



**MINUTES of
FINANCE AND CORPORATE SERVICES COMMITTEE
30 JANUARY 2018**

PRESENT

Vice-Chairman (in the chair)	Councillor I E Dobson
Councillors	Mrs B F Acevedo, J P F Archer, A S Fluker, Miss M R Lewis and Rev. A E J Shrimpton
Substitute Members	Councillors B S Beale MBE and M F L Durham, CC
In attendance	Councillor R G Boyce MBE

769. CHAIRMAN'S NOTICES

The Chairman drew attention to the list of notices published on the back of the agenda.

770. APOLOGIES FOR ABSENCE AND SUBSTITUTION NOTICE

Apologies for absence were received from Councillors M S Heard and D M Sismey. In accordance with notice duly given Councillor M F L Durham was attending as a substitute for Councillor Sismey and Councillor B S Beale as a substitute for Councillor Heard.

771. MINUTES OF THE LAST MEETING

RESOLVED that the Minutes of the meeting of the Committee held on 28 November 2017 be approved and confirmed.

772. DISCLOSURE OF INTEREST

Councillor M F L Durham declared a non-pecuniary interest as a Member of Essex County Council should there be any business on this agenda pertaining to that organisation.

773. PUBLIC PARTICIPATION

No requests had been received.

774. CHAIRMAN'S GOOD NEWS ANNOUNCEMENTS

There was none.

775. CORPORATE HEALTH AND SAFETY

The Committee received the report of the Director of Resources on corporate health and safety activity for Quarter Three (1 October to 31 December 2017). A summary by Directorate and a description of the reported accidents and near misses were set out in the report and Appendix 1 provided progress with the Health and Safety Action Plan for 2017 / 18.

A fire safety audit had been undertaken by an external consultant and as a result an action plan had been drawn up. Members were informed that all actions would be implemented by 31 March 2018.

In response to a question regarding near misses, the Director of Resources advised that any such incidents were recorded in the accident book and reported to Directors and Members.

The Director of Resources reported on the need to ensure the Council Chamber was compliant with the Disability Discrimination Act. Some debate ensued in relation to this.

RESOLVED that the accident and incident statistics for quarter three and progress with the Health and Safety Action Plan for 2017 / 18 be noted.

776. HUMAN RESOURCES STATISTICS - QUARTER THREE 2017 / 18

The Committee received the report of the Director of Resources presenting human resource statistics for the period 1 October to 31 December 2017 (Quarter Three (Q3)).

Statistics and updates relating to the following areas were detailed in the report:

- Labour Turnover;
- Recruitment, including both Internal and External vacancies;
- Staff sickness levels;
- Workforce statistics – attached as Appendix 1 to the report.

Members noted that the overall sickness figures for Q3 had increased significantly from Quarter Two and the report provided further details regarding this.

The Director of Resources highlighted how statistics showed that in comparison to previous years viruses seemed to be longer lasting and reported on the work being undertaken by the Corporate Leadership Team to identify alternative interventions. It was noted that the Overview and Scrutiny Committee would also be reviewing the sickness policy to identify if there were improvements to be made.

It was noted that paragraph 5.10 of the report should refer to reduction of ‘sickness’ levels and not as detailed.

Councillor A S Fluker proposed that the Council consider implementing future interventions, such as reducing sick pay, in order to reduce sickness levels. This proposal was duly seconded and duly agreed.

RESOLVED

- (i) that the contents of the report be noted;
- (ii) that the Council consider implementing future interventions, such as reducing sick pay, in order to reduce sickness levels.

777. DOCUMENT RETENTION POLICY

The Committee considered the report of the Director of Resources, presenting a draft Document Retention Policy (attached at Appendix 1 to the report) for Members’ consideration and recommendation to the Council.

It was noted that the Document Retention Policy would provide a framework to govern the management of a decision on whether a particular document (or set of documents) should either be retained and if so for what period, or disposed of, and if so by when.

It was noted that the document control sheet to the Policy contained a spelling mistake in the summary of the purpose and the Director of Resources advised that this would be corrected.

It was noted that a briefing on the new General Data Protection Regulations would be arranged for all Members.

The Chairman reported that if Members’ were mindful to agree the Policy this would be a recommendation to the Council.

RECOMMENDED that the Document Retention Policy, attached at **APPENDIX 1** to these Minutes, be agreed.

778. ANNUAL REPORT ON THE WHISTLEBLOWING POLICY

The Committee considered the report of the Director of Resources providing a review of the Whistleblowing Policy and Procedure and seeking Members’ approval and adoption of the revised version (attached at Appendix 1 to the report).

It was noted that a review of the Policy and Procedure had been undertaken to ensure that the Council’s Policy remained robust and current and as a result a much simplified and user-friendly version had been produced. Members were informed that there had been a change in emphasis away from reporting through line managers in the first instance, with the Legal and Democratic Services Manager being the point of reference for the most part.

RECOMMENDED that the updated Whistleblowing Policy and Procedure, attached as **APPENDIX 2** to these Minutes, be approved and adopted.

779. 2017 / 18 TO 2020 / 21 CAPITAL PROGRAMME

The Committee considered the report of the Director of Resources presenting year to date spend information on the 2017 / 18 Capital Programme (Appendix A to the report) and the proposed Capital Programme for 2018 / 19.

It was noted that four projects from 2017 / 18 were being carried forward into 2018 / 19 and the remainder of the 2017 / 18 Capital Programme was envisaged to be completed by 31 March 2018.

The project bids for 2018 / 19 were set out in Appendix B to the report and Members' attention was drawn to the three categories by which the bids had been categorised. It was noted that the 2018 / 19 Capital Programme included a number of projects from 2017 / 18 and Disabled Facilities Grant related expenditure. The proposed indicative 2018 / 19 to 2021 / 22 Capital Programme was set out in Appendix C.

It was noted that recommendation (ii) should refer to 2021 / 22 and not as detailed.

The Director of Customers and Community provided the Committee with an update on the Capital Project – Commemoration of the Fallen from the Maldon District. This update included a revised sketch of the proposed scheme. Members were advised that alternative funding streams had been looked into but there was no certainty at this time if they would come to fruition. A debate ensued regarding this project and in response to questions the Director of Customers and Community provided Members with further information. Some concerns were raised regarding the revised scheme and in response to a suggestion to include a shelter in the scheme Members were informed that this could be investigated.

Following further debate Councillor Miss M R Lewis proposed that the allocated capital for this project be reduced to £25,000 with match funding.

Councillor A S Fluker commented that the Community Services Committee were responsible for the design of the project. He then proposed that the Capital Project – Commemoration of the Fallen from the Maldon District be removed from the budget, referred back to the Community Services Committee and that Officers be requested to go out to the commercial sector.

Councillor B S Beale declared a non-pecuniary interest in this item of business as his father had been killed in the war. He commented on Members' discussion regarding the funding for this project and highlighted the importance of what the memorial would be commemorating.

Councillor Miss Lewis withdrew her earlier proposition and seconded that of Councillor Fluker.

The Chairman then put the proposal in the name of Councillor Fluker to the vote and upon a vote being taken this was agreed. Councillor Beale requested that his vote against this proposal be recorded.

In response to a question regarding the CCTV updated, the Director of Customers and Community advised that this was a phased programme of works to upgrade CCTV a result of which could lead to further cost savings.

RESOLVED

- (i) That the contents of the Quarter Three 2017 / 18 Capital outturn table be noted;

RECOMMENDED

- (ii) That the Capital Project – Commemoration of the Fallen from the Maldon District be removed from the Capital Programme and referred back to the Community Services Committee;
- (iii) That the Capital Programme for 2018 / 19 to 2021 / 22, as amended above, attached at **APPENDICES 3 and 4** to these Minutes, be approved.

