	-	4,800	4,800	(4,800)	-
Development Financial																
ED25(P)	Guildford Park new MSCP and infrastructure works	23,125	-	4,380	4,380	-	4,380	11,625	7,120	-	-	-	18,745	23,125	-	23,125
ED49(p)	Redevelop Midlton industrial estate	5,557	-	5,557	5,557	-	5,557	-	-	-	-	-	5,557	5,557	-	5,557
PL51(p)	Stoke Park - Home Farm Redevelopment	4,000	-	-	-	-	-	-	-	4,000	-	-	4,000	4,000	-	4,000
ED16(P)	Styfield Area Regeneration Project (SARP) (GBC share)	327,359	-	-	12,178	-	12,178	41,119	73,340	42,772	37,547	34,881	315,181	327,359	(53,715)	273,644
ED38(P)	North Street development	1,500	-	29,090	500	-	500	1,000	-	-	-	-	1,000	1,500	-	1,500
HC4(p)	Bright Hill Development	13,500	-	500	680	-	680	5,000	7,000	820	-	-	12,820	13,500	-	13,500
P12(p)	Strategic property acquisitions	23,292	-	9,492	9,492	-	9,492	13,800	-	-	-	-	13,800	23,292	-	23,292
DF1	Investment property acquisition	40,000	-	20,000	20,000	-	20,000	10,000	10,000	-	-	-	40,000	40,000	-	40,000
DEVELOPMENT/INCOME GENERATING/COST REDUCTION PROJECTS TOTAL																
		531,225	-	114,769	99,067	-	70,627	119,685	127,904	51,092	41,514	34,881	460,598	531,225	(97,505)	433,720
PROVISIONAL SCHEMES - GRAND TOTALS																
		551,319	38	122,362	107,869	-	73,865	123,222	128,946	55,086	42,014	34,881	469,671	543,574	(97,584)	445,990
non development projects																
		20,095	38	7,593	8,802	-	3,238	3,537	1,042	3,994	500	-	9,073	12,349	(79)	12,270
development/infrastructure - non-financial benefit																
		92,892	0	45,750	46,290	0	17,840	37,141	30,444	3,500	3,967	0	75,052	92,892	(43,790)	49,102
development- financial benefit																
		438,333	0	69,019	52,787	0	52,787	82,544	97,460	47,592	37,547	34,881	365,546	438,333	(53,715)	384,618
TOTAL		551,319	38	122,362	107,869	0	73,865	123,222	128,946	55,086	42,014	34,881	449,671	543,574	(97,584)	445,990

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GENERAL FUND CAPITAL PROGRAMME - S106 ESTIMATED EXPENDITURE 2020-21 to 2024-25

Ref	Service Units / Capital Schemes	Approved gross estimate	Cumulative spend at 31-03-20	2020-21		Expenditure at end P4	Projected exp est by project officer	2021-22 Est for year	2022-23 Est for year	2023-24 Est for year	2024-25 Est for year	2025-26 Est for year	Future years est exp	Projected expenditure total	Grants / Contributions towards cost of scheme	Net cost of scheme
				Estimate approved by Council in February	Revised estimate											
				(a) £000	(b) £000											
APPROVED SCHEMES (fully funded from S106 contributions)																
ENVIRONMENT DIRECTORATE																
Operational Services																
Parks and Leisure																
S-PL36	Gunpowder mills - signage, access and woodland imps	36	20	-	16	-	16	-	-	-	-	-	-	36	(36)	-
S-PL38	Chantry Wood Campsite	36	-	-	36	-	36	-	-	-	-	-	-	36	(36)	-
S-PL47	Fir Tree Garden	28	4	-	24	-	24	-	-	-	-	-	-	28	(28)	-
	Boardwalk Heathfield Nature Reserve	13	-	-	13	-	13	-	-	-	-	-	-	13	(13)	-
ENVIRONMENT DIRECTORATE TOTAL		113	24	-	89	-	89	-	-	-	-	-	-	113	(113)	-
APPROVED S106 SCHEMES TOTAL		113	24	-	89	-	89	-	-	-	-	-	-	113	(113)	-

SUMMARY	
APPROVED S106 SCHEMES - TOTAL	24
GRAND TOTAL	24

24	-	89	-	89	-	-	-	-	-	-	-	-	113	(113)	-
24	-	89	-	89	-	-	-	-	-	-	-	-	113	(113)	-

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GENERAL FUND CAPITAL SCHEMES - PROJECTS FUNDED VIA RESERVES: ESTIMATED EXPENDITUR

Item No.	Projects & Sources of Funding	Approved gross estimate	Cumulative spend at 31-03-20	2020-21 Estimate approved by Council in February (c)	Revised estimate	Expenditure at end P4	Projected exp est by project officer (f)	2021-22 Est for year	2022-23 Est for year	2023-24 Est for year	2024-25 Est for year	2025-26 Est for year	Future years est exp	Projected expenditure total
		(a) £000	(b) £000	(c) £000	£000	(e) £000	(f) £000	(i) £000	(ii) £000	(iii) £000	(iv) £000	(v) £000	(g) £000	(b)+(g) = (h) £000
	COMMUNITY DIRECTORATE													
	<u>ENERGY PROJECTS per SALIX RESERVE:(PR220)</u>			-		-	-	-					-	-
R-EN10	LED Lighting replacement	80	61	-	19	-	19	-	-	-	-	-	-	80
R-EN11	WRD energy reduction	70	-	-	70	-	70	-	-	-	-	-	-	70
R-EN12	LED lighting	44		44	44	-	44	-	-	-	-	-	-	44
R-EN13	ASHP CAB	28				-		28	-	-	-	-	28	28
	ENERGY PROJECTS per GBC INVEST TO SAVE RESERVE: GBC 'Invest to Save' energy projects (to be repaid in line with savings)			-		-	-	-					-	-
R-EN12	PV/energy efficiency projects	100	2	-	98	-	98	-	-	-	-	-	-	100
R-EN13	Park Barn Day Centre - air source heat pump	143	110	-	-	3	10	-	-	-	-	-	-	110
R-EN14	SMP - air source heat pump	28	1	28	27	-	27	-	-	-	-	-	-	28
	ENERGY RESERVES TOTAL	493	174	72	258	3	268	28	-	-	-	-	28	460
Page 77	BUDGET PRESSURES RESERVE													
	Future Guildford implementation team	2,600		1,600	2,600	-	2,600	-	-	-	-	-	-	2,600
	BUDGET PRESSURES RESERVE TOTAL	2,600	-	1,600	2,600	-	2,600	-	-	-	-	-	-	2,600
	FINANCE DIRECTORATE													
	<u>INFORMATION TECHNOLOGY - IT Renewals Reserve (PR265) : approved annually</u>													
	Hardware / software budget			500	500	-	500	500	500	500	-	-	1,500	2,000
R-IT1	Hardware	annual	annual	-	-	3	-	-	-	-	-	-	-	-
R-IT2	Software	annual	annual	-	-	243	-	-	-	-	-	-	-	-
	ICT infrastructure improvements	1,485	1,695	-	-	29	-	-	-	-	-	-	-	1,695
R-IT3	IDOX Acolaid to Uniform	275		-	275		275	-	-	-	-	-	-	275
R-IT4	LCTS alternative	56		50	56		56	-	-	-	-	-	-	56
R-IT5	Future Guildford ICT	1,200	656	-	544	(25)	544	-	-	-	-	-	-	1,200
	IT RENEWALS RESERVE TOTAL	3,016	2,350	550	1,376	249	1,376	500	500	500	-	-	1,500	5,266
	ENVIRONMENT DIRECTORATE													
	SPECTRUM RESERVE													
R-S14	Spectrum schemes (to be agreed with Freedom Leisure)	700	168	-	532	-	532	-	-	-	-	-	-	700
	SPECTRUM RESERVE TOTAL	700	168	-	532	-	532	-	-	-	-	-	-	700
	CAR PARKS RESERVE													
R-CP1	Car parks - install/replace pay-on-foot equipment	1,170	240	-	930	-	100	830	-	-	-	-	830	1,170
	<u>Car Parks - Lighting & Electrical improvements:</u>													
R-CP8	- Castle car park (PR000299) deck surfacing	325	251	-	6	-	6	-	-	-	-	-	-	257
R-CP18	- Deck Millbrook car park	2,000	-	1,000	1,000	-	-	2,000	-	-	-	-	2,000	2,000
R-CP14	Lift replacement (PR000293)	841	307	187	534	63	534	-	-	-	-	-	-	841
R-CP17	Leapale rd MSCP drainage (PR000433)	90	26	-	64	-	16	-	-	-	-	-	-	42
R-CP19	Structural works to MSCP	300	50	-	250	-	100	-	-	-	-	-	-	150
R-CP20	MSCP- Deck surface replacement & barriers	652	526	-	126	-	83	-	-	-	-	-	-	609
R-CP21	Additional barriers Farnham Rd	15		15	15		15	-	-	-	-	-	-	15

Agenda item number 5 Appendix 7

GENERAL FUND CAPITAL SCHEMES - PROJECTS FUNDED VIA RESERVES: ESTIMATED EXPENDITURE

Item No.	Projects & Sources of Funding	Approved gross estimate	Cumulative spend at 31-03-20	2020-21 Estimate approved by Council in February	Revised estimate	Expenditure at end P4	Projected exp est by project officer	2021-22 Est for year	2022-23 Est for year	2023-24 Est for year	2024-25 Est for year	2025-26 Est for year	Future years est exp	Projected expenditure total
		(a) £000	(b) £000	(c) £000	£000	(e) £000	(f) £000	(i) £000	(ii) £000	(iii) £000	(iv) £000	(v) £000	(g) £000	(b)+(g) = £000
R-CP22	Deck surface replacement (stair cores)Farnham Rd	70		70	70		70		-	-	-	-	-	70
R-CP23	Deck surface replacement Leapale Rd	400		400	400		400		-	-	-	-	-	400
R-CP24	Signage replacement Leapale Rd	30		30	30		30		-	-	-	-	-	30
R-CP25	Structural repairs roof turret timbers Castle St	60		60	60		60		-	-	-	-	-	60
CAR PARKS RESERVE TOTAL		5,953	1,401	1,762	3,485	63	1,414	2,830	-	-	-	-	2,830	5,695
SPA RESERVE :														
SPA schemes (various)		100	annual	-	151	-	151	-	-	-	-	-	-	151
R-SPA1	Chantry Woods													
R-SPA2	Effingham													
R-SPA3	Lakeside													
R-SPA4	Riverside													
R-SPA5	Parsonage													
SPA RESERVE TOTAL		100	-	-	151	-	151	-	-	-	-	-	-	151
GRAND TOTALS		12,862	4,093	3,984	8,402	315	6,341	3,358	500	500	-	-	4,358	14,782

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GENERAL FUND CAPITAL PROGRAMME : SUMMARY OF RESOURCES AND FINANCIAL IMPLICATIONS

1.0 AVAILABILITY OF RESOURCES - NOTES :

1.1 The following balances have been calculated taking account of estimated expenditure on the approved capital schemes

1.2 The actuals for 2019-20 have not been audited.

1.3 Funding assumptions:

1. All capital expenditure will be funded in the first instance from available capital receipts and the General Fund capital programme reserve.
2. Once the above resources have been exhausted in any given year, the balance of expenditure will be financed from borrowing, both internally and externally, depending upon the Council's financial situation at the time.

1.4 These projections are based on estimated project costs, some of which will be 'firmed up' in due course. Any variations to the estimates and the phasing of expenditure will affect year on year funding projections.

2.0 Capital receipts - Balances (T01001)

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Balance after funding capital expenditure as at 31 March

	2019-20 Actuals £000	2020-21 Budget £000	2020-21 Est Outturn £000	2021-22 Estimate £000	2022-23 Estimate £000	2023-24 Estimate £000	2024-25 Estimate £000	2025-26 Estimate £000
Balance as at 1 April	40	0	95	95	0	0	0	21,641
Add estimated usable receipts in year	12,087	0	1,250	0	0	0	21,641	22,117
Less applied re funding of capital schemes	(12,032)	0	(1,250)	(95)	0	0	0	0
Balance after funding capital expenditure as at 31 March	95	0	95	0	0	0	21,641	43,758

GENERAL FUND CAPITAL PROGRAMME : SUMMARY OF RESOURCES AND FINANCIAL IMPLICATIONS

during year = outturn (col v, actual = col u)

3.0 Capital expenditure and funding - summary

Estimated capital expenditure

Main programme - approved
Main programme - provisional
s106
Reserves
GF Housing

Total estimated capital expenditure

To be funded by:

Capital receipts (per 2.above)
Contributions
R.C.C.O. :
Other reserves

Balance of funding to be met from (i) the Capital Reserve, and (ii) borrowing

Total funding required

	2019-20 Actuals £000	2020-21 Budget £000	2020-21 Est Outturn £000	2021-22 Estimate £000	2022-23 Estimate £000	2023-24 Estimate £000	2024-25 Estimate £000	2025-26 Estimate £000
	45,685	45,182	55,513	19,287	5,825	5,825	5,825	0
	0	122,362	73,865	123,222	128,946	55,086	42,014	34,881
	86	0	89	0	0	0	0	0
	2,300	3,984	6,341	3,358	500	500	0	0
	0	0	0	0	0	0	0	0
Total estimated capital expenditure	48,071	171,528	135,808	145,867	135,271	61,411	47,839	34,881
To be funded by:								
Capital receipts (per 2.above)	(18,111)	0	(1,250)	(95)	0	0	0	0
Contributions	(8,421)	(41,368)	(8,421)	(14,563)	(7,350)	(600)	0	0
R.C.C.O. :								
Other reserves	(2,300)	(4,204)	(10,028)	(3,578)	(720)	(720)	0	0
	0	0	0	0	0	0	0	0
	(28,832)	(45,572)	(19,699)	(18,236)	(8,070)	(1,320)	0	0
Balance of funding to be met from (i) the Capital Reserve, and (ii) borrowing	(19,239)	(125,956)	(116,110)	(127,631)	(127,201)	(60,091)	(47,839)	(34,881)
Total funding required	(48,071)	(171,528)	(135,808)	(145,867)	(135,271)	(61,411)	(47,839)	(34,881)

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4.0 General Fund Capital Schemes Reserve (U01030)

Balance as at 1 April
Add: General Fund Revenue Budget variations
Contribution from revenue

Less: Applied re funding of capital programme

Balance after funding capital expenditure etc.as at 31 March

	2019-20 Actuals £000	2020-21 Budget £000	2020-21 Est Outturn £000	2021-22 Estimate £000	2022-23 Estimate £000	2023-24 Estimate £000	2024-25 Estimate £000	2025-26 Estimate £000
Balance as at 1 April	894	0	0	0	0	0	0	0
Add: General Fund Revenue Budget variations	0	0	0	0	0	0	0	0
Contribution from revenue	0	0	0	0	0	0	0	0
	894	0	0	0	0	0	0	0
Less: Applied re funding of capital programme	(894)	0	0	0	0	0	0	0
Balance after funding capital expenditure etc.as at 31 March	0	0	0	0	0	0	0	0

Estimated shortfall at year-end to be funded from borrowing

	18,346	125,956	116,110	127,631	127,201	60,091	47,839	34,881
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Agenda item number: 5
Appendix 8

GENERAL FUND CAPITAL PROGRAMME : SUMMARY OF RESOURCES AND FINANCIAL IMPLICATIONS

5.0 Housing capital receipts (pre 2013-14) - estimated availability/usage for Housing, Affordable Housing and Regeneration projects - GBC policy

	2019-20 Actuals £000	2020-21 Budget £000	2020-21 Est Outturn £000	2021-22 Estimate £000	2022-23 Estimate £000	2023-24 Estimate £000	2024-25 Estimate £000	2025-26 Estimate £000
Balance as at 1 April (T01008)	9,559	6,760	3,618	(0)	0	0	0	0
Add: Estimated receipts in year	0	0	0	0	0	0	0	0
Less: Applied re Housing (General Fund) capital programme	0	0	0	0	0	0	0	0
Less: Applied re Housing company	(5,941)	(6,760)	(3,618)	0	0	0	0	0
	3,618	0	(0)	0	0	0	0	0
Less: Applied on regeneration schemes	0	0	0	0	0	0	0	0
Housing receipts - estimated balance in hand at year end	3,618	0	(0)	0	0	0	0	0

5.1 Housing capital receipts (post 2013-14) - estimated availability/usage for Housing, Affordable Housing and Regeneration projects only (statutory (impact CFR))

	2019-20 Actuals £000	2020-21 Budget £000	2020-21 Est Outturn £000	2021-22 Estimate £000	2022-23 Estimate £000	2023-24 Estimate £000	2024-25 Estimate £000	2025-26 Estimate £000
Balance as at 1 April (T01012)	0	0	0	0	0	0	0	0
Add: Estimated receipts in year	520	289	520	289	292	295	298	301
Less: Applied re Housing (General Fund) capital programme	(139)	(220)	(220)	(220)	(220)	(220)	(220)	(220)
Less: Applied re Housing Improvement programme	(381)	(69)	(299)	(69)	(72)	(75)	(78)	(81)
	0	0	0	0	0	0	0	0
Less: Applied on regeneration schemes	0	0	0	0	0	0	0	0
Housing receipts - estimated balance in hand	0	0	0	0	0	0	0	0

Total £'000s

6.1 Estimated annual borrowing requirement

	2019-20	2020-21	2020-21	2021-22	2022-23	2023-24	2024-25	2025-26
Bids for funding (net)	18,346	125,956	116,110	127,631	127,201	60,091	47,839	34,881
Total estimated borrowing requirement if all bids on Appendix 1 approved	18,346	125,956	116,110	127,631	127,201	60,091	47,839	34,881

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GUILDFORD B.C. - HOUSING INVESTMENT PROGRAMME 2020-21 to 2025-26: HRA APPROVED PROGRAMME

	Project Budget £000	2019-20 Actual £000	Project Spend at 31-03-20 £000	2020-21 Estimate £000	Carry Forward	Expenditure as at P4 £000	2020-21 Projected Outturn £000	2021-22 Estimate £000	2022-23 Estimate £000	2023-24 Estimate £000	2024-25 Estimate £000	2025-26 Estimate £000	Total Project Exp £000
Acquisition of Land & Buildings	10,700	1,218	2,138	1,800	1,362	1,318	3,162	1,800	1,800	1,800	0	0	10,700
New Build													
N30011 Guildford Park	75	0	75	0	0	186	0	0	0	0	0	0	75
N30012 Appletree pub site	3,200	719	3,483	0	(283)	4	(283)	0	0	0	0	0	3,200
N30013 Slyfield Green (Corporation Club)	2,448	61	2,437	0	11	0	11	0	0	0	0	0	2,448
N30014 Willow Way	1,000	2	954	0	46	0	46	0	0	0	0	0	1,000
Garage sites-	2,500		0	0	110			0	0	0	0	0	0
N30015 Pond Meadow		9	571	0	0	0	110						681
N30016 Rowan Close		9	558	0	0	0	0						558
N30017 Great Goodwin Drive		57	1,002	0	0	0	0						1,002
N30018 The Homestead	500	4	760	0	0	0	0	0	0	0	0	0	760
N30019 Fire Station/Ladymead	2,000	1,257	1,900	25	75	4	100	0	0	0	0	0	2,000
Bright Hill	500	0	0	500	0	0	500	0	0	0	0	0	500
Various small sites & feasibility/Site preparation	1,000		0	0	0	0	0	0	0	0	1,000	1,000	2,000
Pipeline projects	9,425	55	55	2,250	95	15	2,345	3,325	1,825	1,875	0	0	9,425
Redevelopment bid 13	533			533	0	0	533						533
Redevelopment bid 14	300			250	50	1	300						300
Schemes to promote Home-Ownership													
Equity Share Re-purchases	annual	155.397	annual	400	0	126	400	400	400	400	400	400	annual
Major Repairs & Improvements													
Retentions & minor carry forwards	annual	0	annual	40		0	40						annual
Modern Homes - Kitchens, Bathrooms & Void refurb	annual	1,649	annual	1,900		226	1,900						annual
Doors and Windows	annual	76	annual	300	370	14	670						annual
Structural/Roof	annual	260	annual	525	295	18	820						annual
Energy efficiency: Central heating/Lighting	annual	1,146	annual	1,000		132	1,000						annual
General	annual	1,891	annual	1,870	116	153	1,986						annual
Grants													
Cash Incentive Scheme	annual	0	annual	75	0	0	75						annual
TOTAL APPROVED SCHEMES	34,181	8,414	13,931	11,468	2,248	2,197	13,716	5,525	4,025	4,075	1,400	1,400	35,181

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GUILDFORD B.C. - HOUSING INVESTMENT PROGRAMME 2019-20 to 2023-24: HRA PROVISIONAL PROGRAMME

Project Budget	2019-20 Actual	Project Spend at 31-03-19	2020-21 Estimate	Carry Forward	2020-21 Projected Outturn	2021-22 Estimate	2022-23 Estimate	2023-24 Estimate	2024-25 Estimate	2025-26 Estimate	Total Project Exp
£000	£000	£000	£000		£000	£000	£000	£000	£000	£000	£000
Acquisition of Land & Buildings	10,000	0	0		0	3,000	3,000	4,000	0	0	10,000
New Build											
Guildford Park	16,000	318	1,225	6,760	788	250	14,499	26	0	0	16,000
Bright Hill	3,000	0	0	1,500	0	0	3,000	0	0	0	3,000
Slyfield (25/26 £5m; 26/27 £44m)	1,000	0	0	0	0	0	0	1,000	0	0	1,000
Redevelopment bid 13	10,124			3,197			9,058	1,066	0	0	10,124
Redevelopment bid 14	3,000			1,000			2,500	500	0	0	3,000
Major Repairs & Improvements											
Major Repairs & Improvements	annual		annual	0		0	5,500	5,500	5,500	5,500	annual
Retentions & minor carry forwards	annual		annual								annual
Modern Homes: Kitchens and bathrooms	annual		annual								annual
Doors and Windows	annual		annual								annual
Structural	annual		annual								annual
Energy efficiency: Central heating	annual		annual								annual
General	annual		annual								annual
Grants											
Cash Incentive Scheme	annual		annual	0		0	75	75	75	75	annual
Total Expenditure to be financed	43,124	318	1,225	12,457	788	250	37,632	11,167	9,575	5,575	43,124

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Corporate Governance and Standards Committee Report

Ward(s) affected: all

Report of Director of Resources

Author: John Armstrong, Democratic Services and Elections Manager

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Executive Advisory Boards (EABs) – Review of Structure and Remit

Executive Summary

Further to an officer review of the effectiveness of Executive Advisory Boards (EABs) which took place in the latter part of 2018-19, recommendations were made in respect of reconfiguring the EABs and introducing measures to strengthen the Forward Plan process. In response to these recommendations, the Council resolved to establish a councillor task and finish group to consider the recommendations and report its findings to the EABs and Council before any related decisions were made.

Having considered the group's subsequent findings, Council made some resolutions concerning work programming, the Forward Plan and the configuration of EABs. The most notable resolutions were that the existing arrangement of the two EABs be retained for the time being, whilst the Forward Plan process was strengthened pending review following the Borough Council Elections in May 2019 to ascertain whether changes to the Forward Plan process and/or EAB structure were required. This review was to be carried out within 12 months of the Elections.

As this 12-month period has elapsed, the second phase of the review is now in train and the EABs combined to meet as the Joint EAB on 9 July 2020 to consider the future structure and remit of EABs. The Joint EAB's recommendations (1) to (7) below, are for consideration initially by the Executive and this Committee for submission to full Council on 6 October 2020.

Recommendations to the Council:

- (1) That the concept of retaining two EABs, each meeting on alternate months with the flexibility to have a balanced inter-changeable remit as appropriate to the agenda items, without the risk of losing topic continuity and expertise, and possibly ahead of Executive meetings to offer a pre-decision opportunity to make recommendations, be agreed.
- (2) That the remit of EABs be realigned to reflect the Executive portfolios and

<p>Directorates of the Council and that, accordingly, the Place-Making and Innovation EAB be renamed as the Strategy and Resources EAB and the Community EAB be renamed the Service Delivery EAB.</p> <p>(3) That the existing Joint EAB arrangement be continued and implemented when significant and wide-ranging agenda items, such as budgetary matters, are under consideration.</p> <p>(4) That closer two-way working between the Executive and EABs, including an expectation that relevant Lead Councillors (or other Executive members in the absence of the relevant Lead Councillor) proactively attend EAB meetings and EAB Chairmen and / or Vice-Chairmen attend Executive meetings to elaborate on advice given and to receive feedback, be established and adopted.</p> <p>(5) That a clear formalised procedure of reporting EAB advice and views to the Executive and EABs receiving Executive feedback be adopted.</p> <p>(6) That, in addition to exploring relevant Forward Plan items and Corporate Plan priorities, the EABs have free range to select their own review topics on which to advise the Executive, including the establishment of task groups where considered necessary (and subject to available resources).</p> <p>(7) That the EABs receive items sufficiently in advance of determination by the Executive in order to have the opportunity to advise on, and influence, its decisions from a broader knowledge base.</p> <p>(8) That the Democratic Services and Elections Manager be authorised to make appropriate amendments to the Constitution to give effect to the above recommendations.</p> <p><u>Reason for Recommendation:</u> To introduce a more efficient and effective EAB configuration and contribution.</p> <p>Is the report (or part of it) exempt from publication? No</p>

1. Purpose of Report

- 1.1 The purpose of this report is to invite the Executive and Corporate Governance and Standards Committee to consider the recommendations arising from the Joint EAB's consideration of future options for the configuration and remit of EABs. This was the second stage to an earlier review which took place during the latter part of 2018-19 and in response to previous feedback from the Local Government Association (LGA) corporate peer challenge review of December 2017 and the Council's governance reviews of recent years.

2. Background

- 2.1 The Council report of 9 October 2018, attached at Appendix 1 to this report, explains that, following a review of governance arrangements, on 7 October 2015 the Council agreed a new hybrid approach featuring the addition of two EABs to advise and make recommendations to the Leader and Executive. This system was implemented with effect from 1 January 2016 with the recommendation that the arrangements be reviewed approximately 12 months after implementation. This 12-month review took place in the form of a seminar on 1 March 2017 to which all Councillors were invited. Having concluded that the new arrangements were at an early stage and were beginning to embed, the review reinforced the role of the EABs in advising the Executive at an early

stage in respect of the formulation and development of policies and projects that would assist with the delivery of the Council's Corporate Plan priorities.

- 2.2 The LGA subsequently undertook a corporate peer challenge review of the Council and, although its final feedback report (relevant extract included in Appendix 1) contained no specific recommendations relating to organisational governance, it suggested that EABs were a work in progress and perhaps required additional time to settle into a more effective grouping whilst valuing the early stage involvement of backbench councillors in the development of decisions aligned to Corporate Plan themes. The LGA suggested that the Council should clarify the role of EABs and review ways to make their work more effective.
- 2.3 Further peer challenge review feedback observed that it was important for the Council to review ways to make the work of EABs more effective. Therefore consideration has been given to achieving this taking account of issues including difficulties with work programming, confusion around the remit of the EABs which can be blurred and overlapping, cancellation of meetings due to apparent insufficient business due to slippage and reluctance to discuss some matters at an early stage of development in a public forum. This consideration has indicated that a robust approach to programming Executive Forward Plan items to build in early opportunities for EAB input is beneficial.
- 2.4 Although the EABs have been structured around and aligned to the key themes in the Corporate Plan, the intended 2019-20 review of the Corporate Plan was delayed for approximately 18 months owing to attention and resources being diverted to the preparation and implementation of a shorter term action plan directing the response to, and recovery from, the Coronavirus pandemic emergency.
- 2.5 The first stage of the review of EABs, outlined in Appendix 1, suggested three possible options for their future structure, which are set out below, and recommended that option 1 be adopted as it offered the greatest flexibility, would solve the issues of insufficient business for two EABs and confusion as to which one to report to, and would also streamline the work programming system. The Corporate Governance and Standards Committee was broadly in agreement with the recommendation to pursue option 1 when it considered the outcome of this stage of the review at its meeting held on 20 September 2018.

Options:

1. To disband the existing EABs and establish one overarching EAB making greater use of existing powers to establish task groups to look at specific issues and projects relating to the delivery of the nine strategic Corporate Plan priorities.
 2. To disband the existing EABs and establish topic based advisory boards to be commissioned directly by the Executive as and when required.
 3. To make no change to the current arrangements.
- 2.6 Having considered the options, the Council resolved that, before any decision was taken in respect of the future of the EABs, a cross party task and finish group be established with the following terms of reference:

- a) to review the existing governance arrangements in relation to the Executive Advisory Boards and to discuss available options to improve those arrangements, including the proposal for a single Executive Advisory Board; and following that review
 - b) to make recommendations as appropriate to the Council at its meeting in February 2019.
- 2.7 Accordingly, a cross party task and finish group was established to consider the future of the EABs, and agreed to report its views to the two EABs and to make recommendations to the Council in February 2019.
- 2.8 In considering the task and finish group's report, the Council noted that its principal finding was that the Forward Plan process was at that time insufficiently robust to facilitate and inform EAB or Overview and Scrutiny input as many proposed decisions were entered late which hampered work programming and early involvement. However, officers have sought to strengthen this process and issues with forward planning and updating the Forward Plan were being tackled through educating senior leaders and others to plan ahead and programme their work in a more timely fashion.
- 2.9 It was suggested that resolving issues with the Forward Plan could possibly resolve the issues associated with the perceived lack of effectiveness of the EABs.
- 2.10 After consideration of the report the Council, on 26 February 2019, passed the following resolutions:
- (1) That Option 2: "*To disband the existing EABs and establish topic based advisory boards to be commissioned directly by the Executive as and when required*" be not supported and discounted as a possible future EAB governance structure.
 - (2) That the existing arrangement of the two EABs be retained for the time being whilst the Forward Plan process is strengthened pending review following the Borough Council Elections in May 2019 to ascertain whether changes to the Forward Plan process and/or EAB structure are required.
 - (3) That the review referred to in paragraph (2) above be carried out within 12 months of the Borough Council Elections.
 - (4) That the Forward Plan be included on future EAB agendas as part of the standing item on the Work Programme to facilitate better agenda planning.
 - (5) That lead councillors do not play a part in determining the Overview and Scrutiny Committee work programme at work programme meetings.

3. Second Phase of the Review

- 3.1 The matters referred to in resolutions 1,4 and 5 above have been adhered to and implemented, as appropriate. The second phase of the review, to be carried out within a 12-month period, referred to in resolutions 2 and 3 above, is now in train and the EABs combined to meet as the Joint EAB on 9 July 2020 to consider the future structure and remit of EABs. In order to inform the Joint EAB's deliberations, councillors' views in respect of the current effectiveness and efficiency of EABs and possible improvements to

pave the way forward, were sought via a brief questionnaire which was prepared and circulated for responses. The questions and summarised responses are attached at **Appendix 3**.

3.2 Arising from the Joint EAB's considerations, the following recommendations to the Executive, the Corporate Governance and Standards Committee and the Council were agreed:

- (1) the concept of retaining two EABs, each meeting on alternate months with the flexibility to have a balanced inter-changeable remit as appropriate to the agenda items, without the risk of losing topic continuity and expertise, and possibly ahead of Executive meetings to offer a pre-decision opportunity, be pursued;
- (2) the remit of EABs be realigned to reflect the Executive portfolios and Directorates of the Council and renamed accordingly;

NB: Although the Joint EAB did not recommend names for the realigned EABs, officers are suggesting that the Place-Making and Innovation EAB be renamed as the Strategy and Resources EAB and the Community EAB be renamed the Service Delivery EAB.

- (3) the existing Joint EAB arrangement be continued and implemented when significant and wide-ranging agenda items, such as budgetary matters, are under consideration;
- (4) closer two-way working between the Executive and EABs, including an expectation that relevant Lead Councillors (or other Executive members in the absence of the relevant Lead Councillor) proactively attend EAB meetings and EAB Chairmen and / or Vice-Chairmen attend Executive meetings to elaborate on advice given and to receive feedback, be established and adopted;
- (5) a clear formalised procedure of reporting EAB advice and views to the Executive and EABs receiving Executive feedback be adopted;
- (6) in addition to exploring relevant Forward Plan items and Corporate Plan priorities, the EABs have free range to select their own review topics on which to advise the Executive, including the establishment of task groups where considered necessary (and subject to available resources); and
- (7) the EABs to receive items sufficiently in advance of determination by the Executive in order to have the opportunity to advise on, and influence, its decisions from a broader knowledge base.

3.3 This report and the above recommendations will be considered by the Executive and the Corporate Governance and Standards Committee at their meetings held on 22 and 24 September 2020, respectively, and any comments or recommendations will be reported to the Council on 6 October 2020.

3.4 If the Council approves the first recommendation relating to the timing of EAB meetings, officers will seek to implement the changes in the current municipal year with effect from November 2020. The report on the proposed timetable of Council and Committee

meetings for the 2021-22 municipal year, which this year will be presented to the Council at its December meeting, will also take into account any changes agreed to the timing of EAB meetings.

4. Legal implications

- 4.1 Section 102 (4) of the Local Government Act 1972 empowers, but does not mandate, the Council to appoint committees to advise the Executive on any matter relating to the discharge of its functions. Executive Advisory Boards are an example of such committees and were appointed, as their name suggests, specifically for this purpose.