780. DISCRETIONARY FEES AND CHARGES

The Committee considered the report of the Director of Resources, seeking Members' consideration of the proposed Fees and Charges for 2018 / 19 (set out in Appendix 1 to the report).

It was noted that the proposed fees and charges for 2018 / 19 had been based on the policy decisions recently updated and agreed by this Committee at its last meeting. The report detailed the budgets for income generated from fees and charges and highlighted three main changes.

In response to a question regarding the figures relating to river wharfage, the Finance Manager advised that these reflected income received by the Council.

Councillor A S Fluker declared in the interest of openness and transparency that he was a Maldon Harbour Improvement Commissioner.

The Director of Customers and Community advised Members that the Overview and Scrutiny Committee were due to review moorings and wharfage at its March meeting. Some Members commented on the current fees and the need to align these as either monthly or annual charges and at this point comparison to other marine organisation charges was made. It was suggested that such matters be brought before the Overview and Scrutiny Committee when they carry out their review.

The Director of Resources confirmed that, providing statutory notice periods were complied with, a provisional change could be made to the fees and charges until a review of certain charges had taken place.

It was agreed that the fees and charges be recommended for approval subject to a review of them all being taken and reported back to a future meeting of this Committee.

RECOMMENDED that the detailed Fees and charges for 2018 / 19 as set out in **APPENDIX 5** to these Minutes, be agreed subject to a review by the Finance and Corporate Services Committee.

781. REVISED 2017 / 18 ESTIMATES, ORIGINAL 2018 / 19 BUDGET ESTIMATES AND COUNCIL TAX 2018 / 19

The Committee considered the report of the Director of Resources presenting the revised 2017 / 18 and original 2018 / 19 and future years General Fund Revenue Budget estimate and the Capital Programme for consideration and recommendation to the Council. The report also detailed the provisional Local Government Finance Settlement announced by the Government in December 2017. Members' consideration was also sought on the proposed council tax increase for 2018 / 19 and the policy for the use of Reserves.

The report and associated appendices to the report outlined the following:

- the latest information on the provisional Local Government finance settlement 2018 / 19;
- revised General Fund revenue budget estimates 2017 / 18;
- General Fund revenue budget estimates 2018 / 19;
- budget growth, savings and income generation in 2018 / 19;
- Essex Region business rates pool to which no changes to the Pool membership had been notified;
- an update on interest on investments;
- the Council Tax requirement for 2018 / 19;
- General Fund balance and revenue reserves;
- risks to the Council's financial position;
- the tax-base position;
- the Collection Fund surpluses / deficit position;
- an update on the Medium Term Financial Strategy (MTFS) to reflect the latest revenue budget position and indicated levels of Council Tax.

Revenue Growth Bids

The Director of Customers and Community drew Members' attention to Appendix 4 of the report, in particular the business food and music event and the work done by Officers in relation to this. Members' were advised that the budget requested should be revised to £8,000.

In response to a question, the Director of Resources advised that as computers were replaced within the authority they would be installed with Windows 10 and therefore this would be a gradual update across the Council.

Provisional Settlements

In respect of the pay award for 2018 / 19, the Director of Resources advised that the employer group had put forward 2% which had not been accepted by the Trade Unions. It was noted that the Council had a local agreement which mirrored the National Joint Council pay award.

Councillor J P F Archer left the meeting at this point.

Budget Estimates

When presenting the budget estimates the Director of Resources advised that the New Homes Bonus was not now seen as a sustainable stream of funding and therefore being gradually removed from the core budget.

There was some discussion regarding staff sickness and the costs relating to this.

Precept Setting

The Director of Resources presented the report and Members were advised that the figures could still change as the final settlement (from the Government) had not yet been received.

Councillor M F L Durham proposed that option 1, a 2.99% increase in Council Tax be agreed. This proposal was duly seconded.

The Director of Resources referred to her report as Section 151 Officer, in accordance with Section 15 of the 2003 Local Government Act, on the robustness of the budget and adequacy of reserves attached at Appendix 7 to the report.

The Chairman then put recommendations (i) (a) & (b)a and (ii) (c) to the Committee which upon a vote being taken were agreed.

The Chairman put the proposition in the name of Councillor Fluker for a Council Tax increase of 2.99%. Prior to a vote and in accordance with Procedure Rule No. 13 (3) Councillor M F L Durham requested a recorded vote. This was duly seconded.

For the recommendation (2.99% Council Tax increase):

Councillors Mrs B F Acevedo, B S Beale, M F L Durham, A S Fluker and Rev. A E J Shrimpton.

Against the recommendation:

None.

Abstention:

Councillors I E Dobson and Miss M R Lewis. Councillor Miss Lewis advised that she did not feel that she had enough information at this stage and felt it important that she made an informed decision.

The Chairman then put recommendations (ii)(e) & (f) and (iii) to the Committee which upon a vote being taken were agreed.

RESOLVED

- (i) that the Committee notes the main details of the Provisional Local Government Finance Settlement 2018 / 19 described in section 3.3 of the report;
- (ii) that a pay award in line with national recommendations is approved of 2% for both 2018 / 19 and 2019 / 20.

RECOMMENDED

- (iii) that the Summary Revised 2017 / 18 and Original 2018 / 19 General Fund Revenue Budget Estimates (**APPENDICES 6, 7 and 8** to these Minutes) be approved;
- (iv) that an average Band D council tax of £192.97 (excluding parish precepts) (2.99% increase) for 2018 / 19 (**APPENDIX 6** to the Minutes);
- (v) that the policies on the designated use of financial reserves (**APPENDIX 9** to these Minutes) be agreed;
- (vi) that an increase in the minimum general fund working balance from £2,500,000 to £2,600,000 for 2018 / 19 be approved;
- (vii) that the Council gives due regard to the Director of Resources statement on the robustness of budgets and adequacy of reserves in **APPENDIX 10** to these Minutes.

782. EXCLUSION OF THE PUBLIC AND PRESS

RESOLVED that under Section 100A (4) of the Local Government Act 1972 the public be excluded from the meeting for the following items of business on the grounds that they involve the likely disclosure of exempt information as defined in Paragraph 1, 2, 3 and 5 of Part 1 of Schedule 12A to the Act, and that this satisfies the public interest test.

Councillor Rev. A E J Shrimpton left the meeting at this point and did not return.

783. MARKET SITE

The Committee considered the report of the Director of Resources providing an update following the offer made to the claimant in relation to the Council's ownership of the Market Place car park.

The report highlighted the report considered and decision made by this Committee in September 2017. A copy of the report considered was attached as Appendix A.

RESOLVED that the contents of the report be noted.

784. LEASE OF OFFICE ACCOMMODATION

The Committee considered the report of the Director of Resources, seeking Members' consideration of a request from Moat Housing (Moat) to continue to rent office accommodation at the Council Offices for a period of three years.

The report provided background information regarding the request and current lease agreement with Moat.

RESOLVED that the Director of Resources, in consultation with the Chairman of the Finance and Corporate Services Committee, and on the advice of a legal advisor and independent Valuer, be authorised to negotiate and enter into a new lease for a period of three years with Moat Housing.

785. MALDON HEALTH HUB PROJECT

The Committee considered the report of the Chief Executive which provided an update on progress of the Maldon Health Hub Project, further detail on the proposed service model and the Council's role in the future delivery of the project.

The report highlighted the ongoing work by the Clinical Commissioning Group (CCG) and the NHS in respect of the Maldon Health Hub project which was now at the Outline Business Case stage.