5. Financial implications

- 5.1 There are no significant financial implications arising from this report.

6. Human Resource implications

- 6.1 It is envisaged that any changes arising from this review can be accommodated within existing staff resources.

7. Risk Management Implications

- 7.1 There are no significant risk management implications arising from this report.

8. Climate Change/Sustainability Implications

- 8.1 There are no climate change/sustainability implications arising from this report.

9. Summary of Options

- 9.1 The Council could decide to leave the current EAB configuration unchanged, follow the recommendations suggested by the Joint EAB, or pursue an alternative option.

10. Conclusion

- 10.1 On 9 July 2020 the Joint EAB met to pursue the second phase of the review of the effectiveness and efficiency of EABs giving thought to possible future configurations that may secure improvements and to make appropriate recommendations to the Executive, the Corporate Governance and Standards Committee and the Council. The outcome of the consideration of these recommendations is now awaited to enable possible new EAB arrangements to be put in place with a view to introducing a more efficient and effective EAB configuration and contribution.

11. Background Papers

- [LGA Corporate Peer Challenge of Guildford Borough Council dated 5 February 2018](#)
- [Guildford Borough Corporate Plan 2018-2023](#)
- [Review of Governance Arrangements: 12 Month Review – Council report and minutes of 25 July 2017](#)

- [Review of Governance Arrangements – Council report and minutes of 7 October 2015](#)
- [Review of Governance Arrangements – Council report and minutes of 28 July 2015](#)

12. Appendices

Appendix 1: Report to Council on 9 October 2018 - Executive Advisory Boards – Proposed Review of Structure and Remit.

Appendix 2: Terms of Reference of the current Executive Advisory Boards and the Overview and Scrutiny Committee.

Appendix 3: Summary of the councillor questionnaire questions and responses.

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Council Report

Ward(s) affected: all

Report of Director of Finance

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Date: 9 October 2018

Executive Advisory Boards – Proposed Review of Structure and Remit

Executive Summary

The remit of each Executive Advisory Board (EAB) is aligned to themes in the Council's Corporate Plan and set out in their Terms of Reference. As reported at the Selection meeting of Council held on 15 May 2018, it was necessary to review the remits of the EABs to reflect the three themes of Place-Making, Community and Innovation, which form the newly adopted Corporate Plan 2018-2023 and differ from those in the previous Corporate Plan. Accordingly, on 24 July 2018, the Council considered a report which suggested changes to the names and remits of the EABs. As a result the Council agreed that the Borough, Economy and Infrastructure EAB be renamed the Place-making and Innovation EAB and the Society, Environment and Council Development EAB be renamed the Community EAB. The Terms of Reference of the EABs were amended to reflect the changes.

The report also advised that officers would be drawing together options, including the merits of a single EAB going forward, for consideration by the Council at this meeting in the light of feedback from the Local Government Association (LGA) corporate peer review in December 2017 and the Council's governance reviews in recent years.

The proposals in this report were considered by the Corporate Governance and Standards Committee at its meeting on 20 September 2018. The Committee was broadly in agreement with the recommendation below.

Recommendation to Council:

That, with immediate effect, the Council agrees:

- (1) to disband the two existing Executive Advisory Boards;
- (2) to establish a single Executive Advisory Board (to be named "Executive Advisory Board"), comprising 15 councillors, with up to seven substitute members per

political group;

- (3) to elect a chairman and vice-chairman of the Executive Advisory Group for the remainder of the 2018-19 municipal year;
- (4) to approve the Terms of Reference of the Executive Advisory Board, as set out in Annex 1 to this report; and
- (5) to adopt the timetable of meetings of the Executive Advisory Board for the remainder of the 2018-19 municipal year, and the 2019-20 municipal year, as shown in Annex 2 to this report.

Reason for Recommendation:

To introduce a more efficient and effective EAB configuration.

1. Purpose of Report

- 1.1 The purpose of this report is to invite the Council to consider future options for the configuration of EABs in response to the feedback from the LGA corporate peer challenge review of December 2017 and to follow on from the Council's governance reviews of recent years.

2. Background

- 2.1 Following a review of governance arrangements, on 7 October 2015 the Council agreed a new hybrid approach featuring the addition of two EABs to advise and make recommendations to the Leader and Executive. This system was implemented with effect from 1 January 2016 with the recommendation that the arrangements would be reviewed after a twelve-month period of operation. This twelve-month review took place in the form of a seminar on 1 March 2017 to which all Councillors were invited. Having concluded that the new arrangements were at an early stage and were beginning to embed, the review reinforced the role of the EABs in advising the Executive at an early stage in respect of the formulation and development of policies and projects that would assist with the delivery of Corporate Plan priorities.
- 2.2 From 4 to 6 December 2017, the LGA undertook a corporate peer challenge review of the Council and submitted its final feedback report on 5 February 2018. Although the report contained no specific recommendations relating to organisational governance, there was feedback in this area regarding the Overview and Scrutiny function and the operation of the EABs. The relevant extract from the feedback report concerning the EABs is as follows:

'The recent introduction of Executive Advisory Boards (EABs) is clearly work in progress and perhaps needs more time to settle down into a more effective grouping. The aim of allowing early stage involvement on backbench councillors in the development of decisions aligned to corporate plan themes pre-Executive is laudable. However, we found some confusion among councillors and officers about the role of EABs. It will be important for the Council to review ways to make their work more effective. This is important as the areas covered by the EABs such as innovation and housing are vitally important for the future of the Borough. Given

councillor appetite for smaller task and finish groups, perhaps topic based Advisory Boards may be a way forward.'

- 2.3 A key recommendation of the challenge review was to review the Council's Corporate Plan and identify a deliverable number of priorities. This has now taken place and a revised Corporate Plan 2018-2023 was adopted by the Council on 15 May 2018 when Councillors acknowledged that it would be necessary to review the remits of the EABs to reflect the three fundamental themes of Place-Making, Community and Innovation which underpinned the newly adopted Corporate Plan and differed from those in the previous iteration of the Plan. On 24 July 2018, the Council agreed revised names and remits for the EABs and established the Place-Making and Innovation EAB, in place of the Borough, Economy, and Infrastructure EAB, and the Community EAB, in place of the Society, Environment, and Council Development EAB, following the most logical approach to aligning the remit of the two EABs with the three new fundamental themes in the revised Corporate Plan. The Terms of Reference of the EABs was changed to reflect the amended names and remits.
- 2.4 Further to the peer challenge review feedback that it was important for the Council to review ways to make the work of EABs more effective, consideration has been given to achieving this. This has taken account of issues including difficulties with work programming, confusion around the remit of the EABs which can be blurred and overlapping, cancellation of meetings due to insufficient business and reluctance to discuss some matters at an early stage of development in a public forum.

3. Proposal

- 3.1 Resulting from this review to identify ways to make the work of EABs more effective, options for future EAB configurations have been identified and are set out below for consideration:

Options:

1. To disband the existing EABs and establish one overarching EAB making greater use of existing powers to establish task groups to look at specific issues and projects relating to the delivery of the nine strategic Corporate Plan priorities.
 2. To disband the existing EABs and establish topic based advisory boards to be commissioned directly by the Executive as and when required.
 3. To make no change to the current arrangements.
- 3.2 Option 1 is recommended as it gives the greatest flexibility by offering a formal Board meeting setting, with the capability of establishing informal task groups, which may meet in private, meeting councillor appetite for smaller, discrete, working groups. A single EAB would solve the issues of insufficient business for two EABs and confusion as to which one to report to. This approach would also streamline the work programming system. Reference to key or significant Executive decisions as set out in the Forward Plan, except those that are urgent, would continue to inform work programming. However, it is also suggested that a key element of the EAB work programme should include discussion of selected capital projects between provisional budget approval by

full Council and submission of reports to the Executive with a business case for final approval to transfer schemes to the approved capital programme.

- 3.3 The Director of Finance has amended the bid for funding form to include possible referral of schemes to the EAB before final consideration by the Executive as one of the key milestones to securing scheme approval. This should ensure that backbench councillors have a greater say in respect of major project sign-off.
- 3.4 Should Option 1 be supported, consideration will need to be given to the single EAB's Terms of Reference, membership, and frequency and scheduling of meetings. Suggested Terms of Reference are set out at Annex 1, which state that the EAB should have a membership of 15 non-executive councillors and meet on up to 10 occasions per annum.
- 3.5 Details of the proposed calculation of the numerical allocation of seats to political groups on the EAB will be dealt with in a separate report to full Council on 9 October 2018. The nominations for appointment of members (and substitute members) to the EAB in accordance with the wishes of the relevant political groups, in respect of the remainder of the 2018-19 municipal year, will be shown on a schedule to be submitted to the Council for approval on 9 October 2018. The Council will also be invited to elect a Chairman and Vice-Chairman of the EAB for the remainder of the 2018-19 Municipal Year.
- 3.6 A proposed timetable of meetings for the EAB for the remainder of 2018-19 and the whole of 2019-20 is set out in Annex 2 to this report.

4. Corporate Governance and Standards Committee – 20 September 2018

- 4.1 The proposals in this report were considered by the Corporate Governance and Standards Committee at its meeting on 20 September 2018. The Committee was broadly in agreement with the recommendation in this report.

5. Legal implications

- 5.1 There are no significant legal implications arising from this proposal.

6. Financial implications

- 6.1 Reducing the number of EABs from two to one will lead to a corresponding reduction in the number of chairmen resulting in a Tier 4 Special Responsibility Allowance (SRA) saving. This SRA is currently £3,432 per annum.
- 6.2 There are no significant financial implications arising from this report.

7. Human Resource implications

- 7.1 The changes envisaged under these proposals can be accommodated within existing staff resources.

8. Risk Management Implications

- 8.1 There are no significant risk management implications arising from this report.

9. Summary of Options

- 9.1 The Council could decide to leave the current EAB configuration unchanged or opt for an alternative Option. It is recommended, however, that Option 1 be adopted.

10. Conclusion

- 10.1 Pursuing Option 1 to disband the two existing EABs and establish one overarching EAB, making greater use of task groups to assist in the delivery of Corporate Plan priorities will address concerns previously raised as to the efficiency and effectiveness of the operation of the EABs.

11. Background Papers

- LGA Corporate Peer Challenge of Guildford Borough Council dated 5 February 2018
- Guildford Borough Corporate Plan 2018-2023
- Review of Governance Arrangements: 12 Month Review – Council report and minutes of 25 July 2017
- Review of Governance Arrangements – Council report and minutes of 7 October 2015
- Review of Governance Arrangements – Council report and minutes of 28 July 2015

12. Annexes

Annex 1: Proposed terms of Reference of the single EAB.

Annex 2: Timetable of EAB meetings for the remainder of the 2018-19 municipal year and the 2019-20 municipal year.

EXECUTIVE ADVISORY BOARD

TERMS OF REFERENCE

The Executive Advisory Board will consider reports on matters relating to the functions of the Executive. The remit of the Executive Advisory Board shall be aligned to the fundamental themes in the Corporate Plan 2018-2023. These terms of reference will be reviewed and approved at the Council's Selection meeting each year. The Executive Advisory Board will meet in public, be webcast, and be subject to Part C of the Council Procedure Rules, Public Speaking Procedure Rules and Access to Information Procedure Rules in Part 4 of the Constitution.

Membership:

- (a) The Executive Advisory Board shall comprise 15 non-executive councillors, one of whom shall be appointed by the Council as chairman, with normal voting rights.
- (b) The Council shall appoint a vice-chairman for the Executive Advisory Board.
- (c) Political proportionality rules will apply.
- (d) Substitutes will be allowed in respect of the Executive Advisory Board in accordance with the relevant provisions of Council Procedure Rules, and the Council may appoint up to seven substitute members for each political group.

Meetings:

- (a) The Executive Advisory Board shall normally meet up to ten times annually.
- (b) Relevant Executive members will be expected to attend Executive Advisory Board meetings and should normally present matters (with officer support) for discussion at meetings and engage actively in a dialogue with the Executive Advisory Board regarding those matters.
- (c) The quorum of the Executive Advisory Board will be five.

Responsibilities:

The Executive Advisory Board will have the following general responsibilities within its remit:

- (a) To advise the Executive at an early stage, including undertaking research, in respect of the formulation and development of policies and projects that will help to deliver Corporate Plan Priorities.
- (b) To consider and (where necessary) make recommendations to the Executive on the following:
 - (i) selected Key (or other significant) Decisions, and
 - (ii) selected major capital schemes at the point between provisional budget approval by full Council and submission of reports to the Executive with a business case for final approval to transfer schemes to the approved capital programme.
- (c) To assist and advise the Executive in the development of Policy Framework issues.
- (d) To assist and advise the Executive as regards budget preparation.
- (e) To develop and maintain a work programme ensuring that there is efficient use of its time.

Powers:

The Executive Advisory Board will have the power:

- (a) To require the Leader and/or lead councillors and officers to attend before it to answer questions.
- (b) To question and gather evidence from any person (with their consent).
- (c) To co-opt expert individuals on a non-voting basis to assist their work.
- (d) To set up panels, task groups or breakout groups to look at specific issues relating to the delivery of the Corporate Plan (or other significant priorities) in order to inform decision making by the Executive. For the avoidance of doubt, the membership of such panels and groups shall be open to all councillors.

Protocol for the operation of the Executive Advisory Board:

- (1) The Executive Advisory Board is advisory in nature and does not have any substantive decision-making powers delegated to it. The Executive Advisory Board is to act as a source of advice to the Executive.
- (2) The Executive Advisory Board will enable greater involvement and engagement of councillors and the public in significant Executive decisions.
- (3) The Executive Advisory Board will advise the Executive at an early stage about the formulation and development of policies and projects that will help deliver Corporate Plan priorities. The Executive Advisory Board is intended to enable backbench councillors to be more closely involved with issues of greatest importance to the Council.
- (4) The chairman and vice-chairman of the Executive Advisory Board will meet regularly to identify priorities and prepare a draft work programme for consideration and approval by the Executive Advisory Board and, as part of this process, will take into account the forthcoming key or significant Executive decisions set out in the Forward Plan, Corporate Plan priorities and major capital projects. Subject to paragraph (5) below, those matters identified in the agreed work programme will be considered by the Executive Advisory Board in detail.
- (5) When considering an Executive decision, the Executive Advisory Board will aim to do so at a time when it is still open to influence, that is to say, when there is an expectation that a recommendation or suggestion for improvement could realistically lead to change.
- (6) The Executive Advisory Board will determine their final recommendations to the Executive by consensus if at all possible.
- (7) The advice of the Executive Advisory Board to the Executive, including explanation for any recommendations, will be contained within a report considered by the Executive. The justification for not accepting advice from the Executive Advisory Board is to be made clear in the options considered by the Executive.
- (8) Membership of both the Executive Advisory Board and the Overview and Scrutiny Committee does not inevitably create a conflict of interest. As a rule, councillors should not be involved in scrutinising a decision in which they have been involved directly; yet, the Executive Advisory Board is advisory and it remains the responsibility of the Executive to formally take and implement the decision.

**TIMETABLE OF MEETINGS OF THE EXECUTIVE ADVISORY BOARD FOR
THE REMAINDER OF THE 2018-19 MUNICIPAL YEAR**

MEETING	PROPOSED DAY AND TIME	2018								2019				
		M A Y	J U N	J U L	A U G	S E P	O C T	N O V	D E C	J A N	F E B	M A R	A P R	M A Y
Executive Advisory Board	Monday 7:00 p.m.						15	19		14	18	18	15	

**TIMETABLE OF MEETINGS OF THE EXECUTIVE ADVISORY BOARD FOR
THE 2019-20 MUNICIPAL YEAR**

MEETING	PROPOSED DAY AND TIME	2019								2020				
		M A Y	J U N	J U L	A U G	S E P	O C T	N O V	D E C	J A N	F E B	M A R	A P R	M A Y
Executive Advisory Board	Monday 7:00 p.m.	20	17	8		9	21	18		13	17	16	20	

EXECUTIVE ADVISORY BOARDS TERMS OF REFERENCE

Each Executive Advisory Board will consider reports on matters relating to the functions of the Executive that fall within its remit. The remits of each Executive Advisory Board are shown below and are aligned to themes in the Corporate Plan; they will be reviewed and approved at the Council's Selection meeting each year. The Executive Advisory Boards will meet in public, be webcast, and be subject to Part C of the Council Procedure Rules, Public Speaking Procedure Rules and Access to Information Procedure Rules in Part 4 of the Constitution.

Membership:

- (a) Each Executive Advisory Board shall comprise 12 non-executive councillors, one of whom shall be appointed by the Council as chairman, with normal voting rights.
- (b) The Council shall appoint a vice-chairman for each Executive Advisory Board.
- (c) Proportionality rules will apply.
- (d) Substitutes will be allowed in accordance with the rules and procedures of this Constitution, and in respect of each Executive Advisory Board, the Council may appoint up to seven substitute members for each political group.

Meetings:

- (a) Each Executive Advisory Board shall normally meet eight times annually.
- (b) Relevant Executive members will be expected to attend Executive Advisory Board meetings and should normally present matters (with officer support) for discussion at meetings and engage actively in a dialogue with the Executive Advisory Boards regarding those matters.
- (c) The quorum of each Executive Advisory Board will be 4.

Responsibilities:

Each Executive Advisory Board will have the following general responsibilities within its remit:

- (a) To consider and (where necessary) make recommendations on all Key (or other significant) Decisions, prior to the formal consideration of all such decisions by the Executive.
- (b) To assist and advise the Executive in the development of Policy Framework issues.
- (c) To undertake research and reviews for the purpose of advising the Executive on the delivery of Corporate Plan Priorities.
- (d) To advise the Executive at an early stage in respect of the formulation and development of policies and projects that will help to deliver Corporate Plan Priorities
- (e) To assist in the development of Executive Decisions
- (f) To assist and advise the Executive as regards budget preparation.
- (g) To develop and maintain a work programme ensuring that there is efficient use of its time

Powers:

Each Executive Advisory Board will have the power:

- (a) To require the Leader and/or lead councillors and officers to attend before it to answer questions
- (b) To question and gather evidence from any person (with their consent)
- (c) To co-opt expert individuals on a non-voting basis to assist their work.

- (d) To set up panels, task groups or breakout groups to look at specific issues relating to the delivery of the Corporate Plan (or other significant priorities) in order to inform decision making by the Executive. For the avoidance of doubt, the membership of such panels and groups shall be open to all councillors.

Remits:

The remits of the Executive Advisory Boards will be as follows:

- (a) [The Place Making and Innovation] Executive Advisory Board. [To be aligned to themes in the new Corporate Plan]
- (b) [The Community] Executive Advisory Board [To be aligned to themes in the new Corporate Plan]

Protocol for their operation:

- (1) EABS are advisory in nature and do not have any substantive decision-making powers delegated to them. EABS are to act as a source of advice to the Executive.
- (2) EABS will enable greater involvement and engagement of councillors and the public in significant Executive decisions.
- (3) EABS will advise the Executive at an early stage about the formulation and development of policies and projects that will help deliver Corporate Plan priorities. The EABS are intended to enable backbench councillors to be more closely involved with issues of greatest importance to the Council.
- (4) The chairmen and vice-chairmen of the EABS will meet regularly to identify priorities and prepare draft work programmes for consideration and approval by the EABS and, as part of this process, will take into account the forthcoming key or significant Executive decisions set out in the Forward Plan. Subject to paragraph (5) below, those matters identified in the agreed work programmes will be considered by the EABS in detail.
- (5) When considering an Executive decision, the EABS will aim to do so at a time when it is still open to influence, that is to say, when there is an expectation that a recommendation or suggestion for improvement could realistically lead to change. EAB agendas will list all forthcoming key or significant Executive decisions set out in the Forward Plan, except those that are urgent.
- (6) EABS will determine their final recommendations to the Executive by consensus if at all possible.
- (7) The advice of EABS to the Executive, including explanation for any recommendations, will be contained within a report considered by the Executive. The justification for not accepting advice from an EAB is to be made clear in the options considered by the Executive.
- (8) Membership of both an EAB and the Overview and Scrutiny Committee does not inevitably create a conflict of interest. As a rule, councillors should not be involved in scrutinising a decision in which they have been involved directly; yet, EABS are advisory and it remains the responsibility of the Executive to formally take and implement the decision.

ARTICLE 8 – THE OVERVIEW AND SCRUTINY COMMITTEE

8.1 Terms of Reference

The Council will appoint an Overview and Scrutiny Committee to discharge the functions conferred by Sections 21 and 21A of the Local Government Act 2000 or regulations made under Section 32 of the Local Government Act 2000. This Committee is also the Council's designated crime and disorder committee under Section 19 of the Police and Justice Act 2006.

The work of the Overview and Scrutiny Committee should focus on the Council's principles, practice, procedures and performance (rather than politics and personalities); the work will be informed by the following principles:

- (i) Constructive "critical friend" challenge
- (ii) Amplifies the voices and concerns of the Public
- (iii) Led by independent people who take responsibility for their role; and
- (iv) Drives improvement in public services

The provisions of this Constitution are subject always, and without prejudice, to Section 9F of the Local Government 2000.

The general terms of reference of the Overview and Scrutiny Committee are set out below:

- (a) to perform all overview and scrutiny functions on behalf of the Council;
- (b) to appoint such formal sub-committees and informal task and finish groups as it considers appropriate to fulfil those overview and scrutiny functions;
- (c) to approve the overview and scrutiny work programme so as to ensure that the Committee's time is effectively and efficiently utilised;
- (d) to undertake investigations into such matters relating to the Council's functions and powers as:
 - (i) may be referred by the Leader/Executive; or
 - (ii) the Committee may consider appropriate; or
 - (iii) have been referred to the Committee pursuant to the "call-in" procedure set out in the Overview and Scrutiny Procedure Rules in Part 4 of this Constitution;

(In respect of (iii) above, the Committee may review the decision or, if it so wishes, refer the matter to the full Council for review.)

- (e) to review and advise on all existing policies of the Council, including making recommendations for future options to the Leader/Executive;

- (f) to review arrangements to secure continuous improvement in the way in which the Council's functions are exercised, having regard to a combination of economy, efficiency and effectiveness;
- (g) to monitor and review the Council's performance against relevant national and local performance indicators and adopted plans and strategies;
- (h) to consider any matter affecting the area or its inhabitants;
- (i) to discuss initiatives put forward for consideration by individual members of the Committee
- (j) to deal with any relevant councillor call-for-action in accordance with the protocol attached as Appendix 1 to the Overview and Scrutiny Procedure Rules set out in Part 4 of this Constitution; and
- (k) to consider petitions received under the adopted Petition Scheme that fall into the following categories:
 - petitions requiring a senior officer to give evidence to the Committee; and
 - a request from a petition organiser, who is not satisfied with the Council's response to a petition, for a review of the adequacy of the steps taken or proposed to be taken in response to the petition.

8.2 Specific Functions

(a) Policy Development and Review

The Overview and Scrutiny Committee may:

- (i) assist the Council and the Leader/Executive in the development of the budget and policy framework by in-depth analysis of policy issues; and the Overview and Scrutiny Committee may obtain evidence from members of the public or expert witnesses to inform its response
- (ii) conduct research, community and other consultation in the analysis of policy issues and possible options;
- (iii) question the Leader, lead councillors, Managing Director and Directors about their views on issues and proposals affecting the area; and
- (iv) liaise with, and scrutinise, other external organisations operating in the area, whether national, regional or local, to ensure that the interests of local people are enhanced by collaborative working; any such organisation that is working in partnership with the Council will be expected to have regard to the reports and recommendations of the Committee

(b) Scrutiny

The Overview and Scrutiny Committee may:

- (i) review and scrutinise the performance of and the decisions made by the Leader, lead councillors individually or the Executive collectively and Council officers both in relation to individual decisions and over time;
- (ii) review and scrutinise the performance of the Council in relation to its policy objectives, performance targets and/or particular service areas;
- (iii) question the Leader, lead councillors, Managing Director and Directors about their decisions and performance, whether generally in comparison with service plans and targets over a period of time; in relation to particular decisions, initiatives or projects; or in relation to the portfolios of the Leader or of Lead Councillors (or any parts thereof). As part of this process, the Committee may facilitate the asking of questions submitted in advance by members of the public;
- (iv) make recommendations as appropriate to the Leader/Executive and/or the Council arising from the outcome of the scrutiny process;
- (v) review and scrutinise the performance of other public bodies in the area and invite reports from them by requesting them to address the Committee and local people about their activities and performance;
- (vi) question and gather evidence from any person (with their consent) and require information from partner organisations; and
- (vii) use innovative ways to scrutinise matters of concern such as select committees, public hearings, mystery shopping and workshops; the issue being investigated should be matched to the most appropriate process.

(c) Finance

- (i) The Overview and Scrutiny Committee may exercise overall responsibility for the finances made available to them.
- (ii) The Committee may request that a budget be made available to it for the purposes of research, the costs of expert witnesses, site visits, non-meeting based activities and matters similar thereto.

(d) Annual Report

The Overview and Scrutiny Committee must report annually to the full Council on its work undertaken during the year, its future work programme and amended working methods if appropriate.

8.3 Proceedings of the Overview and Scrutiny Committee

Agenda item number: 6
Appendix 2

The Overview and Scrutiny Committee will conduct its proceedings in accordance with the Overview and Scrutiny Procedure Rules set out in Part 4 of this Constitution.

**Review of Executive Advisory Boards (EABs) – Councillor Questionnaire 2020
Summary of Responses**

Although there were 19 separate responses to the Councillor Questionnaire, two of them expressed the views of more than one councillor and the responses are therefore representative of 21 councillors. A summary of the responses is set out below.

	Question	Responses
1.	<p><u>Effectiveness</u> - Do you feel that the EABs are currently operating effectively? If not, please give reasons and enter suggestions for improvement.</p>	<p>Two respondents expressed the view that the EABs were broadly operating effectively and allowing back benchers to be involved in the Council’s decision-making process. However, this was dependent on the EABs receiving topics in sufficient time to discuss and debate them effectively before they were submitted to the Executive for determination, on having a balanced workload and on the appropriate timing and amount of meetings. Careful planning with officers and discussing the Forward Plan were felt to be key to their success.</p> <p>Eight councillors felt that the EABs could operate more effectively whilst a further seven councillors thought EABs were not operating effectively. The reasons for lack of effectiveness included:</p> <ul style="list-style-type: none"> (a) Cancellation of meetings, particularly the Community EAB, owing to a ‘lack of business’; (b) An imbalance in the level of business between the two Boards; (c) EABs were seen to lack authority; (d) As the EABs were only advisory they had limited weight to affect decision-making, and it often felt that the decision had been made before the matter was reported to the EAB; (e) The primary purpose of the EABs to provide an opportunity for lead members to take soundings from a broad spectrum of councillors before bringing policies forward had been forgotten; (f) There was little scope for immediacy; there was too much control and emphasis on the content of the EAB agendas based on the Forward Plan; (g) Difficulties were experienced owing to a lack of clear outcomes and clarity on how advice from EABs consisting of many varied comments was presented to, and received by, the Executive, and the role the minutes played in this. However, some steps had been taken in the latest Place-Making and Innovation EAB meeting to make clearer the specific views and advice of the

	<p>EAB. There was a lack of feedback from the Executive.</p> <p>(h) The concept behind the EABs was for them to consider subjects far in advance of their consideration by the Executive. The idea was for them to make a broad conceptual review of an item. However, gradually the time between EABs meeting and their thoughts going to the Executive shrank so that now they considered subjects at the last minute and in insufficient detail being seen as more of a tick box exercise than a proper board to inform decision-making.</p> <p>(i) The quality of chairing could often be poor and most of the time the EABs seemed to function in a retrospective scrutiny role rather than in a proactive advisory role. There also seemed to be poor understanding of the advisory role of the EABs amongst councillors.</p> <p>(j) Task groups called for in minutes of a meeting were not set up or operated as required, working with officers on SPDs was an example. An EAB considered SPDs as prepared documents already sent out for public consultation in disregard to EAB minutes and contrary to protocol 5. A recent issue showed that the wishes of the EAB (Placemaking) were disregarded and overruled by officers.</p> <p>Areas for suggested improvement were:</p> <ol style="list-style-type: none"> (1) Early consideration of items at a draft stage would enable EABs to be involved in shaping policy before a full report was drafted. (2) As agendas could be lengthy containing large documents and items at the end may get insufficient attention, the amount of business should be managed and extra meetings scheduled as appropriate. (3) The minutes should be sent to the chair and officers first, then the EAB members (via email) for approval and then to the Executive meeting. (4) The EABs could take on more in terms of working on specific projects. (5) In the case of planning documents, it would be beneficial for EABs to be briefed by the Local Plan Panel at an early stage of policy development. (6) 'Advisory' should be dropped from the Boards' titles and replaced by 'Consultative'. (7) EABs needed to be more proactive, working with the Executive to identify areas of policy where they could provide in-depth research to make sure that there was a strong evidence base for either new policies or expansion of existing policies. (8) When deciding views to go forward to the Executive, after a brief statement, the Chair should ask for a seconder then have a vote on whether the comment was valid or not. This vote should be recorded so the Executive knew how popular the comment was. If a councillor did not follow the above process, then what they said would not necessarily be minuted.
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		<p>(9) The EABs would be effective when driven productively by the Chair. Chairmen should undertake training / refresh training on managing meetings in an orderly fashion and summarising at regular intervals.</p> <p>(10) Members need to understand the remit as well as the limitations of their brief and the chairs must support the members in keeping to this. If that happened then there would be Boards that could take some of the weight off of the Executive and contribute meaningfully to the activities of the Council.</p> <p>(11) All decisions made by EABs, shown through approved minutes, should be taken on board by officers and relayed to the Executive as advice to them from that EAB. Therefore time was needed for meetings to occur and minutes to be approved prior to advice being conveyed to the Executive. Draft minutes should not be used for this purpose and if more urgent advice was required, this must be made clear to EABs and arrangements made to send a key point summary to officers and the Executive prior to full minutes being ready.</p> <p>(12) In terms of EABs receiving feedback from the Executive in respect of the views they had put forward, this could be achieved by the presence of an Executive member at EAB meetings to explain the response to EAB advice when the minutes of the last meeting were signed off.</p> <p>(13) Officers and the Executive should give their reasons for agreeing or not agreeing advice from the EABs.</p>
<p>2.</p>	<p><u>Structure and Frequency</u> - Do you think that the current structure of the EABs (Community EAB, Place-making & Innovation EAB, typically meeting collectively as the Joint EAB on two occasions per annum to review budgetary matters) is the correct structure and frequency? (Timetable of meetings attached for ease of reference.) If not, please suggest alternatives.</p> <p>With this in mind, would a single EAB with a Council-wide remit and larger membership meeting</p>	<p><u>Structure</u></p> <p>(a) The majority of respondents supported the current structure of two separate EABs meeting collectively as the Joint EAB when necessary to discuss the budget and other significant or Council-wide topics.</p> <p>(b) It was broadly felt that a single EAB with a larger membership would be unwieldy with lengthy agendas whereas two EABs would enable members to develop expertise in a particular area of Council activity and to use that expertise in policy development.</p> <p>(c) There was some support for establishing EAB task groups when required to allow members to delve deeper into specific topics.</p> <p>(d) As an alternative to the existing EABs, two Council-wide EABs were proposed as they would ensure a regular equal workload covering all areas of Council activity. The possibility of interchangeable membership between such EABs would enable councillors to follow their interests and expertise.</p> <p><u>Frequency and timing of meetings</u></p>

	<p>on a more frequent basis (i.e. monthly) be a more effective approach?</p>	<p>(1) Several respondents indicated a wish for flexibility to meet demand, enable topics to be considered in a timely fashion and maintain a balanced workload.</p> <p>(2) It was felt that EAB meetings should be more closely linked to, and precede, the Executive's meetings to give an opportunity for the EABs to discuss Executive agenda items and for the Executive to receive the EABs' views.</p> <p>(3) In order to have early input into policy and act as sounding boards, the EABs would need to consider Executive items several months in advance of determination.</p> <p>(4) As the two Joint EAB meetings created a gap between regular EAB meetings, it was suggested that the Joint EAB should meet in addition to the other EABs.</p> <p><u>Membership</u></p> <p>The number of EAB members was considered to be appropriate. Two respondents felt that there were too many substitutes and that one substitute per EAB member was adequate.</p>
<p>3.</p>	<p><u>Remit</u> – notwithstanding the above, should the remit of EABs continue to align with the fundamental themes within the Corporate Plan (currently awaiting review), or with the directorates of the Council, or with other community / service themes (if the latter, please give examples)?</p>	<p>The views expressed by respondents in respect of the remit of EABs were varied.</p> <p>(a) Five respondents favoured alignment with the Corporate Plan themes, one of whom stated that this should be a focus but not to the exclusion of other topics, at least for the interim period whilst the Council's new administration became established and the authority responded to the impact of the Coronavirus threat.</p> <p>(b) A remit aligned purely to the Council's new Directorates was sought by four respondents as it was felt that the Directorates were less likely to change than the Corporate Plan, which was frequently reviewed, and because this would give a greater opportunity for EABs to act in an advisory role to the relevant Executive portfolios.</p> <p>(c) Two respondents felt that the remit should jointly reflect the Corporate Plan themes and the Directorates of the Council.</p> <p>(d) A further two respondents favoured remit alignment with the Council's service delivery areas.</p> <p>(e) Two more respondents felt that the EABs' remit should mirror the Executive portfolios.</p> <p>(f) The EABs having a free hand in setting their agendas was welcomed by two respondents.</p>