Members' were advised that the Mid and South Essex Sustainability and Transformation Partnership (STP), made up of different NHS organisations and Council's across Essex, were working on a plan to improve health and care services across the region. Their review was looking at three key subjects and it was noted that these would ultimately impact on the service model to be delivered from the new Health Hub.

The report detailed a number of options regarding the Council's future role in the project. The Director of Resources explained that option (i) was an unrealistic option for the Council and outlined the reasons for this.

It was noted that the Community Services Committee had considered this report at its last meeting and recommended that option (i) be ruled out and that the Community Hospital Working Group not be constituted to oversee the project's progression. Some Members provided a further update on the discussions that took place at the Community Services Committee including a query regarding the cost of Officer time related to this project.

Councillor Miss M R Lewis proposed that option (i) be removed and the Council continue to the Outline Business Case stage and report back to this Committee before progressing further. This was duly seconded and agreed.

The report sought consideration of the reconstitution of the Community Hospital Working Group. Following discussions the Committee agreed with the Community Services Committee that the reconstitution not this did not take place at this time and any information be dealt with by the Council.

RESOLVED

- (i) that the contents of the report be noted;

RECOMMENDED

- (ii) that option 1 (i) as set out in paragraph 3.6.1 of the report for future Maldon District Council involvement in the Maldon Health Hub be ruled out at this stage;

- (iii) that the Council continue to the Outline Business Case stage and then report back to the Committee before progressing further;
- (iv) that the Community Hospital Working Group not be constituted to oversee progression of the project.

There being no further items of business the Chairman closed the meeting at 9.30 pm.

I E DOBSON
CHAIRMAN

Document Control Sheet

Document title	Document Retention Policy
Summary of purpose	To prompt a corporate approach to considering the long-term usability of information and also the protection of historical information, and in turn it sets out the responsibilities and activities associated with this approach.
Prepared by	David Rust
Status	Draft
Version number	1
Approved by	The Finance and Corporate Services Committee – Full Council
Approval date	
Date of implementation	Immediate
Review frequency	3 years (Retention Schedule revised continuously to incorporate any changes/new documents)
Next review date	January 2021
Circulation	
Published on the Council's website	

Validity Statement

This document is due for review by the date shown above, after which it may become invalid. Users of the strategy or policy should ensure that they are consulting the currently valid version of the document.

DOCUMENT RETENTION POLICY

1. INTRODUCTION

- 1.1 In the course of carrying out its various functions and activities, Maldon District Council collects a wide range of data / information from individuals and organisations. This information may relate to specific topics or individuals as well as records of decisions made by the Council, actions taken, and the rationale behind these decisions.
- 1.2 The Council recognises that this documented information is an important public asset and are a key resource to the effective operation and to accountability. Careful document management is therefore required. The aim of this Policy is to prompt a corporate approach to considering the long-term usability of information and also the protection of historical information, and in turn it sets out the responsibilities and activities associated with this approach.
- 1.3 Retention of specific documents may be necessary for one or more of the following reasons:
 - To fulfil statutory or other regulatory requirements.
 - To evidence events/agreements in the case of dispute(s).
 - To meet operational needs.
 - To ensure the preservation of documents of historic or other value.
- 1.4 Conversely, the permanent retention of *all* documents is undesirable and to be discouraged. Disposal, where appropriate, is to be encouraged for the following reasons:
 - Under the Data Protection Act 1998, to be replaced by the General Data Protection Regulations which comes into force in May 2018, “personal data” processed for any purpose(s) must not be kept for longer than is necessary for that purpose(s) hence retention which is no longer necessary may be unlawful.
 - The sheer volume of records otherwise retained can mean that physical access is difficult and that there is an increased fire risk.
 - To make best use of limited storage space in the Council basement.
 - To promote ‘good housekeeping’ and seek to ensure uncluttered office accommodation.
 - Staff resources committed to searching for information and the subsequent processing, (i.e. for Freedom of Information Act requests) is increased.
 - To provide clarity as to what documents are or are not held by the Council, as required by Section 46 of the Freedom of Information Act 2000.

2. PURPOSE AND SCOPE

- 2.1 The purpose of this Policy is to provide a corporate policy framework to govern management decisions on whether a particular document or set of documents should either be:
 - Retained – and if so in what format, and for what period; or
 - Disposed of – and if so when and by what means.
- 2.2 The Policy seeks to:
 - assist in maintaining records to meet the Authority’s business needs;
 - assist in identifying vital records that may be worth preserving permanently as part of the Council’s archives;

- prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial or other requirements of public administration;
- provide for the destruction of those records not required permanently after specified periods in a consistent and appropriate manner; and
- promote improved records management practices within the Authority.
- ensure compliance with Government directives.

- 2.3 In addition, this Policy seeks to clarify the roles and responsibilities of senior management in the decision making process.
- 2.4 This Policy relates to both physical data protection elements, that is, documents that are retained by the Authority in ‘hard’ paper format, and digital copies of such records (although there may be different retention periods for physical and digital records). Such documents include:
- Letters received from third parties;
 - Copy letters which have been sent out;
 - File notes of meetings;
 - Legal matters;
 - Completed application forms;
 - Plans / Drawings;
 - Photographs;
 - Invoices;
 - Financial records;
 - Registers;
 - Contracts;
 - Deeds.
- 2.5 This Policy does not cover the disposal or retention of unused materials such as unused application forms, duplicated documents and stocks of paper, for instance, which do not form part of a record of a Council business activity or transaction.

3. RETENTION / DISPOSAL DECISION MAKING

- 3.1 Any decision whether to retain or dispose of a document should only be taken in accordance with the following criteria:
- The key disposal/retention considerations checklist set out in **Appendix A**.
 - The Document Retention Schedule set out in **Appendix B**. This has regard to the “Retention Guidelines for Local Authorities” produced by the Public Sector Group of The Information and Records Management Society of Great Britain which outlines recommended and mandatory minimum retention periods for specific classes of records where special rules and considerations apply.
- 3.2 Where a retention period has expired in relation to a particular document a review should always be carried out before a final decision is made to dispose of that record. Such reviews need not be detailed or time consuming.

4. DISPOSAL

- 4.1 Disposal can take place in a number of ways:
- Binning;
 - Recycling;
 - Treatment as Confidential Waste;

- Physical destruction on site;
- Transfer of the document to an external body.

- 4.2 Where documents are destroyed a record needs to be kept, containing the reference, a description, the date, method of destruction and the Officer who authorised the disposal. The record should be able to demonstrate that the disposal was in accordance with this Policy or a written record should be made justifying the reasons for departure from the Policy. Only exceptional circumstances should justify departure from the Policy.
- 4.3 Once documents are selected for disposal the method of disposal should be appropriate to the confidentiality of the document and the destruction should take place in a secure manner.
- 4.4 Documents containing personal data or confidential information should not be binned or sent for recycling without being shredded as this could result in the unauthorised disclosure of such information to third parties.
- 4.5 Transfer of documents to a third party may not be an option in cases where there is personal data having regard to the Data Protection Act 1998, to be replaced by the General Data Protection Regulations incorporated within the new Data Protection Bill (2016).
- 4.6 Whenever possible methods of disposal should further the Council's commitment to recycling and sustainable development.
- 4.7 Particular care must be taken if outside contractors are dealing with the destruction of documents, off the Council's premises. The Council has a duty of care to protect documents while they are awaiting collection. They should not be left unattended on a loading bay, for example. Contracts should be carefully drawn up to ensure that the documents are kept secure in transit, and during the disposal process itself. Such contracts should allow for spot checks to be made of the contractor's premises to ensure compliance. These checks and findings should be recorded and kept with the contract. The contractor should supply a dated, signed consignment note showing a consignment number and the Council should be able to link this number with specific documents so that the Council can say with certainty that certain records were destroyed under a particular consignment number.