		<p>(g) A focus on the Forward Plan, on the Corporate Plan and the Forward Plan, and on a Council-wide basis, were each favoured by one respondent.</p> <p>(h) One further respondent felt that alignment with the Corporate Plan could lead to a workload imbalance affecting the efficiency of the EABs and suggested that the number of meetings and workload be divided equally between two Boards with interchangeable Council-wide remits enabling them collectively to meet as frequently as the Executive.</p> <p>(i) Related comments were that the Place-Making and Innovation EAB should focus on the planning and climate change agenda and that it was likely that the Corporate Plan would be reviewed again following the implementation of the next phase of the Future Guildford programme, the reorganisation of the Executive and post-COVID 19 outcomes leading to a further review of the remit of the EABs.</p>
4.	<p><u>Interface with Overview and Scrutiny</u> – Parallels between the role and function of O&S and EABs have been drawn – do you feel that the current balance is correct or should there be a greater emphasis on either one, or both?</p>	<p>(a) The responses to this question indicated that the differing roles and functions of O&S and EABs were largely appreciated by respondents who were generally of the view that EABs were intended to be the vehicle for influencing and shaping decisions before they were made, and possibly reviewing policy as it developed where appropriate, whilst the main purpose of O&S was to undertake post-decision overview and scrutiny in order to hold the Executive to account. However, some councillors felt that more emphasis should be placed on clearer demarcation between the roles of O&S and the EABs as there sometimes appeared to be some misunderstanding by members of the roles and powers of the O&S Committee and EABs.</p> <p>(b) Whilst some respondents felt that the roles of both O&S and EABs were very important and there was no reason to place greater emphasis on one or the other, another stated that O&S was a more effective body and should remain a priority. However, it was thought that attaching greater weight to EABs and clarifying their role may raise their profile and increase members' confidence that EABs' recommendations to the Executive were given appropriate attention and priority.</p> <p>(c) As EABs were felt to be under-utilised at times by comparison to O&S, it was suggested that their roles, apart from the scrutiny aspect, could be linked to increase capacity and coverage. As the Chairmen and Vice-Chairmen of the O&S Committee and EABs met to discuss their work programmes, it was felt that the work balance could be adjusted as required. However,</p>

		<p>one respondent thought that, at present, the balance was weighted too much towards scrutiny and insufficiently towards offering advice to the Executive, with the latter being the main role of the EABs. Another view was that if EABs were more consultative in nature, they would have a better interface with O&S than at present. A further view was that both EABs and O&S could only operate successfully if councillors committed to making them work through means including examination of robust evidence in an effort to increase the Council's effectiveness without seeking political gain.</p> <p>(d) Suggestions for improving the EAB process were the Executive anticipating the need for, and inviting, advice from EABs at the agenda setting stage. It was felt that the early provision of complex and lengthy information in advance of EAB meetings would facilitate consideration of issues and formulation of advice.</p>
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Corporate Governance and Standards Committee Report

Ward(s) affected: N/A

Report of Director of Resources

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Date: 24 September 2020

Review of the Protocol on Councillor-Officer Relations

Executive Summary

Arising from a number of concerns raised by councillors in relation to ethical standards and transparency, on 19 November 2019 the Committee resolved to set up a cross-party task group with a wide remit to consider, review and make recommendations on these matters (see minute CGS34).

The task group currently comprises the following persons:

- Councillor Deborah Seabrook (Chairman)
- Councillor Liz Hogger
- Councillor Nigel Manning
- Councillor Ramsey Nagaty
- Councillor James Walsh
- Murray Litvak (independent member of the Committee)
- Julia Osborne (Parish representative on the Committee)

Included in the above-mentioned resolution was the remit to review the Protocol on Councillor/Officer Relations. A copy of the current Protocol is attached as **Appendix 1** to this report. This Protocol is not a statutory document, but it sits alongside the Councillor Code of Conduct and the Staff Code of Conduct in the Constitution and sets out guidance for councillors and officers on their respective roles and expected conduct in their relationship with one another.

In early 2019, a former task group of the Corporate Governance and Standards Committee reviewed the Protocol on Councillor/Officer Relations but did not report back on its findings as it was felt that the newly elected Council should have the opportunity of providing input into the review.

The current task group agreed to pick up the review at the point at which the previous task group had concluded.

The task group recommend the adoption of the draft revised Protocol attached as **Appendix 2** to this report.

Recommendation to Committee

- (1) That the Corporate Governance and Standards Committee
 - (a) reviews and comments on the draft revised Protocol on Councillor/Officer Relations as attached to this report at Appendix 2; and
 - (b) subject to any such comments, submits the Protocol to Full Council for adoption.
- (2) That the Council be asked to agree that the Protocol should be reviewed at least every four years at the same time as the Council reviews its codes of conduct for councillors and staff.
- (3) That the appointment of Councillor David Bilbe as the Conservative Independent Group's representative on the Task Group for 2020-21 be confirmed.

Reason(s) for Recommendation:

To ensure that properly reviewed and up to date guidance is made available to councillors and officers.

Is the report (or part of it) exempt from publication? No

1. Purpose of Report

- 1.1 The purpose of this report is to present to the Committee the outcome of the review by the Task Group of a revised Protocol on Councillor/Officer Relations, which is set out in **Appendix 2**. The Committee is asked to consider the draft revised Protocol and, subject to any comments, to submit the protocol for adoption by the Council on 6 October 2020.

2. Strategic Priorities

- 2.1 Guildford Borough Council strives to be the best council and to deliver quality and value for money services whilst being open and accountable. Building a constructive and collaborative relationship between councillors and officers is essential to achieving the Council's corporate objectives.

3. Background

- 3.1 Councillors and officers are indispensable to one another and mutual respect and communication between both is essential for good local government. Together, they bring the critical skills, experience and knowledge required to manage an effective council. Councillors provide a democratic mandate to the Council, whereas officers contribute the professional and managerial expertise needed to deliver the policy framework agreed by councillors. The roles are very different but need to work in a complementary and mutually respectful way.

- 3.2 Although protocols on councillor/officer relations are not mandatory, most councils recognise that it is good practice to have an adopted protocol providing guidance for good working relations between councillors and officers, which defines their respective roles and provides some principles governing conduct and appropriate behaviour. Guildford's protocol on Councillor/Officer relations is currently included in Part 5 of the Constitution sitting alongside and complementary to the Councillors' Code of Conduct and the Code of Conduct for Staff. The Protocol was first introduced in 2002 and, although it has been periodically updated, for example to reflect changes in job titles, it had not been reviewed until now.
- 3.3 At its meeting in November 2018, the Committee recognising the need to ensure that the Protocol was up to date, relevant, and reflected current law and best practice, established a task group to review the Protocol and to report back its recommendations to the Committee in March 2019, with a view to the adoption of a revised Protocol by the Council in April 2010.
- 3.4 In early 2019, the task group commenced the review but did not report back on its findings as it was felt that the newly elected Council should have the opportunity of providing input into the review.
- 3.5 Following the Borough Council elections in May 2019, the Council at its meeting on 8 October 2019, adopted a motion which, amongst other matters, requested the establishment of a task group to examine the effectiveness of internal communications and promote transparency. This Committee, at its meeting in November 2019, set up its own task group to not only undertake the work agreed by the Council, but also to review a number of other matters including the Councillors' Code of Conduct, and the work undertaken by the previous task group which had commenced the review of the Protocol on Councillor/Officer Relations in early 2019.
- 3.6 The product of the current task group's work in reviewing the Protocol is set out in Appendix 2 to this report. The task group commend the revised Protocol to the Council for adoption.

Membership of the Task Group

- 3.7 When the task group was established in November 2019, it was envisaged that all political groups would be represented on it. Currently, there is no representative from the Conservative Independent Group. Following consultation with the leader of that group, Councillor David Bilbe has been nominated to join the task group. The Committee is asked to approve the nomination.

4. Consultations

- 4.1 Consultation for members will be via this Committee and subsequently through Full council.
- 4.2 The draft Protocol has been reviewed by the Council's Unison representative who suggested the following amendments to paragraph 3.4 thereof (which are shown in red below):

“3.4 The role of officers is to seek to assist councillors, within the restrictions of their levels of authority and in regard to the rules governing access to information. They also have a role to ensure that councillors are properly informed about information to which they have a right of access. Officers should not use professional expertise to discourage or intimidate councillors from pursuing lines of inquiry. There may well be service level agreements set out regarding the timescales for responding to particular queries or referrals from individual councillors. These may well vary dependent on the ‘level’ of a councillor or the topic in question. For example, responses to the leader of the council or the leader of any opposition group may well need to be given more speedily than say a referral from a backbench councillor, dependent upon the urgency of the enquiry. Or responses to matters around the safeguarding of children or vulnerable adults might require a prompter response due to the immediacy of the issue and the need to take action within a short timeframe. In all cases, the officer, as the subject matter expert, should be able to prioritise their work based on the urgency of the matter raised, whoever is making an enquiry.”

4.3 In response, the members of the Task Group have suggested the following wording as amended in red below:

“3.4 The role of officers is to seek to assist councillors within the restrictions of their levels of authority and in regard to the rules governing access to information. They also have a role to ensure that councillors are properly informed about information to which they have a right of access. Officers should not use professional expertise to discourage or intimidate councillors from pursuing lines of inquiry. There may be service level agreements set out regarding the timescales for responding to particular queries or referrals from individual councillors. These may vary dependent on the ‘level’ of a councillor or the topic in question. For example, responses to the leader of the council or the leader of any political group may need to be given more speedily than a referral from a backbench councillor. Responses to matters of urgency, for example regarding the safeguarding of vulnerable adults or children can require a prompter response due to the immediacy of the issue and the need to take action within a short timeframe. Both officers and councillors have to prioritise their work. When their priorities do not coincide, they should discuss and agree a mutually acceptable timescale for response.”

5. Financial Implications

5.1 There are no direct financial implications arising from this report.

6. Legal Implications

6.1 As stated above, whilst there is no legal requirement for a Protocol, the Local Government Act 2000 (Constitutions) (England) Direction 2000 sets out the broad themes to be included in a local authority’s Constitution, including:

“any protocol established by the authority in respect of relationships between members of the authority and officers of the authority”

7. Human Resource Implications

- 7.1 There are no Human Resources implications arising from this report, albeit the Protocol does set out guidance to officers of the pathway to be followed should any issue arise in their relationship with a councillor.

8. Equality and Diversity Implications

- 8.1 Public authorities are required to have due regard to the aims of the Public Sector Equality Duty (Equality Act 2010) when making decisions and setting policies. Set out how the report recommendations and proposals comply with the equality duty and supports the Council's Equality Statement.
- 8.2 There are no perceived Equality and Diversity implications arising from this report and no Equalities Impact Assessment has been undertaken.

9. Climate Change/Sustainability Implications

- 9.1 There are no Climate Change or Sustainability implications arising from this report.

10. Summary of Options

- 10.1 To approve and recommend to Full Council the adoption of the draft revised Protocol as attached at Appendix 2 (recommended option).
- 10.2 To amend as appropriate the draft revised Protocol at Appendix 1 and recommend its adoption to Full Council.
- 10.3 To refer the revised draft Protocol at Appendix 2 back to the Task Group for further consideration.
- 10.4 To reject the revised draft at Appendix 2 and retain the existing Councillor/Officer Protocol at Appendix 1.
- 10.5 To recommend to Full Council there should be no Protocol as it is not a statutory requirement.

11. Conclusion

- 11.1 The Task Group has undertaken a thorough review of the Protocol and has compared and contrasted it to those published by other councils alongside the guidance provided by the Local Government Association to ensure it is comprehensive and follows best practice in order to arrive at the recommended draft at Appendix 2.

12. Background Papers

[Council Minutes, 8 October 2019](#)

[Corporate Governance and Standards Committee Minutes, 19 November 2019](#)

13. Appendices

Appendix 1: Existing Protocol on Officer/Councillor Relations

Appendix 2: Draft Revised Protocol on Officer/Councillor Relations 2020

GUILDFORD BOROUGH COUNCIL

PROTOCOL ON COUNCILLOR/OFFICER RELATIONS

1. Introduction

- 1.1 Elected councillors and paid officers fulfil different but complementary roles. Councillors are the elected representatives of the community and the officers provide the professional advice and support. As stated in the Nolan report, this relationship operates at its best as one of partnership. This protocol seeks to guide councillors and officers in their relations with one another.
- 1.2 The majority of this protocol is a statement of current practice. However, it is hoped that it will ensure that councillors and officers will continue with their respective roles secure in the knowledge that, provided the conditions contained within this protocol are observed, both councillors and officers will be protected from accusations of inappropriate conduct or bias.
- 1.3 The underlying principle of councillor/officer relations will, of course, remain the same, namely that the elected councillors are responsible for agreeing policy and taking all non-delegated decisions; officers are responsible for providing advice and support, for making decisions under delegated authorities and for ensuring that all the Council's decisions are efficiently and professionally carried out.
- 1.4 The protocol is supplementary to the Councillors' Code of Conduct, which councillors undertook to be guided by in their declarations of acceptance of office after election, and Code of Conduct for Staff contained in Part 5 of this Constitution.
- 1.5 In addition to the above, the Widdicombe Committee reported in 1988 in their report of inquiry into the conduct of local authority business that:

“Local Government has derived strength over the years from a complementary relationship between part-time councillors drawn from and representative of the general public, and full-time officers with professional expertise. We accept that this cannot be a rigid or static model. Some councillors will need to devote considerable time to council business, and there has sometimes been too great a stress on officer professionalism. Councillors moreover have the right to ensure that some of their decisions for which they are statutorily responsible and accountable are implemented by officers. Nevertheless, a merging of roles is not desirable. Councillors should leave the day-to-day implementation of council policies, including staff management as far as possible, to officers, and officers should demonstrate that they are sensitive to the political aspirations underlying those policies”.

- 1.6 The Committee on Standards in Public Life, established by the government in 1997 recommended that all councils should adopt a protocol which should set out how the relationship would work and be tailored to each authority's traditions and practices.

2. General rules

- 2.1 It is important that any dealings between councillors and officers should observe high standards of courtesy and neither party should seek to take unfair advantage of their position.

- 2.2 A councillor should not raise matters relating to the conduct or capability of an officer at any public session of a meeting. In the event that any councillor has a complaint concerning an officer's behaviour, conduct or capability and is unable to resolve same through discussions with the officer concerned, they should raise the matter in the first instance with the officer's head of service or director. If after receiving a written report from the head of service or director, a councillor remains concerned, the Managing Director should be advised. In the event that a decision is taken to take action against an officer in respect of a complaint lodged by a councillor, such action shall be conducted in accordance with the Council's disciplinary rules and procedures.
- 2.3 Similarly, officers should not raise matters relating to the conduct or capability of a councillor at any public session of a meeting. Where an officer feels that he/she has not been properly treated by a councillor, they should raise the matter with their head of service, director or the Managing Director, as appropriate. In the event that the member of staff does not feel able to discuss the matter directly with the councillor concerned, the head of service, director or Managing Director will take the appropriate action by approaching the councillor concerned and/or his or her group leader.

3. Officer advice to councillors and groups

- 3.1 Officers serve the Council as a whole and not any individual political group or any individual councillor.
- 3.2 The support provided by officers may involve a briefing meeting prior to an Executive, committee or sub-committee meeting, such support in whatever form it takes, is available to all councillors and all party groups.
- 3.3 There are rules for those who provide advice and support to councillors, such rules relate to both councillors and officers. In particular, the rules comprise:
- (a) Officer advice and support must relate only to matters of Council business and not to advice on political issues. In the event that an officer is of the view that it would be inappropriate to provide the advice and support requested by an individual councillor, he/she may refuse to provide same and will advise their director or the Managing Director as appropriate.
 - (b) Decisions made at party group meetings are not decisions of the Council and must not be treated or acted upon as such by either councillors or officers.
 - (c) Officers should not normally attend formal meetings of political groups.
 - (d) Where a councillor requests information from an officer, that information will not be supplied to any other councillor unless the officer supplying the information states at the time of supplying same that the information in question will be made available to other councillors.
 - (e) It must not be assumed by any group or individual councillor that an officer is supportive of any policy simply because of that officer's assistance in the formulation of same.
 - (f) In the event that any councillor or group requires further information of a factual nature prior to a Council, Executive, committee or sub-committee meeting or

wishes to query any facts contained in an agenda item or report, they should, wherever possible, ask the relevant officer prior to the meeting.

4. Support services to councillors and party groups

- 4.1 The Council provides a number of services to councillors, such as personal computers and IT facilities, stationery, photocopying etc. Such services are provided to assist them in discharging their role as councillors.
- 4.2 In using the Council's IT facilities and, in particular, the internet facility, councillors must comply with relevant Council policies.

5. Councillors' access to information and council documents

- 5.1 Access to accurate and up-to-date information and professional advice is vital to enable councillors to fulfil their elected role effectively. However, access to information and protection of individual and community rights is an increasingly sensitive area, and there is a great deal of legal regulation, both common law and statutory, which governs the rights and restrictions relating to councillors' access to Council-held information. This section attempts to set out the basic principles and rules to enable councillors to operate effectively within the law.
- 5.2 Councillors have a right to approach any head of service to ask for information or seek advice. This right extends only to information, explanation and such advice as they may reasonably need in order to assist them in discharging their role as a councillor. When seeking such advice or information, councillors should normally approach a senior officer of the service concerned or, on particularly sensitive matters, the head of service. In the event of any difficulty, councillors should approach the relevant director or Managing Director.
- 5.3 As indicated in Paragraph 5.1 above, the legal rights of councillors to inspect Council documents are covered partly by statute and partly by common law.
- 5.4 Councillors have a statutory right to inspect any Council documents which contain material relating to any business which is to be transacted at a Council, Executive, committee or sub-committee meeting. Such right applies irrespective of whether the councillor is a member of the body concerned and applies not only to reports which are to be submitted to the meeting in question, but also to any relevant background papers. This statutory right does not, however, apply to documents relating to items which appear within the confidential part of any agenda for a meeting.
- 5.5 There is no 'roving commission' for a councillor to examine books and documents and the common law right of councillors is based on the principle that councillors have a prima facie right to inspect Council documents so far as access to the document in question is reasonably necessary to enable the councillor to perform his/her duties. This is commonly known as "the need to know" principle.
- 5.6 To exercise the common law right, councillors must, therefore, prove a need to know. Officers will always do their best to ensure that councillors are properly informed of significant issues or events affecting their wards or other areas of responsibility. Nevertheless, the requirements of the legislation and, in particular, the Data Protection Act 1998 and the Human Rights Act 1998, make this a difficult area. In matters of concern on this issue, it is for the head of service or service leader which holds the document in question to determine whether an individual councillor has a need to know, and such head of service may seek advice from the Monitoring Officer

in particular cases of difficulty. In the event of dispute relating to a councillor's need to know, the matter will be determined by the Corporate Governance and Standards Committee.

- 5.7 In many cases, a need to know can be presumed. However, where councillors request to see documents containing confidential information, the councillor will be required to justify the request in specific terms. Certain documents will not be available to councillors. These documents may contain information which is covered by statute or may be documents which are in the possession of officers but are likely to be sensitive material, the release of which in the opinion of the officer would be prejudicial to the Council's interests.
- 5.8 Further and more detailed advice regarding councillors' rights to inspect Council documents may be obtained upon request to the Monitoring Officer.
- 5.9 Any Council information provided to a councillor must only be used by the councillor for the purpose for which it was provided (i.e. in connection with the proper performance of the councillors' duties). Attention is drawn to the relevant section of the Councillors' Code of Conduct in Part 5 of this Constitution:

"You must not disclose information given to you in confidence by anyone, or information acquired by you which you believe, or ought reasonably to be aware, is of a confidential nature, except where:

- (i) you have the consent of a person authorised to give it;
 - (ii) you are required by law to do so;
 - (iii) the disclosure is made to a third party for the purpose of obtaining professional advice provided that the third party agrees not to disclose the information to any other person; or
 - (iv) the disclosure is:
 - (a) reasonable and in the public interest; and
 - (b) made in good faith and in compliance with the reasonable requirements of the authority.
- 5.10 Any councillor found to be or suspected of being in breach of the requirement to keep the confidentiality of items taken 'in committee' will be the subject of a report to the Corporate Governance and Standards Committee.

6. Officer/chair/lead councillor relationships

- 6.1 It is obviously important that there should be a close working relationship between the chairman of a committee and the officers who report to or interact with that committee. This will also apply between the Leader, lead councillors on the Executive and the appropriate directors and heads of service. However, such relationships should never be allowed to become so close, or appear to be so close as to bring into question an individual officer's ability to deal impartially with other councillors and other party groups.
- 6.2 The Leader of the Council or the chairman of a committee or sub-committee will naturally be closely involved in the process of formulating an agenda for a meeting,

and such bodies and/or the chairman may of course request that matters are placed on an agenda. In addition, councillors will appreciate that in certain circumstances an officer will be under a professional duty to submit a report. A director, head of service or other senior officer will be responsible for the contents of any report submitted in his/her name and, therefore, any amendment to the report will only be made if such amendment reflects the professional judgement of the author of the report. Any issues arising between a chairman and a senior officer should be referred to the Managing Director for resolution, in consultation with the Council Leader.

- 6.3 A decision on Council business may only be taken by the Council, the Leader/Executive, a committee or sub-committee or a councillor or officer acting pursuant to delegated powers.
- 6.4 Finally, it must be remembered that, while officers may work closely with the Leader, committee chairmen and lead councillors, they are accountable to their head of service, director and the Council and cannot go beyond the bounds of whatever authority they may have been given by their head of service, director or by the Council.

7. Correspondence

- 7.1 Correspondence, including e-mails, between an individual councillor and officer, particularly when it has been initiated by a councillor, should not normally be copied by the officer to any other councillor, unless the councillor who initiated the correspondence copied it to other councillors in which case the officer shall copy his correspondence to those other councillors. In the event that in certain circumstances it proves necessary to copy the correspondence to another councillor, this should be made clear to the original councillor through notation on the correspondence. A system of 'silent copies' should not be employed. Similarly, correspondence sent to all councillors or groups of councillors will make the circulation list clear.
- 7.2 Official letters on behalf of the Council must normally be sent in the name of the appropriate officer rather than in the name of a councillor. Letters which create obligations or give instructions on behalf of the Council must never be sent out in the name of a councillor.

8. Ward councillors

- 8.1 Whenever a public meeting is organised by the Council to consider a local issue, all councillors representing the ward or wards affected should, as a matter of course, be invited to attend the meeting. Similarly, whenever the Council undertakes any form of consultative exercise on a local issue, ward councillors should be notified at the outset of the exercise.
- 8.2 Officers will not normally attend meetings arranged by councillors unless this has been discussed and agreed with the appropriate head of service or director in advance in order that proper representation and briefing can be arranged.
- 8.3 Copies of correspondence to parish councils and amenity groups shall always be sent to local ward councillors, unless the correspondence contains confidential information to which the provisions of Section 5 apply.

9. Conclusion

- 9.1 Both councillors and officers must bear in mind that mutual understanding and basic

respect are the greatest safeguard of the integrity of the Council, its councillors and officers.

- 9.2 Copies of this protocol will be issued to all councillors, together with any other relevant documentation upon their election to the Council.
- 9.3 Except as specifically provided in this document, questions on interpretation of this protocol will be determined by the Monitoring Officer, unless the provision in question relates to a matter to be determined by the Managing Director.
- 9.4 The Corporate Governance and Standards Committee is responsible for reviewing the practical application of this protocol from time to time and making appropriate suggestions for its improvement and development.

GUILDFORD BOROUGH COUNCIL

PROTOCOL ON COUNCILLOR/OFFICER RELATIONS

1. INTRODUCTION

- 1.1 Mutual understanding and basic respect between councillors and officers are the greatest safeguard of the integrity of the Council.
- 1.2 Copies of this protocol will be issued to all councillors upon their election to the council and to all staff upon their recruitment to the council and included in all induction training and refresher sessions.
- 1.3 Questions on interpretation of this protocol will be determined by the Monitoring Officer in consultation with the Chairman of the Corporate Governance and Standards Committee, unless the provision in question relates to a matter to be determined by the Managing Director, in which case it will be determined in consultation with the Leader of the Council.
- 1.4 The Corporate Governance and Standards Committee will be responsible for reviewing the practical application of this protocol and will make appropriate suggestions for its improvement and development.
- 1.5 The protocol is supplementary to the Councillors' Code of Conduct and Staff Code of Conduct contained in Part 5 of this Constitution.

2. VERSION

This will be an evolving document and in recognition of changes in working practices and the Protocol will be reviewed at least every four years at the same time that council reviews its Councillor Code of Conduct and the Staff Code of Conduct and the Probity in Planning document

3. ROLES

- 3.1 Both councillors and officers serve the public, but their responsibilities are distinct. This protocol seeks to guide councillors and officers in their relations with one another.
- 3.2 Councillors are responsible to the electorate. Their job is to represent their constituents, to agree policy and to take all non-delegated decisions. They serve as long as their term of office lasts.
- 3.3 Officers are responsible for day-to-day managerial and operational decisions within the authority. Their job is to give advice to councillors and the public, to take all delegated decisions and to carry out the council's work in a professional manner.
- 3.4 The role of officers is to seek to assist councillors within the restrictions of their levels of authority and in regard to the rules governing access to information. They also have a role to ensure that councillors are properly informed about information to which they have a right of access. Officers should not use professional expertise to discourage or intimidate councillors from pursuing lines of inquiry. There may be service level agreements set out regarding the timescales for responding to particular queries or

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referrals from individual councillors. These may vary dependent on the 'level' of a councillor or the topic in question. For example, responses to the leader of the council or the leader of any political group may need to be given more speedily than a referral from a backbench councillor. Responses to matters of urgency, for example regarding the safeguarding of vulnerable adults or children can require a prompter response due to the immediacy of the issue and the need to take action within a short timeframe. Both officers and councillors have to prioritise their work. When their priorities do not coincide, they should discuss and agree a mutually acceptable timescale for response.

3.5 Officers must not allow their own personal or political opinions to interfere with their work.

4. MUTUAL RESPONSIBILITIES OF COUNCILLORS AND OFFICERS

4.1 To work in partnership.

4.2 To have respect for each other's roles, workloads and pressures.

4.3 To display respect, dignity, courtesy, integrity, mutual support and appropriate confidentiality.

4.4 To undertake training and development in order to carry out their role effectively.

4.5 To not subject the other to bullying or harassment.

4.6 To have a common purpose; providing the best possible service to the residents and other stakeholders of Guildford Borough

4.7 To have a commitment to collaborative, non-adversarial resolution of disputes.

5. RELATIONS WITH STATUTORY OFFICERS

5.1 In reaching their decisions, councillors must have regard to the advice given by officers and in particular, that offered by the:

- a) Chief Finance Officer, whose duties are prescribed under section 114 of the Local Government Finance Act 1988
- b) The Monitoring Officer's duties are set out under section 5 of the Local Government and Housing Act 1989. The Monitoring Officer should be consulted when there is any doubt as to the Council's power to act; or in determining whether any action proposed lies within the policy framework agreed by the Council; or where the legal consequences of action or failure to act by the Council might have important repercussions.
- c) The statutory officers of the Council are the Head of Paid Service (usually the Managing Director), the Monitoring Officer and the Chief Finance Officer (or Section 151 Officer). All have a duty to advise the council as a corporate body. The ability of these officers to discharge their duties depends not only on effective working relations with their councillor colleagues, but also on the flow of information and access to the debating processes of politicians. As such, it is crucial that you have a good working relationship with your statutory officers that are based on a clear understanding of their roles and responsibilities.

6. EFFECTIVE COLLABORATIVE WORKING IS ESSENTIAL

In establishing an effective working relationship, there should be clarity about the respective roles of councillors and officers. This is often made easier if:

- (a) Both parties discuss and agree the values and behaviours they expect from each other in a relationship of mutual trust.
- (b) Councillors identify their priorities, assisted by officers.
- (c) Officers provide clear advice and offer alternative courses of action where they exist-
- (d) Councillors and officers communicate clearly and openly, avoiding ambiguity and the risk of misunderstanding
- (e) Everyone works in a spirit of partnership, to turn the council's core values and priorities into practical policies for implementation.
- (f) While councillors and officers may have their own specific roles and responsibilities, there are clearly some grey areas in which both groups have a shared responsibility, e.g. agreeing workable policies and monitoring performance. In addition to this, councillors and officers both face the same public service agenda, i.e. delivering quality services to local people in a climate of tough challenges and constraints (budgets and timescales).

7. GENERAL RULES

- 7.1 All dealings between councillors and officers will be courteous and neither party will seek to take unfair advantage of their position.
- 7.2 A councillor will not raise matters relating to the conduct or capability of an officer at any public session of a meeting.
- 7.3 If a councillor has a concern regarding an officer's conduct or behaviour that is not resolved through respectful mutual discussion then they may raise the matter with the officer's service leader or director.
- 7.4 If after receiving a written report from the service leader or director, a councillor remains concerned, the Managing Director will be advised.
- 7.5 Should any further action with regard to an officer's conduct or behaviour be undertaken, it will be in accordance with the appropriate employment rules and procedures.
- 7.6 An officer will not raise matters relating to the conduct or capability of a councillor at any public session of a meeting.
- 7.7 If an officer has a concern regarding a councillor's conduct or behaviour that is not resolved through respectful mutual discussion then they may raise the matter with their service leader, director or the Managing Director.

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- 7.8 The service leader, director or Managing Director will take the appropriate action by approaching the councillor concerned and/or his or her group leader.
- 7.9 Officers should endeavour to provide councillors with sufficient notice of meetings to allow them to prepare and balance their diaries and commitments

8. OFFICER ADVICE TO COUNCILLORS AND GROUPS¹

- 8.1 Officers serve the council as a whole and not any individual political group or any individual councillor.
- 8.2 An officer briefing meeting prior to a committee meeting or such support in whatever form it takes will be available to all councillors and all party groups.
- 8.3 The rules for providing advice to councillors include:
- (a) Officer advice and support must relate only to matters of council business and never include advice on political issues.
 - (b) Officers may refuse to provide advice to a councillor/group until guidance has been sought from their director or the Managing Director if that advice might be considered inappropriate.
 - (c) Decisions made at party group meetings are not decisions of the Council and must not be treated or acted upon as such by either councillors or officers.
 - (d) Officers should not normally attend formal meetings of political groups.
 - (e) If a councillor requests information from an officer, the officer will inform the councillor at the time if that information is to be made available to any other councillors.
 - (f) Councillors should not consider an officer supportive of a policy because they have helped to construct it
 - (g) Councillors should contact report authors for any further information in advance of a committee meeting
- 8.4 Officer correspondence to parish councils and amenity groups will be copied to local ward councillors, unless the correspondence contains confidential information to which the provisions of Data Protection Act 2018 apply.

9. SUPPORT SERVICES TO COUNCILLORS AND PARTY GROUPS

- 9.1 Support services will be provided to assist councillors only in discharging their role as councillors.

¹ What is a Group?

Councillors can form political groups and the largest group or a combination of groups usually form an administration to provide the political leadership for the authority. There is statutory recognition for political groups and it is common practice for such groups to give preliminary consideration to matters of Council business in advance of consideration by the relevant Council body.

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9.2 Councillors will ensure they are up to date with and in compliance with all council policies in respect of IT, information security and data protection.

10. COUNCILLORS' ACCESS TO INFORMATION AND COUNCIL DOCUMENTS

Cooperation between Councillors and Officers is vital to ensure a good service to the public. A free flow of information between Officers and Councillors is an essential part of this cooperation.

- 10.1 All confidential information held by the Council, in whatever form, remains confidential to the council and subject to the requirements of the Data Protection regulations, unless and until such confidentiality is waived by the Monitoring Officer. Any dispute will be determined by the Monitoring Officer
- 10.2 Officers and elected Members are responsible for ensuring that personal information and data is only handled and processed in accordance with the provisions of the Data Protection Act 2018 and to familiarise themselves with their obligations under the 2018 Act accordingly.
- 10.3 Officers and councillors who require advice or assistance in relation to their duties under the Data Protection Act 2018 should take advice from the Monitoring Officer or the Information Rights Officer as appropriate.
- 10.4 Councillors can approach any service leader to ask for information or seek advice. In the event of any difficulty, councillors should approach the relevant director or the Managing Director.
- 10.5 All councillors have a statutory right to inspect any council documents² which contain material relating to any business which is to be transacted at a Council, Executive, committee or sub-committee meeting.
- 10.6 The over-riding principle is that Councillors should be given access to all documents², unless there is a justifiable reason for refusal. This reason must be clearly explained. Councillors wishing to view confidential information will be required to justify the request in specific terms.
- 10.7 Councillor access to council documents² is a common law right in so far as access to the document in question is reasonably necessary to enable the councillor to perform their duties. This is commonly known as “the need to know” principle. Where information is being withheld the service leader will advise the councillor why it is being withheld.
- 10.8 In case of difficulty, the service leader or councillor may seek the advice of the Monitoring Officer.
- 10.9 Members should be kept fully informed and consulted by Officers on all significant matters affecting their Ward or other area of responsibility. If a matter is urgent or

² Council documents in whatever format

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sensitive, Officers must ensure Members are made aware as soon as reasonably possible and before the matter is made public.