5. ARCHIVES

- 5.1 Where documents are transferred to an archive system these must be carefully documented and recorded. Only those records that are no longer of active use may be selected for transfer to an archive.

6. DOCUMENTS DUE FOR DESTRUCTION

- 6.1 Where a document which is due for destruction becomes the subject of a request for information then destruction should be delayed until the request has been satisfied or in the case of a refusal, until any complaint and appeal mechanisms have been exhausted. However, before a formal request for information has been received, routine amendments, or even disposal can take place.

- 6.2 Where a document is destroyed, a record must be kept which gives enough detail to make it clear what records have been destroyed (i.e. file name and short note of content if file name is not clear), the date, reason for destruction, method of destruction and authorising officer.

7. ROLES AND RESPONSIBILITIES

- 7.1 Responsibility for determining, in accordance with this Policy, whether to retain or dispose of specific documents rests ultimately with the individual Director, in respect of those documents that fall within the remit or control of their Service. The rationale for this is that it is reasonable to both assume and expect that each Director should be broadly conversant with the types of documents received, generated and stored by their Service.
- 7.2 Directors may delegate the operational aspects of this function to one or more senior officers within their Service. However in doing so they should ensure that any such Officer is fully conversant with this Policy and is also familiar with the operational requirements of the Service so that they are able to assess the significance of the documents.
- 7.3 Since the majority of Maldon District Council employees are involved in creating, maintaining and using documents, it is vital that everyone is aware of the approach and practices set out in this Policy. Line Managers will ensure that staff responsible for managing documents are appropriately trained or experienced and that all staff understand the need for sound document management. The Staff Induction policy and procedure toolkit and periodic training will seek to ensure that all staff are aware of their obligations regarding Data Protection, Freedom of Information and Document Management.
- 7.4 Because of the clear benefits resulting from the disposal of unnecessary documentation, Directors are expected to be proactive in carrying out or instigating assessments of existing documentation that may be suitable for disposal.
- 7.5 The Council's Legal and Democratic Services Manager or Data Protection Officer can advise on whether minimum retention periods are prescribed by law, and whether retention is necessary to protect the Council's position where the likelihood of a claim has been identified by the relevant Director. Legal Services staff cannot be expected to possess the operational or background knowledge required to assess whether a particular document may be required by the Service concerned for operational need. This is the responsibility of the relevant Director or their designated Officers.

8. REVIEWING THE SCHEDULE

- 8.1 The Schedule attached to this Policy prescribes minimum and permanent retention periods. It will be reviewed and updated at regular intervals.

KEY DISPOSAL / RETENTION CONSIDERATIONS CHECKLIST**1. HAS THE DOCUMENT BEEN APPRAISED?**

- 1.1 Before a document is designated for disposal the nature and contents of it needs to be ascertained. This process may only take a few minutes. However, this can be a more complicated task depending on the complexity of the document concerned. This evaluation process should only be undertaken by Officers who possess sufficient operational knowledge to enable them to identify the record concerned and its function within both the individual Service and corporate framework.

2. IS RETENTION REQUIRED TO FULFIL STATUTORY OR OTHER REGULATORY REQUIREMENTS?

- 2.1 Identifying how long documents need to be kept is one of the most important areas to be addressed. The document produced at **Appendix B** entitled 'Document Retention Schedule' provides guidelines for how long records need to be kept.
- 2.2 In many cases there are statutory rules, or standard practices which govern how long documents must or should be retained. These can vary from once their administrative use is completed, 3-years, 6-years, or longer. Some legal records and notices, or records which the Council is legally required to maintain in a public register, correspondence about ongoing contracts and building works less than 15-years old, leases and matters about which a dispute is known or anticipated, must be kept longer. In addition advice can be sought from the Council's Legal and Democratic Services Manager or Data Protection Officer. However, there may come a point at which the balance of convenience and safety rests with retaining a document rather than conducting extensive inquiries to determine whether it is safe to dispose of the record.

3. IS THE RETENTION REQUIRED FOR EVIDENCE?

- 3.1 Occasionally, the Council may become involved in disputes with third parties. Such disputes can result in the party who is dissatisfied bringing legal proceedings against the Council. Alternatively, the Council may wish or be required to institute legal proceedings against an individual or organisation. Such proceedings may be civil or criminal in nature. Where a dispute arises, or litigation has been commenced it is important that the Council has access to all documents that are relevant to the matter. Without such documents there is the danger that the Council's position will be compromised. Conversely, retaining documents for longer than is necessary, could leave the Council vulnerable to action from the Regulator, or other actions that may arise from documents which may have to be shared under Freedom of Information rules.
- 3.2 Specific time limits are laid down for the commencement of litigation. The time limits are different according to the nature of the claim. The starting point therefore, is that the retention period is the length of time that has to elapse before a claim is barred. ECC Legal Services will be able to give advice if there are areas of doubt.

4. IS RETENTION REQUIRED TO MEET THE OPERATIONS NEEDS OF THE SERVICE?

- 4.1 In some cases retention may be desirable even though no minimum retention period applies, or has expired. Documents may be useful for future reference purposes, as precedents, or for performance management. Skilled judgment may be needed to assess the usefulness of a particular document.

5. IS THE DOCUMENT OF HISTORIC INTEREST?

- 5.1 In most cases this consideration will not be applicable. However, some documents currently in Council storage may be of historic interest. If the document is of historic interest consideration may be given to transfer to the County Archivist rather than retention or disposal by the Council.

6. DOCUMENT DISPOSAL REGISTER

- 6.1 A register of which documents have been destroyed must be kept, both in order to show compliance with the Document Retention Policy, but also to assist in future searches in response to Freedom of Information requests, etc.
- 6.2 The register should include the following details:
- Details of the documents destroyed included name of file & sufficient detail to make clear what has been destroyed. In many cases, the name of the file will be specific enough not to require any further explanation.
 - Date of destruction
 - Method of destruction (i.e. binned, shredded, digital deletion, etc.)
 - Reference to policy for destruction (i.e. Statutory as per Document Retention Policy)
 - Name of person authorising destruction

2018 Maldon District Council Document Retention Schedule

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2018 Maldon District Council Document Retention Schedule

The purpose of the Retention Schedule

A retention schedule is a list of records which need to be retained by Local Government for a designated period of time.

The retention schedule shows:

- i. the title of each record which it creates in the course of its business;
- ii. a time period for which records are to be retained and the action which should be taken when it is of no further administrative use; and
- iii. identifies the reason (legislative, regulatory and/or operational) on which retention is based.

The existence of the retention schedule is a requirement of Maldon District Council's corporate Document Retention Policy. It has been developed in collaboration with Service Managers. The retention schedule refers to all information, regardless of the media in which it is stored, i.e. manual files, computer files, tapes, microfiche, etc. Where records are sentenced for destruction all back-up copies or copies stored on alternative media must also be destroyed. The retention schedule provides consistent instructions for all staff who deal with records, and a formal policy for records retention and disposal.

The purpose of the schedule is to:

- i. prevent the premature destruction of records that need to be retained for a specified period to satisfy legal, financial and other requirements of public administration;
- ii. assist in identifying records that may be worth preserving permanently as part of the Maldon District Council's archives; and
- iii. provide consistency for the destruction of those records not required permanently after specified periods.

Members of staff are expected to manage their current record keeping systems using the Retention Schedule and to take account of the different kinds of retention periods when they are creating new record keeping systems. The Schedule is a 'living document' and will be reviewed and amended as and when retention details change due to Council policy, if new information is created, to remove any obsolete record titles, or regulations and legislation that govern information and its use are introduced or altered.

Using the Retention Schedule

Where records have been identified for disposal they should be disposed of in an appropriate way. All records containing personal information, or sensitive information should be disposed of using secure waste sacks or shredded after administrative use.

The Freedom of Information Act 2000 requires the Council to maintain a list of records which have been destroyed and who authorised their destruction. Members of staff should record at least:

- i. File reference (or other unique identifier);
- ii. File title (or brief description);
- iii. Number of files;
- iv. The name of the authorising officer; and
- v. Date of destruction.

2018 Maldon District Council Document Retention Schedule

Retention Schedule and the Freedom of Information Act (2000)/Environmental Information Regulations (2004)

The Freedom of Information Act (2000) and Environmental Information Regulations (2004) are intended to promote a culture of openness and accountability amongst public authorities by providing people with rights of access to records held by Maldon District Council. With the introduction of this legislation the Lord Chancellor issued a Code of Practice to be followed by public organisations using his powers under Section 46 of the Freedom of Information Act (2000). This guidance sets out his views on desirable practice for the retention, management and disposal of public authority records. The Code of Practice includes a requirement to develop and apply Document Retention Schedules within the organisation. The Retention Schedule is a requirement of the Freedom of Information Act (2000).

Retention schedule

The Data Protection Act (1998) requires that personal data shall be:

- i. Adequate, relevant and not excessive
- ii. Accurate and where necessary kept up to date
- iii. Not kept for longer than is necessary for its purpose

These three principles require the Council to have procedures in place, covering the review of information held on files.

Retention schedules assist with compliance under the Data Protection Act, which requires us to keep personal data no longer than is necessary for the purpose for which it was collected. The time limits for keeping records are based on statutory requirements, common business practice, and national guidance and best practice (the Retention Guidelines for Local Authorities (RGLA), a guide produced by the Records Management Society of Great Britain).

In some parts of the retention schedule the recommended retention period given is 6 years. This is based on the 6 year time limit within which legal proceedings must be commenced as laid down in the Limitation Act 1980. It should also be noted that, under this Act, civil action could be taken up to 12 years following certain events. In May 2018, the Data Protection Act will be superseded by the introduction of the General Data Protection Regulations which are being written into a new Data Protection Act. This schedule has been written to reflect the changes these regulations will bring, in particular regarding an individual's rights to change their consent for the use of their data, have it removed, or amended.

Further information

Information and Records Management Society <http://irms.org.uk/>

The National Archives <http://www.nationalarchives.gov.uk>

Archives and Records Association <http://archives.org.uk/>

Information Commissioner's Office <http://www.ico.org.uk/>

2018 Maldon District Council Document Retention Schedule

Understanding the Retention Schedule

Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 1.1	<p><u>Acquisitions</u></p> <p>Assets over £50,000</p> <p>Any papers concerning the management of the acquisition (by financial lease or purchase) process for assets and real property</p>	Destroy 12 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> Legal Documents Relating to the Purchase / Sale Particulars of Sale Documents Survey particulars Leases Applications for Leases, Licences & Rental Revision Tender Documents Conditions of Contracts Certificates of Approval 	Statutory RGLA 7.29 Limitations Act 1980
AI 1.2	<p>Assets under £50,000</p>	Destroy 6 years , after all obligations / entitlements are concluded	As above	Statutory RGLA 7.29 Limitations Act 1980

Ease of reference to identify function

Definition of function in terms of related items

Period of time for which document should be retained **and** action(s) once it has exceeded

Common examples of the types of documents included within the function

Indicates if retention action is statutory/ regulatory or Common practice

2018 Maldon District Council Document Retention Schedule

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Democratic Processes				
DP1 Electoral Services				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
DP1.1	Election / registration preparation <ul style="list-style-type: none"> Production of hard copy electoral register for use at each polling station Production of separate lists of postal voters, proxy postal voters and proxy voters for use at each polling station 	<p>Marked registers and lists of absent voters to be retained for a period of 12 months before being destroyed.</p>	<ul style="list-style-type: none"> Electoral Register List of absent voters 	Statutory
DP1.2	Election/referenda documents <ul style="list-style-type: none"> Local elections Parliamentary election (incl. combined local) or European elections Referenda (including Neighbourhood Planning) 	<p>Destroy 12 months after the count Destroy 12 months after the count</p> <p>Destroy 12 months after declaration of results of poll</p>	<ul style="list-style-type: none"> After the count - Counted and rejected ballot papers in separate packets The ballot paper accounts and the statement of rejected ballot papers and of the result of the verification of the ballot paper accounts The tendered votes lists, the lists of voters with disabilities assisted by companions, the lists of votes marked by the presiding officers and the related statements, the lists maintained under reg. 41A and the declarations made by the companions of voters with disabilities The packets of completed corresponding lists and certificates as to employment on duty on the day of the poll The packets containing marked 	Statutory

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			copies of register and of lists of postal voters, proxies and postal proxies	
DP1.3	Invitation To Register	1 year from date of publication of current register	<ul style="list-style-type: none"> Application forms (hard copy and scanned*) *National Insurance numbers are automatically redacted by EMS after 6 months 	Common practice per AEA
DP1.4	Results Declaration of results (local elections only)	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Declaration of Results of Polls Consolidated returns of votes received Uploaded to MDC website 	Local Practice
DP1.5	Returns and Declarations as to Election Expenses <ul style="list-style-type: none"> Parish Council Election Local Government Election Parliamentary Election 	Destroy 12 months after receipt Destroy 24 months after receipt Destroy 24 months after receipt	<ul style="list-style-type: none"> Expenses forms and accompanying documents in support 	Statutory Statutory Statutory
DP1.6	Copy of revised Electoral Register published on 1 December each year for public inspection, and lists of monthly alterations covering the period January to September inclusive each year	Destroy obsolete register on 1 December each year		Statutory
DP1.7	Copy of edited version of Electoral Register for public inspection, and lists of monthly alterations covering the period January to September inclusive each year	Destroy obsolete register on 1 December each year	Copy kept on electoral software (starting from 2004) for the purpose of verifying applications from overseas voters' applications. Hard copies kept for period prior to 2004	Statutory
DP1.8	Household Enquiry Forms	Destroy 1 year from date of publication of current register	Application forms (hard copy and scanned)	Common practice per AEA

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DP1.9	Other Elector Declarations	Destroy 1 year from date of publication of current register	Overseas Voters Anonymous Voters Crown Servants Living Overseas Service Voters Voters With No Fixed Abode – Application forms (hard copy and scanned*) *National Insurance numbers are automatically redacted by EMS after 6 months	Common practice per AEA
DP1.10	Names and Addresses of Election Agents/Polling Agents/Count Agents/Count Guests	Destroy 12 months after declaration of result of election	Forms received from Candidates and/or their Agents – held in hard copy and on EMS – data retained on EMS	Local Practice
DP1.11	Names and personal details of staff employed in and around elections and annual canvass of electors E.G. Casual election staff - Poll Clerks, Presiding Officers, Canvassers, etc.	Retained for as long as remain on staff pool of casual election workforce. Hard copy, emails and EMS	Application forms received are entered onto EMS	Local Practice