- 10.10 All information permitted to a councillor will be provided under the terms of the Councillors' Code of Conduct and must be provided only for the reason requested and will not be shared except under terms set out in the Code.
- 10.11 Any councillor found to be or suspected of being in breach of the requirement to keep the confidentiality of items taken 'in committee' may be the subject of a Code of Conduct complaint.

11. COUNCILLOR/OFFICER RELATIONSHIPS

- 11.1 Working relationships between councillors and officers must always remain and appear professional and impartial.
- 11.2 A director will be responsible for the contents of a report. Councillor queries about report contents will be addressed to the report author. Issues arising between a councillor and a report author will be referred to the appropriate director. If unresolved the matter will pass to the Managing Director for resolution, in consultation with the Council Leader.
- 11.4 Officers work closely with councillors, but they are accountable to their service leader or director and cannot go beyond the bounds of whatever authority they may have been given by their service leader, director or by the Council.
- 11.5 It is appropriate for members of the Overview and Scrutiny Committee to ask officers to explain and justify advice given to councillors, whether on the Executive or otherwise, and to justify decisions officers have taken under delegated powers.
- 11.6 Where requested to provide information to the Overview and Scrutiny Committee, officers will provide that information in as a comprehensive and timely fashion as if the request had come from the Executive.

12. CORRESPONDENCE

- 12.1 Correspondence between a councillor and an officer, will not be copied by the officer to any other councillor, unless the councillor who initiated the correspondence copied it to other councillors in which case the officer shall copy his correspondence to those other councillors.
- 12.2 If it is necessary to copy correspondence to another councillor, this should be made clear to the original councillor through notation on the correspondence.
- 12.3 A system of 'silent copies' (Bcc) should never be employed. Correspondence sent to all councillors or groups of councillors will make the circulation list clear.
- 12.4 Official letters on behalf of the Council will be sent in the name of the appropriate officer rather than in the name of a councillor. Letters which create obligations or give instructions on behalf of the Council will never be sent out in the name of a councillor.

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- 12.5 Councillors and officers will undertake training in the principles of the General Data Protection Regulations and will apply those principles when producing and storing personal information.

13. WARD COUNCILLORS

- 13.1 Whenever a significant meeting is organised by the Council to consider a local issue, all councillors representing the ward or wards affected should, as a matter of course, be invited to attend the meeting. Similarly, whenever the Council undertakes any form of consultative exercise on a local issue, ward councillors will be notified at the outset of the exercise.
- 13.2 Officers will not normally attend meetings arranged by councillors unless this has been discussed and agreed with the appropriate service leader or director in advance in order that proper representation and briefing can be arranged.

14. CEREMONIAL EVENTS

- 14.1 The Mayor, or in his/her absence the Deputy Mayor, will be the appropriate person to lead/ represent the Council at ceremonial events which are of particular significance or are not specifically associated with the office of the Leader, a particular Portfolio/ Committee/Sub-Committee.
- 14.2 Local Councillors should always be informed of, and, where possible, invited to ceremonial events taking place within their own Wards.
- 14.3 Any Councillor taking part in a ceremonial event must not seek disproportionate personal publicity nor use the occasion for party political advantage bearing in mind that the Councillor is representing the Council as a whole.

Further guidance is contained in the Communications Handbook/ Media guidelines

15. ROLES OF COUNCILLORS AND TRAINING REQUIREMENTS

Councillors are asked to commit to the Training and Development opportunities that are afforded to elected Councillors, including a full Induction Programme at the commencement of each term of office. There are also mandatory training requirements for the Regulatory Committees (Planning and Licensing) to which Councillors, appointed to serve on these Committees, are required to commit.

16. INDEPENDENT / LAY PERSONS

This protocol applies equally to all those people who are not elected Councillors of the Council but who are Councillors of, any of the Council's committees or any other bodies. This Protocol applies equally to such non-Council Councillors on Council bodies as it does to Councillors.

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17. ACCESS TO OFFICERS

- 17.1 Officers will always be available to ward councillors to discuss any issues of concern in their ward or area of responsibility.
- 17.2 With the Council-wide use of e-mail, Councillors should seek to avoid, as far as possible, entering an Officer's work area and requiring immediate attention. Where an urgent response is required, the Councillor should seek to telephone the Officer and if required, arrange a convenient meeting.
- 17.3 Ward councillors are encouraged to contact relevant officers in advance of committee meetings to discuss any concerns.

18. UNDUE PRESSURE

To ensure that the business of the Council is carried out effectively, Councillors and Officers should endeavour to create a cordial working relationship with each other.

Councillors should:

- Be aware of how they speak with and relate to officers, avoiding undue pressure;
- Avoid personal attacks on officers, particularly in publications, press statements or meetings attended by the public;
- Avoid words or actions which could undermine respect for officers by the public;
- Never require an officer to carry out work on a matter which is not justified in terms of budgetary controls, council policy or the officer's duties and responsibilities

Officers should:

- Be aware of how they speak with and relate to Councillors;
- Remember at all times that they work in a political environment;
- Any Officer who is personally connected to a Councillor must notify his/her Director. Officers must not use undue influence over a Councillor, nor develop close personal friendships that could compromise or be perceived to compromise the integrity of their actions.

SUMMARY

The working relationship between councillors and officers is integral to the successful operation of an effective local authority. Politicians and managers have vital roles to play in providing a form of joint leadership which is based on shared knowledge, skills and experience. And at the heart of this relationship should be a common vision, shared values and mutual respect

Corporate Governance and Standards Committee Report

Ward(s) affected: n/a

Report of the Director of Resources

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Date: 24 September 2020

Councillor Training and Development Annual Report 2020-21

Executive Summary

As agreed previously by the Corporate Governance and Standards Committee, the cross-party Councillor Development Steering Group will submit an annual report to consider matters relating to the ongoing councillor training and development programme.

This report outlines the work undertaken by the Steering Group to date.

At its meeting on 18 June, this Committee reviewed the task groups reporting to it, including the Councillor Development Steering Group and agreed that the Steering Group should continue with its work. The Committee approved the membership of the Steering Group for 2020-21 as follows:

Councillor Colin Cross (Chairman),
Councillor Richard Billington,
Councillor Angela Gunning,
Councillor Pauline Searle,
Councillor Catherine Young

Since that meeting, the Committee will be aware of the establishment of a new political group on the Council (the Conservative Independent Group). As it is vital that all political groups are represented on the Steering Group, and it was evident that the Conservative group was no longer represented, Councillor Jo Randall was nominated as the Conservative group's representative on the Steering Group. The Committee is asked to confirm this arrangement.

Since the last annual report, the Council was successfully re-accredited with the South East Employers Charter for Elected Member Development on 15 January 2020. The Assessment Team were impressed with the structure in place for member development and support. A number of recommendations were made for continuous improvement which will be referred to in greater detail in this report.

The coronavirus pandemic has changed the way in which the Council is able to offer training and development opportunities for councillors and staff. As with council and committee meetings, the councillor training sessions previously held in the Council

Chamber have necessarily had to change to virtual sessions using online platforms such as Microsoft Teams.

Recommendation to the Committee:

- (1) That the Committee notes the valuable work being undertaken by the Councillor Development Steering Group in developing a clear structured plan for councillor development that responds both to the Council's corporate priorities and councillors' individual training needs.
- (2) That the appointment of Councillor Jo Randall as the Conservative group representative on the Steering Group for 2020-21 be confirmed.

Reasons for Recommendation:

- To recognise the important and ongoing work of the Councillor Development Steering Group.
- To ensure that all political groups on the Council are represented on the Steering Group

Is the report (or part of it) exempt from publication? No

1. Purpose of report

- 1.1 The purpose of this report is to ask the Committee to consider matters relating to the ongoing councillor training and development programme.

2. Strategic Priorities

- 2.1 The training and development of councillors to equip them with the knowledge and skills to enable them effectively to carry out the various roles that they are expected to perform is consistent with the principles of good corporate governance and is referenced in the Annual Governance Statement as part of the arrangements the Council has for delivering good governance. The processes and procedures put in place for councillors' training and development provide a robust framework for responding to future challenges and legislative changes, which, in turn, help the Council to deliver on all of its strategic priorities.

3. Background

- 3.1 Any council that is serious about meeting the needs of its community through its corporate plan priorities must be committed to the ongoing training and development of its councillors. Most councils have some form of support programme in place. However, the approach and levels of commitment and effectiveness vary.

Councillors' Development Steering Group

- 3.2 It is essential that member development is member-led and, to that end, a small cross party steering group, currently comprising six councillors, supported by Committee Services officers, is responsible for overall co-ordination of member development at Guildford.
- 3.3 The Steering Group's current terms of reference are:

“To continue to support councillors in their ongoing development and training needs through a clear, structured Action Plan for councillor development that responds to the fundamental themes that support the vision of the Corporate Plan: Place-making, Community and Innovation.”

3.4 The Steering Group normally meets every three months and the standing items on each agenda include:

- Feedback from Councillor Training Events from the previous quarter
- The ongoing Councillors’ Training and Development Programme
- Monitoring of expenditure against the Councillors’ Training and Development Budget

Ongoing training and development programme

3.5 As stated in paragraph 3.4 above, the Steering Group considers the ongoing training and development programme for councillors at each of its meetings. The following training and development events for councillors have been held:

DATE	TITLE OF TRAINING
16 Sept 2019	Treasury Management Training by David Green of Arling Close Ltd
25 Nov 2019	Equality and Diversity Training by Munira Thobani LGiU
9 Dec 2019 (AM)	Broadcasting and Presenting Skills by Richard Uridge of ACM Training
9 Dec 2019 (PM)	Media Skills Training by Richard Uridge of ACM Training
16 Dec 2019	Mod.Gov App Training by Martha Clampitt of Civica Ltd
4 Jun 2020	In-Housing Chairing Virtual Team Meetings by Democratic Services Team
15 July 2020	Generic Overview of Chairing Virtual Meetings by Michelle Biggs of South East Employers (SEE).
6 Aug 2020	Planning and Probity by Conor Fegan and Craig Howell-Williams QC, Francis Taylor Building
10 Aug 2020	Planning Decisions and Appeals by Conor Fegan and Craig Howell-Williams QC, Francis Taylor Building
Sept 2020 (date TBC)	Philip Kolvin QC, New Statutory Standards for Licensing

3.6 Due to ongoing coronavirus pandemic, with both councillors and officers working remotely, it has not been possible to deliver training to councillors in person. A number of Council and committee meetings were cancelled during the first few weeks of the period of lockdown, largely during late March and early April.

3.7 Following the introduction of legislation permitting councils to hold formal meetings remotely, the Committee Services team used this time to deliver training to councillors – either in small groups or on a 1:1 basis – on how to use MS Teams for virtual meetings. Councillors and officers adapted quickly and effectively to this new way of working. In-house training was provided to the newly elected Chairmen and Vice-Chairmen, following the Selection Council meeting on 19 May 2020, on how to chair virtual meetings on MS

Teams. In addition, training was provided by South East Employers (SEE) on the more generic skill set required to chair meetings virtually.

- 3.8 Councillors and officers have found that virtual meetings are more tiring having to manage the meeting in an online forum. Holding “bite-sized” training prior to meetings such as Planning Committee has therefore not been pursued owing to the additional online time this would demand of councillors and officers. We have therefore sought to arrange training separately into smaller more manageable sessions of one hour.
- 3.9 The Steering Group is still keen to ing sharing training opportunities where possible with neighbouring authorities such as Waverley in relation to licensing but would be undertaken in an online format.
- 3.10 The 2020-21 Councillor Training Programme is attached at **Appendix 1**.

Dedicated Learning and Development section of Guildford Borough Council website

- 3.11 We have created a dedicated learning and development space on the Council’s website that is password protected for councillors. The site is live on the Council’s website and can be viewed here: <https://www.guildford.gov.uk/councillorspages>. Links to webcasts of training are listed here along with any learning materials such as powerpoint presentations. In addition, councillors can download copies of claim forms, find dates of forthcoming training, organisation charts as well as a list of key officer contact telephone numbers and other useful information.

The Charter for Elected Member Development

- 3.12 The Charter provides a robust, structured framework designed to help councils enhance and hone member development. The Charter is available for councils, police and fire authorities across the south-east region. To date, 18 councils in the South East (outside London) have achieved accreditation.
- 3.13 Guildford achieved full accreditation under the Charter initially in 2013 and 2016, and successfully completed the 18 month interim assessment on 11 June 2018. The Council was also successfully reaccredited with the Charter on 15 January 2020 and therefore demonstrated that we continue to meet the standards required.
- 3.14 The Assessment Team identified the following strengths of the Council’s approach to Member Development:
- There was clear evidence of political and managerial commitment to Member Development in the Council. It was evident to the Assessment Team that the new Leader of the Council’s style was one of collaboration and this was considered by the Assessment Team to be useful in progressing Member Development across the Council.
 - There was clear evidence to the Assessment Team of a culture of support for Councillor development.

- The Council had a sustainable budget for member development which had increased from £12,000 to £14,000 for year one following the election.
- The 'Be A Councillor' events organised by the Council had been highly valued and many of the newly elected Councillors had participated in one of these events.
- With 56% of the Councillors having participated in a Personal Development Planning programme this met the Charter Plus standard.
- It was evident that the Member Development Plan for Councillors was clearly linked to the corporate priorities for the Council.
- The Council had revised and updated the role profiles for Councillors.
- The Assessment Team saw evidence of a commitment to Leadership development and this should be further supported as a priority of the Councillor Development Steering Group.
- The Council had delivered a high-profile induction programme following the May 2019 election which had been evaluated
- The Council have an effective reporting structure for member development with the Councillor Development Steering Group reporting to the Corporate Governance and Standards Committee

3.15 The identified future priorities for the Councillor Development Steering Group to work towards are detailed in **Appendix 2**.

4. Financial Implications

4.1 The Councillors' Training and Development budget is £12,000 per annum. The Steering Group oversees and monitors how this is spent throughout the year. We are currently within budget but may overspend slightly when incorporating all training to be scheduled for the rest of the financial year.

4.2 The cost to the Council for assessment under the Charter for Elected Member Development is £2,500, which covers a three-year period and the next payment is due in January 2021, for which separate budgetary provision has been made.

5. Legal Implications

5.1 There are no legal implications arising from this report.

6. Human Resource Implications

6.1 There are no HR implications arising from this report. All officer support for councillors' development is met through existing staffing resources.

7. Climate Change/Sustainability Implications

7.1 There are no climate change implications arising from this report, although holding councillor training sessions remotely avoids the need for councillors to travel to Millmead House, thus making a marginal but positive impact on our carbon emissions.

8. Background papers

None

9. Appendices

Appendix 1: Current councillors' training and development programme

Appendix 2: Future priorities for the Councillor Development Steering Group.

Please ensure the following service areas have signed off your report. Please complete this box and do not delete.

Service	Sign off date
<i>Finance / S.151 Officer</i>	
<i>Legal / Governance</i>	
<i>HR</i>	
<i>Equalities</i>	
<i>Lead Councillor</i>	
<i>CMT</i>	<i>25.08.2020</i>
<i>Committee Services</i>	

The Council's Strategic Framework is set out below. Within the draft programme the link between this framework and each of the planned training events is identified in the column with the appropriate reference.

*Reference	Strategic Framework
V1.	Vision – for the borough For Guildford to be a town and rural borough that is the most desirable place to live, work and visit in South East England. A centre for education, healthcare, innovative cutting-edge businesses, high quality retail and wellbeing. A county town set in a vibrant rural environment, which balances the needs of urban and rural communities alike. Known for our outstanding urban planning and design, and with infrastructure that will properly cope with our needs.
<u>Three fundamental themes and nine strategic priorities that support our vision:</u>	
VI1.	Place-making – delivering the Guildford Borough Local Plan and providing the range of housing that people need, particularly affordable homes. Making travel in Guildford and across the borough easier Regenerating and improving Guildford town centre and other urban areas
VI2.	Community – supporting older, more vulnerable and less advantaged people in our community Protecting our environment Enhancing sporting, cultural, community, and recreational facilities
VI3.	Innovation – Encouraging sustainable and proportionate economic growth to help provide the prosperity and employment that people need Creating smart places infrastructure across Guildford Using innovation, technology and new ways of working to improve value for money and efficiency in Council services.
<u>Values for our residents</u>	
VA1.	We will strive to be the best Council.
VA2.	We will deliver quality and value for money services.
VA3.	We will help the vulnerable members of our community.
VA4.	We will be open and accountable.
VA5.	We will deliver improvements and enable change across the borough.
Mission – for the Council	
M1	A forward looking, efficiently run Council, working in partnership with others and providing first class services that give the community value for money, now and in the future.