2018 Maldon District Council Document Retention Schedule

Democratic Processes				
DP2 Committee & Support Services				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
DP2.1	Council & Committee Meetings Process of preparing business for Council consideration and making the formal record of discussion, debate and resolutions	<p>Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.</p> <p>Committee documents published to and retained on website.</p> <p>Original hard copy sets of Minutes are signed by the Chairman at the following meeting as being a correct record of the proceedings and these are to be retained indefinitely,</p> <p>Minutes (and copies) to be made available for 6 years after a meeting.</p> <p>Lists of Background Papers to be kept available for 4 years after the date of the meeting.</p>	<ul style="list-style-type: none"> • Council Minutes • Council Agenda & Business Papers • Council Notice Papers and Proceedings • Indexes • Committee Minutes • Registers of delegations to Special Committees 	<p>Statutory</p> <p>Minutes retention - Section 228 of the Local Government Act 1972.</p> <p>Local Government (Access to Information) Act 1985</p> <p>Hard copy Committee agendas and reports should be destroyed after meetings.</p>
DP2.2	Delegated Decisions	Written records of delegated decisions must be kept available for 6 years .	<p>Service area records and paper files.</p> <p>Service area website pages, if applicable, where any such decisions are published</p> <p><i>[NB – Process under review & therefore likely to change in 2018]</i></p>	The Openness of Local Government Bodies Regulations 2014 requires publication of certain types of delegated decision
DP2.3	Minute Taking	<p>Destroy after date of confirmation of the minutes</p> <p>Draft notes should be deleted/ destroyed once Minutes have been confirmed.</p>	<ul style="list-style-type: none"> • Draft / rough minutes • Audio tapes 	Common practice

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		Audio recordings published to website should be deleted after 2 years		Common practice
DP2.4	Political Parties Papers The process of undertaking representation of the Local Authority.	Destroy 3 years after last action Destroy correspondence relating to Leader's actions / appointments 2 years after last action	<ul style="list-style-type: none"> • Leader of Opposition Papers • Leader of Council Papers • Appointments to outside organisations and charitable bodies 	Common practice
DP2.5	Register of Interests of District Councillors: To be kept up-to-date during the term of office of the individual Councillor. A record of each Councillor's interests in accordance with the Localism Act 2011.	To be kept up-to-date during the term of the office of the individual Councillor. Following completion of another form, or the term of office ending, retain for 6 years .	Paper. The register of interest forms of current Councillors are published on the MDC website.	Statutory
DP2.6	Register of Interests of Town and Parish Councillors: A record of each Councillor's interests in accordance with the Localism Act 2011.	To be kept up-to-date during the term of office of the individual Councillor. Following completion of another form, or the term of office ending, retain for 6 years .	Paper. The register of interest forms of current Councillors are published via the MDC website.	Statutory Town & Parish Clerks required to keep MDC informed of changes e.g. resignations, new Co-optee's etc.
DP2.7	Declaration of Acceptance of Office: Each Councillor signs this declaration upon appointment.	Once the Councillor has ceased to be in office these can be destroyed after 6 years .	Paper form	Statutory – Local Government Act 1972

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DP2.8	<p>Partnership, Agency & External Meetings Process of preparing business for partnership and agencies consideration and making the record of discussion, debate and resolutions, where the Local Authority legally owns the record.</p> <p>Process of preparing business for external committees' consideration, and making the record of discussion, debate and resolutions, where the Local Authority does not own the record</p>	<p>Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.</p> <p>Destroy 3 years after last action</p>	<ul style="list-style-type: none"> • Documents establishing the body / partnership • Agendas • Minutes • Council Reports • Recommendations • Supporting documents such as Council briefing and discussion papers 	<p>Common practice</p> <p>Common practice</p>
DP2.9	<p>Honours and Submissions Preparation of honours submission</p>	<p>Destroy 1 year after last action</p>	<ul style="list-style-type: none"> • Honours Nomination Form • Covering Documentation • Letters of Support • Referral for comment from Lord Lieutenant 	<p>Common practice</p>
DP2.10	<p>Staff Disclosure of Interests Register of staff gifts and hospitality</p> <p>Staff register of interests</p>	<p>Destroy 1 year after record</p> <p>Destroy 3 years after each record</p>	<p>Declaration of the offer of gifts or hospitality to staff</p> <p>Declaration of the interests of staff which may affect their work with the Council</p>	<p>Common practice</p>
DP2.11	<p>Constitution Constitution of the Maldon District Council</p>	<p>Permanent storage at MDC. Need the ability to review earlier versions of the Constitution as part of considering actions taken.</p>	<p>Constitution</p>	<p>Common practice</p>

2018 Maldon District Council Document Retention Schedule

Legal and Contracts				
LC1 Legal Services				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
LC1.1	Litigation Process of managing, undertaking or defending for or against litigation on behalf of the Local Authority	Destroy 6 years after last action	<ul style="list-style-type: none"> • Criminal Case File • Civil Case File • Correspondence 	Statutory
LC1.2	Advice Process of providing legal advice on a point of law	Destroy 6 years after last action	<ul style="list-style-type: none"> • E-mail queries • Memorandums/briefing notes 	Statutory
LC1.3	Agreements Process of agreeing terms between organisations. Note: this does not include contractual agreements	Destroy correspondence files relating to any agreement 6 years after agreement in place if executed under hand or for 12 years if executed as a Deed	<ul style="list-style-type: none"> • Concordat • Agreements • Contracts • Deeds 	Statutory
LC1.4	Conveyance (see also Property Acquisition and Disposal) Process of changing ownership of land or property	Destroy correspondence 12 years after closure	<ul style="list-style-type: none"> • Conveyancing Files 	Statutory
LC1.5	Bye Laws - Enactment The process of making local laws	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	Good practice

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LC1.6	Administration & Enforcement The process of administering and enforcing bye laws	Destroy 6 years after certificate has expired or penalty payment has been made or the matter has been finished or correspondence on the matter has ceased	<ul style="list-style-type: none"> • Applications and Certificates • Permits • Licenses • Infringement Notices (Parking) • Correspondence • Bye law enforcement • FPN enforcement 	Statutory
LC2 Contract Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
LC2.1	Contracts and Tendering Pre Contract Advice Process of calling for expressions of interest	Destroy 2 years after contract let or not proceeded with	<ul style="list-style-type: none"> • Expressions of Interest 	Common practice
LC2.2	Specification and Contract Development Process involved in the development and specification of a contract	Ordinary Contracts Destroy 6 years after the terms of contract have expired Contracts Under Seal Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> • Tender Specification <p>Note: For project files containing drafts leading to a final version these records can be destroyed</p>	Statutory
LC2.3	Tender Issuing and Return Process involved in the issuing and return of a tender	Destroy 1 year after start of contract	<ul style="list-style-type: none"> • Opening Notice • Tender Envelope 	Common practice

2018 Maldon District Council Document Retention Schedule

LC2.4	Evaluation of Tender	Ordinary Contracts Destroy 6 years after the terms of contract have expired	<ul style="list-style-type: none"> Tender Documents Quotations 	Statutory
	Successful Tender Document	Contracts Under Seal Destroy 12 years after the term of contract have expired		
	Unsuccessful Tender Documents	Destroy 1 year after start of contract		Common practice
LC2.5	Post Tender Negotiation Process in negotiation of a contract after a preferred tender is selected	Destroy 1 year after the terms of contract have expired	<ul style="list-style-type: none"> Clarification of Contract Post Tender Negotiation Minutes 	Common practice
LC2.6	Awarding of Contract The process of awarding of contract	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired	<ul style="list-style-type: none"> Signed Contract 	Statutory
LC2.7	Contract Management Contract operation and monitoring	Destroy 2 years after the terms of contract have expired	<ul style="list-style-type: none"> Compliance / Performance Reports Minutes and Papers of Meetings Changes to Requirements Variation Forms Extension of Contract Complaints Disputes on Payment 	Common practice
	Management and amendment of contract	<u>Ordinary Contracts</u> Destroy 6 years after the terms of contract have expired <u>Contracts Under Seal</u> Destroy 12 years after the terms of contract have expired		Statutory
LC2.8	Localism Management of the Community Rights	Assets of Community Value Destroy 5 Years after receipt of nomination Community Right to Challenge Destroy 5 years after receipt of challenge	<ul style="list-style-type: none"> Nomination Forms and correspondence Appeal documentation 	

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			<ul style="list-style-type: none">• Entry on Assets Register amended• Challenge notification	
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2018 Maldon District Council Document Retention Schedule

Strategy & Management				
SM1 Strategy				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
SM1.1	Corporate Planning and Reporting Developing corporate strategies and planning and reporting activities	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded To be retained with committee minutes when approved by Council	<ul style="list-style-type: none"> Corporate Plans Strategic Plans Business Plans Annual Reports 	Common practice
SM1.2	Preparing business for strategic consideration and making the record of discussion, debate and resolutions	2 years	<ul style="list-style-type: none"> Corporate Leadership Team minutes Task & Finish Group minutes 	Common practice
SM1.3	Preparing business for service, team or forum consideration and recording discussion, debate and resolutions	3 years from closure	<ul style="list-style-type: none"> Directorate or Team meeting minutes Managers Forum minutes 	Common practice
SM1.4	Statutory Returns Preparing information to be passed on to central government as part of statutory requirements	7 years from closure	<ul style="list-style-type: none"> Returns to Central Government 	Statutory
SM1.5	Policy, Procedures, Strategy and Structure Activities that develop policies, procedures, strategies and structures for the Local Authorities	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded Digital copies kept only	<ul style="list-style-type: none"> Policy, procedure, precedent, instructions Records relating to policy development & implementation Corporate and Service Plans and Strategies and Policies 	Common practice

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SM1.6	Process of monitoring and reviewing strategic plans, policies or procedures to assess their compliance with guidelines	3 years after end of plan or policy	<ul style="list-style-type: none"> • Strategic Action Plans • Service specific improvement plans • Policy Reviews 	Common practice
SM1.7	Public Consultation Process of consulting the public and staff in the development of corporate policies or strategic plans	2 years from closure	<ul style="list-style-type: none"> • Survey and questionnaire forms; list of consultees and responses • Citizens Panel feedback • Staff surveys & results 	Common practice
SM1.8	Process of consulting the public and staff in future budget development	2 years from closure	<ul style="list-style-type: none"> • Budget Consultation papers • List of consultees and responses • Citizens Panel feedback 	Common practice

2018 Maldon District Council Document Retention Schedule

SM2 Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
SM2.1	Information Management Activity whereby standards, authorities, restraints and verifications are introduced and maintained to manage information effectively	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Classification Schemes • Registers • Indexes • Authorised Lists of File Headings 	Common practice
SM2.2	Management of collections of records transferred to the archives	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Accession Registers • Depositor Files 	Common practice
SM2.3	Process that records the disposal of records	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Disposal Certificates/logs/deeds 	Common practice
SM2.4	Feedback Management of enquiries, submissions and complaints which result in significant changes to policy or procedures	2 years retention - i.e. the current year and previous year.	<ul style="list-style-type: none"> • Reports • Returns • Correspondence 	Common practice
SM2.5	Management of detailed responses on Council actions, policy or procedures	Destroy 2 years after administrative use is concluded	<ul style="list-style-type: none"> • Reports • Returns • Correspondence • Ombudsman 	Common practice

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SM2.6	Quality & Performance Management Monitoring or reviewing the quality, efficiency, or performance of a Council service	Destroy 3 years from closure	<ul style="list-style-type: none"> Peer Reviews reports Assessment / Inspection Reports 	Common practice
SM2.7	Process of assessing the quality, efficiency or performance of a Local Authority service	Destroy 3 years from closure	<ul style="list-style-type: none"> Excellence assessments 	Common practice
SM2.8	Public Relations <u>Publications</u> - Design and setting of information for publication	Destroy 2 years after last action	<ul style="list-style-type: none"> Proofs, templates of publications / promotional literature etc. 	Common practice
SM2.9	The published work of the Local Authority	Destroy after administrative use is concluded Note: one copy from the initial print run should go directly to the archive.	<ul style="list-style-type: none"> Leaflets / guides produced Strategies / Plans published 	Common practice
SM2.10	Media Relations Process of interaction with the media	Press releases to be kept permanently and considered for transfer to Archive/Museum after 5 years. Other correspondence to be reviewed for Archive or destruction after 3 years .	<ul style="list-style-type: none"> Press releases E-mail correspondence with the press 	Common practice
SM2.11	Marketing Process of developing and promoting Council campaigns and events	Destroy after administrative use is concluded <u>Note</u> : one copy from initial print run should go directly to archive	<ul style="list-style-type: none"> Publicity flyers / posters Guides 	Common practice
SM2.12	The process of organising a ceremonial event or civic occasion.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Consider transfer to Archive/Museum after	<ul style="list-style-type: none"> Itinerary Invitations Visitors' Book Photographs 	Common practice

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		10 years.		
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2018 Maldon District Council Document Retention Schedule

Strategic Housing

SH1
Strategic Housing

Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
SH1.1	Housing Provision Process of dealing with Homeless applications	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Homeless Application Forms • Case Notes • Homelessness Decisions • Correspondence • Bank statements • Medical records • Benefits Information • Birth certificates • Passports • Immigration information • Other agency information 	Statutory – Housing Act(s)
SH1.2	Homelessness Reviews	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Homeless Application Forms • Case Notes • Homelessness Decisions • Correspondence • Bank statements • Medical records • Benefits Information • Birth certificates • Passports • Immigration information • Other agency information • Legal Judgement 	Statutory – Housing Act(s)

2018 Maldon District Council Document Retention Schedule

SH1.3	General Housing Advice	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> Homeless Prevention Application Forms Case Notes Bank statements Medical records Benefits Information Birth certificates Passports Immigration information Other agency information 	Statutory – Housing Act(s)
SH1.4	Stock Transfer Records	Permanent Storage at MDC	<ul style="list-style-type: none"> Agreement Property Records 	Common practice
SH1.5	Copies of Statutory Housing Returns e.g. HIPSSA	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> Copies of actual returns Audit Trails 	Common practice
SH1.6	Statistical data for Housing performance indicators	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> Copies of actual returns Audit Trails 	Common practice
SH1.7	New Development	Destroy once development occupied	Land Registry Transfer of Title docs Nomination agreements Grant confirmation Viability assessments Customer satisfaction returns	Common practice
SH1.9	Process of dealing with online Choice Based Lettings applications (Housing Register).	Destroy 6 years from closure of application Records retained for duration of ‘active’ application and inclusion on waiting list. Documents reviewed along with application every 12 months. Non-relevant and superseded documents destroyed.	CBL Application Form <ul style="list-style-type: none"> Bank statements Relevant medical information Benefits Information Birth certificates Passports Immigration information Other agency information 	Statutory – Housing Act(s)

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SH1.10	Process of dealing with Private Sector Leasing.	Destroy 7 years after completion of lease.	<ul style="list-style-type: none"> • Homeowner acceptance form • Grant spend invoice • Work specification • Nomination details 	Statutory – Housing Act(s)
SH1.11	Process of dealing with Empty Homes.	Retain for the duration for which there is an administrative requirement (i.e. property remain empty or proceedings being undertaken).	<ul style="list-style-type: none"> • Land Registry • Council tax empty property list • Letters to owners • Photographs of empty properties • Other letters and correspondence 	Common practice