Priority Scale:
High Priority 1-3
Low Priority 4-6

This plan should

- address development priorities
- set out how, when, where and who is responsible
- take account of access to development opportunities

External | Internal

	Training	Method	Approx Duration	Who	Priority	Potential Date	Lead Officer	Vision/ Mission/ Core Value or Strategic Priority*	Cost
Page 147	Scrutiny & Challenge								
	Overview and Scrutiny Process	<p>A number of training sessions have been held to date with John Cade (Institute of Local Government Studies at the University of Birmingham) in relation to the Overview and Scrutiny process following the implementation of the new governance structure in January 2016.</p> <p>The Centre for Public Scrutiny (CfPS) is on the councillors' section of the Website to signpost councillors to courses which might be of interest to them: http://www.cfps.org.uk/events/</p>							
Political Understanding									
2.	Local Government Information Unit	The LGiU run an extensive and popular programme of events, training and seminars. A link is provided on the councillors' section of the Website to signpost councillors to courses which might be of interest to them: http://www.lgiu.org.uk/events/	As defined by Councillors own time commitments	All Councillors	3	N/A	Committee Services	M1 VA1 VA4	Costs: TBC

	Training	Method	Approx Duration	Who	Priority	Potential Date	Lead Officer	Vision/ Mission/ Core Value or Strategic Priority*	Cost
3.	E-Learning Distance Resources	The LGA has produced a series of distance learning materials, covering a number of topics, in the form of workbooks and e-learning modules. Both resources are aimed at all councillors and will be particularly useful to new councillors: https://www.local.gov.uk/our-support/highlighting-political-leadership/community-leadership/councillor-workbooks	As defined by Councillors	All Councillors	3	N/A	Committee Services	M1 VA1 VA4	No costs
Regulating and Monitoring									
4.	Planning	Bite-sized planning training session is organised and facilitated by planning officers or external providers.	1 hour	Planning Committee members	1	QCs from Francis Taylor Building 6 Aug 2020 – Probity in Planning 24 Aug 2020 – Decision Making and Planning Appeals Neighbourhood Plans Training	Committee Services	M1 VA5 V13	No costs

	Training	Method	Approx Duration	Who	Priority	Potential Date	Lead Officer	Vision/ Mission/ Core Value or Strategic Priority*	Cost
						(Date TBC)			
5.	New Regulatory Licensing Standards	Philip Kolvin QC Cornerstone Barristers	2 hours	All Councillors	1	8 Sept 2020	Committee Services	M1 VA5 V13	£500 + VAA for a 2 hour session
Communication									
6.									
Local Leadership									
7.	Understanding the demands of the role of councillor	Within Political Group Mentoring within Political Groups	As necessary	All Councillors	1	As and when required by Councillors	Councillors on the Councillors Development Steering Group	VA1 M1	Internal Resource No financial cost
8.	Dealing with ward issues	Within Political Group Mentoring within Political Groups	As necessary	All Councillors	2	As and when required by Councillors	Councillors on the Councillors Development Steering Group	VA1 M1	Internal Resource No financial cost
Knowledge of the Council									
9	Bite-sized Treasury Management Training	Claire Morris Director of Finance	1 hour	All Councillors	2	Prior to Corporate Governance and Standards Committee meetings (TBC)	Committee Services	VI2 M1 VA2	Internal Resource No financial cost

ACTION PLAN

The following actions are derived from South East Employers suggested improvement areas following the Council's assessment in January 2020 and sets out the ongoing work to maintain the high level of Councillor Development opportunities available to all councillors.

	Action	Timescale	Source/Reason	Responsibility	Action Taken/To Be Taken
1.	The Elected Member Development Group (EMDG) to develop its role so it is strategically focussed to deliver support and development to Councillors E.G. The EMDG has a key role in identifying the member development priorities arising from the Council's new Corporate Plan and its transformation programme 'Future Guildford'.	December 2020	To ensure that the new corporate priorities are reflected in the member development priorities arising from the Council's new Corporate Plan.	Councillor Development Steering Group	Awaiting confirmation as to when the new Corporate Priorities and Corporate Plan will be published.
2.	Consider how the 'Be A Councillor' events can be strategically aligned to the political group selection processes.	May 2023	To ensure that the 'Be a Councillor' events are scheduled after the political parties have agreed on their nominated candidates.	Councillor Development Steering Group and Committee Services	Contact with local parties nearer the time
3.	The Elected Member Development Group to lead on the refresh of the Councillor Development Policy that should be linked to the Corporate Plan and Priorities of the Council.	December 2020	To ensure that the Councillor Development Policy reflects the new Corporate Plan and Priorities of the Council.	Councillor Development Steering Group and Committee Services	The new Corporate Plan is unlikely to be finalised until 2021. The Councillor Development Policy will be refreshed at this time.
4.	The Elected Member Development Group should	Ongoing	To ensure that collaborative learning opportunities are	Councillor Development	The Steering Group are currently reviewing how we

	Action	Timescale	Source/Reason	Responsibility	Action Taken/To Be Taken
	identify opportunities for collaborative development with other Local Authorities across Surrey e.g. in respect of climate change/strategy.		made available to councillors.	Steering Group and Committee Services	can better engage collaboratively on member training opportunities with other Surrey councils.
5.	Consideration should be given to the development of e learning resources and a new e learning provider.	Ongoing	To ensure that learning opportunities are made available to councillors.	Councillor Development Steering Group and Committee Services	Since Covid-19, virtual online training is now being provided by a host of training providers and has become the 'new normal'. The LGA also provide online training links which is currently listed on the Councillors' section of the website.
6.	Continue to take proactive steps to take forward a 'paperless Council' and ensure appropriate IT support for Councillors.	Ongoing	To promote a more ecologically minded Council and equip Councillors with the IT skills and support required to participate in virtual meetings.	Councillor Development Steering Group and Committee Services	All Councillors have the Mod.Gov App downloaded onto their laptops which gives them online access to all agendas and relevant committee papers. Councillors have also received training on how to participate in virtual meetings via MS Teams and how to toggle between their online papers and the meeting itself.

	Action	Timescale	Source/Reason	Responsibility	Action Taken/To Be Taken
7.	Further develop the support and development of all Councillors so that they further develop an understanding of the Planning process	Ongoing	To ensure that councillors are fully up to speed with the legislation and policies relevant to their role on the Planning Committee.	Councillor Development Steering Group and Committee Services	Online training has been arranged in August on Probity in Planning and Decision Making and Appeals. Further training will be provided as necessary.
8	Consider an application for the Charter Plus Standard as the Council has already met most of the elements of the standard.	May 2023	To demonstrate and build upon the commitment the Council has for the future development of its councillors via the standards set by the Charter Plus.	Councillor Development Steering Group and Committee Services	The Steering Group will consider the benefits of applying for the Charter Plus assessment in due course.

Assessors comments:

- The Assessment Team were highly impressed with the evidence the Council had presented in advance of the assessment and this was verified by the Assessment Team during the interviews conducted on the Assessment Day.
- There was clear evidence of adaptability, progress and innovation since the Assessment Team last recommended the award of the Member Development Charter to Guildford in November 2016.

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Corporate Governance and Standards Committee Report

Ward(s) affected: n/a

Report of Director of Resources

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Email: john.armstrong@guildford.gov.uk

Date: 30 July 2020

Corporate Governance and Standards Committee – 12 month rolling Work Programme

Recommendation

That the Committee considers and approves its updated 12 month rolling work programme, as detailed in Appendix 1 to this report.

Reason for recommendation:

To allow the Committee to maintain and update its work programme.

Is the report (or part of it) exempt from publication? No

1. Purpose of report

1.1 The draft work programme attached as Appendix 1 sets out the items scheduled to be considered by this Committee at its meetings over the next 12 months.

2. Draft work programme

2.1 The draft work programme for the Corporate Governance and Standards Committee is set out in Appendix 1 to this report. The timing of the reports contained in the work programme is subject to change, in consultation with the chairman. The items to be considered include decisions to be made by the Executive and/or full Council, with consideration of any comments or recommendations made by this Committee.

3. Financial Implications

3.1 There are no financial implications arising directly from this report.

4. Legal Implications

4.1 There are no legal implications arising directly from this report.

5. Human Resource Implications

5.1 There are no human resources implications arising directly from this report.

6. Background Papers

- Guildford Borough Council Forward Plan
- Corporate Management Team Forward Plan

7. Appendices

Appendix 1: Corporate Governance and Standards Committee 12 month rolling work programme

CORPORATE GOVERNANCE AND STANDARDS COMMITTEE: 12 MONTH ROLLING WORK PROGRAMME

19 November 2020

Subject	Details of decision to be taken	Decision to be taken by	Contact Officer
Financial Monitoring 2019-20: Period 6 (April to October 2020)	To note the results of the Council's financial monitoring for the period April to October 2020	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
Summary of internal audit reports (April to September 2020)	To consider the summary of internal audit reports and progress on the internal audit plan for April to September 2020, including update on complaints to the Local Government Ombudsman for that period.	Corporate Governance and Standards Committee	Joan Poole 01483 444854
The Council's Constitution:	To review and update Procurement Procedure Rules	Corporate Governance and Standards Committee Council: 8 December 2020	Faye Gould 01483 444120
2019-20 Audit Findings Report: Year ended 31 March 2020	To note the external auditor's findings and management's response in the Action Plan	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
2019-20 Audited Statement of Accounts	To approve the 2019-20 Statement of Accounts	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
Reviews of various corporate governance related matters.	To consider proposals from the task group in respect of reviews of various corporate governance related matters including: <ul style="list-style-type: none"> • the effectiveness of internal communications, between officers and councillors; • proposals to promote transparency, and effective communications and reporting, including the Council's Communications Protocol 	Corporate Governance and Standards Committee Executive (24 November 2020) Council (8 December 2020)	John Armstrong 01483 444102 Diane Owens 01483 444027
Planning Appeals	To monitor the Council's performance at appeals against refusal of planning permission by the Planning Committee (both in respect of officer recommendations for refusal and Committee overturns) including, where appeals are upheld, details of costs awarded against the Council and other associated legal/external adviser costs.	Corporate Governance and Standards Committee	Tim Dawes 01483 444650
Corporate Performance Monitoring	To receive a quarterly setting out the Council's performance against its Key Performance Indicators	Corporate Governance and Standards Committee	Steve Benbough 01483 444052

CORPORATE GOVERNANCE AND STANDARDS COMMITTEE: 12 MONTH ROLLING WORK PROGRAMME

14 January 2021

Agenda item number: 9
Appendix 1

Subject	Details of decision to be taken	Decision to be taken by	Contact Officer
Annual Audit Letter 2019-20	To review the letter and make any comments to the Executive as appropriate.	Corporate Governance and Standards Committee Executive: 26 January 2021	Claire Morris 01483 444827
Capital and investment strategy (2021-22 to 2024-25)	To comment on various recommendations to the Executive and Council	Corporate Governance and Standards Committee Executive: 26 January 2021 Council: 10 February 2021	Victoria Worsfold 01483 444834
Financial Monitoring 2020-21 Period 8 (April to November 2020)	To note the results of the Council's financial monitoring for the period April to November 2020	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
Annual report of the Monitoring Officer regarding misconduct allegations	(1) To note the cases dealt with; and (2) To advise the Monitoring Officer of any areas of concern upon which they would like further information and/or further work carried out.	Corporate Governance and Standards Committee	Sarah White 01483 444069
Equalities Scheme Action Plan	Annual monitoring report on the implementation of the actions in the Equalities Scheme action plan approved in January 2018	Corporate Governance and Standards Committee	Francesca Smith 01483 444014
Gender Pay Gap Report 2021-22	To note the Council's gender pay gap report	Corporate Governance and Standards Committee	Francesca Smith 01483 444014
Freedom of Information Compliance - Annual Report 2020	To consider the annual report for 2020 on the Council's performance in dealing with Freedom of Information requests.	Corporate Governance and Standards Committee	Ciaran Ward 01483 444072

CORPORATE GOVERNANCE AND STANDARDS COMMITTEE: 12 MONTH ROLLING WORK PROGRAMME

25 March 2021

Subject	Details of decision to be taken	Decision to be taken by	Contact Officer
Discussions with those charged with governance	To agree the Committee's response to the external auditor's audit plan	Corporate Governance and Standards Committee	Claire Morris 01483 444827
Annual Governance Statement 2020-21	To adopt the Council's Annual Governance Statement 2020-21	Executive: 20 April 2021	John Armstrong 01483 444102
The Council's Constitution	To review and update Financial Procedure Rules	Corporate Governance and Standards Committee Council: 13 April 2021	Victoria Worsfold 01483 444834
Planning Appeals	To monitor the Council's performance at appeals against refusal of planning permission by the Planning Committee (both in respect of officer recommendations for refusal and Committee overturns) including, where appeals are upheld, details of costs awarded against the Council and other associated legal/external adviser costs.	Corporate Governance and Standards Committee	Tim Dawes 01483 444650
Audit Report on the Certification of Financial Claims and Returns 2019-20: Housing Benefit Subsidy and Pooling Housing Capital Receipts	To note the position regarding the certification of financial claims and returns for 2019-20	Corporate Governance and Standards Committee	Belinda Hayden 01483 444867
External Audit Plan and Audit Update 2020-21	To approve the external audit plan for 2020-21, and to note the content of the External Auditor's update report and make any appropriate comments.	Corporate Governance and Standards Committee	Claire Morris 01483 444827
Data Protection and Information Security Update Report	To consider a six-monthly update on compliance with statutory requirements	Corporate Governance and Standards Committee	Ciaran Ward 01483 444072
Financial Monitoring 2020-21 Period 10 (April 2020 to January 2021)	To note the results of the Council's financial monitoring for the period April 2020 to January 2021	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834

CORPORATE GOVERNANCE AND STANDARDS COMMITTEE: 12 MONTH ROLLING WORK PROGRAMME

June 2021

Subject	Details of decision to be taken	Decision to be taken by	Contact Officer
Capital and Investment outturn report 2020-21	To submit any comments to the Executive when it considers this matter in June 2021.	Executive: June 2021 Council: July 2021	Victoria Worsfold 01483 444834
Revenue Outturn Report 2020-21	To note the Draft Statement of Accounts 2019-20, and to make any comments to officers in advance of the audit.	Executive: June 2021	Victoria Worsfold 01483 444834
Housing Revenue Account Final Accounts 2020-21	To submit any comments to the Executive when it considers this matter in June 2021.	Executive: June 2021	Victoria Worsfold 01483 444834
External Audit 2021-22 Fee Letter	To consider the planned audit fee	Corporate Governance and Standards Committee	Claire Morris 01483 444827
Internal Audit Plan 2021-22	To consider the internal audit plan for 2021-22	Corporate Governance and Standards Committee	Joan Poole 01483 444854
Review of Task Groups reporting to the Committee	To review the work carried out by the task groups over the past 12 months and work to be carried put in the next 12 months and appoint councillors to the groups	Corporate Governance and Standards Committee	John Armstrong 01483 444102

CORPORATE GOVERNANCE AND STANDARDS COMMITTEE: 12 MONTH ROLLING WORK PROGRAMME

July 2021

Subject	Details of decision to be taken	Decision to be taken by	Contact Officer
2020-21 Audit Findings Report: Year ended 31 March 2021	To note the external auditor's findings and management's response in the Action Plan	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
2020-21 Audited Statement of Accounts	To approve the 2020-21 Statement of Accounts	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
Financial Monitoring 2021-22 Period 2 (April/May 2021)	To note the results of the Council's financial monitoring for the period April/May 2021	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
Summary of Internal Audit Reports October 2020 – March 2021	To consider the summary of internal audit reports for the period October 2020 to March 2021, including an update on complaints to the Local Government Ombudsman for that period	Corporate Governance and Standards Committee	Joan Poole 01483 444854
Freedom of Information Compliance update	To consider the update report on the Council's performance in dealing with Freedom of Information requests (January to June 2021)	Corporate Governance and Standards Committee	Ciaran Ward 01483 444072

CORPORATE GOVERNANCE AND STANDARDS COMMITTEE: 12 MONTH ROLLING WORK PROGRAMME

September 2021

Subject	Details of decision to be taken	Decision to be taken by	Contact Officer
Financial Monitoring 2021-22 Period 4 (April to July 2021)	To note the results of the Council's financial monitoring for the period April to July 2021	Corporate Governance and Standards Committee	Victoria Worsfold 01483 444834
Councillor Training and Development Update	To consider a report from the Councillors' Development Steering Group relating to councillor training and development	Corporate Governance and Standards Committee	Sophie Butcher 01483 444056
Data Protection and Information Security Update Report	To consider a six monthly update on compliance with statutory requirements	Corporate Governance and Standards Committee	Ciaran Ward 01483 444072