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Human Resources				
HR1 Human Resources				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
HR1.1	<p>HR and Administration</p> <p>Summary management systems that allow the monitoring and management of employees in summary form</p> <p>Note: <i>Summary information that this record class attempts to capture is:- Name; DoB; Date of Appointment; Work History Details; Position / Designation; Titles and Dates Held</i></p>	Destroy after 7 years	<ul style="list-style-type: none"> • Staff files (hard copies) • Staff files (electronic copies) • Staff records held on HR Information System (HRIS) • 	Section 5 Limitation Act 1980
HR1.2	<p>Process of administering employees to ensure that entitlements and obligations are in accordance with agreed employment requirements.</p> <p>Records containing superannuation information.</p>	Destroy 7 years from termination date	<ul style="list-style-type: none"> • Medical Clearance • Conditional Offer Letter • Contract of Employment / Written Particulars • Job Descriptions • Contract amendment letters • Probation Reports • Occupational Health Reports • Personal Particulars • Educational Qualifications • Declarations of Criminal Convictions • Declarations of Personal Relationships 	Section 5 Limitation Act 1980

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HR1.3	Employee and Industrial Relations Documents relating to industrial relations or disputes.	Destroy 6 years after resolution of issue.	<ul style="list-style-type: none"> • Generic Agreements and Awards • Negotiations • Disputes • Claims Lodged 	Common practice
HR1.4	Liaison processes of <u>minor and routine</u> industrial matters	Destroy 2 years after administrative use is concluded.	<ul style="list-style-type: none"> • Daily Industrial Relations Management 	Common practice
HR1.5	Processing of disciplinary and grievances investigations where <u>proved</u>	<p>Written warnings to be removed and destroyed after the relevant time has 'spent' as per the disciplinary policy</p> <p>Warnings Involving Children – placed on HR file permanently</p>	<ul style="list-style-type: none"> • Disciplinary Investigations • Case files • Meeting notes • Warning letters 	Section 5 Limitation Act 1980
HR1.6	Processing of disciplinary and grievance investigations where the outcome is <u>unfounded</u>	Destroy immediately after the grievance has been found to be unfounded; or after appeal.	<ul style="list-style-type: none"> • Disciplinary Investigations • Case notes • Case files • Management reports 	Section 5 Limitation Act 1980
HR1.7	Equal Employment Opportunities The process of investigation and reporting on specific cases to ensure that entitlements & obligations are in accordance with agreed Equal Employment Opportunities guideline policies	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Case file / notes 	Section 5 Limitation Act 1980
HR1.8	Occupational Health The process of checking and ensuring the health of staff	Destroy 75 years after DOB	<ul style="list-style-type: none"> • Health Questionnaire • Medical Clearance • Adjustment to Workplace • Restrictions • Recommendations 	Section 5 Limitation Act 1980

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HR1.9	Recruitment The selection of an individual for an established position	Destroy 1 year after recruitment has been finalised (For letter of appointment for successful candidate use employment conditions)	<ul style="list-style-type: none"> • Advertisements • Applications • Applicant pack • Referee Reports • Interview Reports • Unsuccessful Applications 	Section 5 Limitation Act 1980
HR1.10	Staff Monitoring Performance	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Probation Reports • Performance Reviews • Performance Conversations 	Section 5 Limitation Act 1980
HR1.11	Process of monitoring staff leave and attendance	Destroy 5 years after action completed	<ul style="list-style-type: none"> • Sick Leave • Jury Service • Study Leave • Special/Personal Leave • Leave sheets • Flexitime Calendars • Parental Leave 	Section 5 Limitation Act 1980
HR1.12	Financial Reward	Destroy 7 years after action completed	<ul style="list-style-type: none"> • Job Evaluation rationales 	Common practice
HR1.13	Other HR Strategy	Destroy 3 years after actions completed	<ul style="list-style-type: none"> • Improvement Plan 	Common practice
HR1.14	Termination The process of termination of staff through voluntary redundancy, dismissal and retirement	Destroy 7 years after termination If a pension is paid then records should be destroyed 6 years after last payment of pension	<ul style="list-style-type: none"> • Resignation • Redundancy (Section 188) • Dismissal • Death • Retirement 	Section 5 Limitation Act 1980

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HR1.15	Training and Development Routine staff training processes, not occupational health and safety or children related	Destroy 2 years after action completed Ongoing staff records are kept digitally on the HR system	<ul style="list-style-type: none"> • Course instructions • Course evaluation 	Section 5 Limitation Act
HR1.16	Training (concerning children)	Destroy 35 years after training completed, or last entry	<ul style="list-style-type: none"> • Course instructions • Course evaluation • Training register 	Section 5 Limitation Act 1980
HR1.17	Training (occupational health and safety training)	Individual course assessment records should be destroyed once the training has been renewed every 3 years Ongoing staff records are kept digitally on the HR system	<ul style="list-style-type: none"> • Course evaluation • OH&S training register 	Section 5 Limitation Act 1980
HR 1.18	Training (materials)	Destroy after 3 years	<ul style="list-style-type: none"> • Course notes / handouts • Exercise papers 	Section 5 Limitation Act 1980
HR1.19	Appointments of Statutory Officers The appointment of an individual for a statutory position	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Appointment files 	Section 5 Limitation Act 1980
HR1.20	Appointments of Statutory Officers The process of <u>selection</u> of an individual for a statutory position	Destroy 1 year after date of appointment (if process applicable – does not currently exist)	<ul style="list-style-type: none"> • Vacancies and Application Records • Interview Notes • Prospective Staff Records • Registers of Applicants • Unsuccessful Applications Records 	Section 5 Limitation Act 1980

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Financial Management				
FM1 Accounts & Audit				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
FM1.1	Reporting The process that consolidates financial transactions on an annual basis for corporate reporting purposes	Destroy 6+1 years after the financial year has ended.	<ul style="list-style-type: none"> Consolidated Annual Reports Consolidated Financial Statements Statement of Financial Position Operating Statements General Ledger 	Common practice
FM1.2	The process that supports and consolidates financial transactions on a periodic (less than annual) basis, superseding those from the previous period. Does not include journals and subsidiary ledgers and cash books	Destroy when administrative use is concluded	<ul style="list-style-type: none"> Consolidated Monthly & Quarterly Reports Consolidated Monthly & Quarterly Financial Statements Working Papers for the Preparation of the Above Monthly Accrual Statements Cash flow Statements Creditor Listings and Reports Debtor Listings and Reports Delivery Notes/Supplier Statements 	Common practice
FM1.3	Financial Transactions Management Management of the approvals process for purchase, including investigations	Destroy when administrative use is concluded	<ul style="list-style-type: none"> Appointments & Delegations Audit Investigations Arrangements for the provision of goods and/or services 	Common practice
FM1.4	Identification of the receipt, expenditure and write offs of public monies	Destroy 6+1 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> Allowances Work Orders Invoices 	Statutory

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			<ul style="list-style-type: none"> • Credit Card Statements • Cash Books • Receipts • Cheque Counterfoils • Bank Statements • Subsidiary Ledgers (Annual) • Journals (Annual) • Vouchers 	
FM1.5	Processes that balance and reconcile financial accounts	Destroy 3 years after administrative use is concluded	<ul style="list-style-type: none"> • Reconciliation • Summaries of Accounts 	Common practice
FM1.6	Taxation Records	Destroy 6+1 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Taxation Records • Motor Vehicle Logs • Fringe Benefits Tax Records • Group Certificates 	Statutory
FM1.7	Processes involved in the collection of National Insurance Number	As soon as no longer required.	<ul style="list-style-type: none"> • Notification and Input Records 	Statutory
FM1.8	Payroll Accountable processes relating to payment of employees	Destroy 6+1 years after the conclusion of the financial transaction that the record supports	<ul style="list-style-type: none"> • Authority Sheets • Payroll Deduction Authorities • Payroll Disbursement • Employee Pay Records • Employee Taxation Records 	Statutory
FM1.9	Non-accountable process relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> • Summary Employee Pay Reports • Dummy pay slips 	Common practice
FM1.10	Non-accountable process relating to payment of employees	Destroy after administrative use is concluded	<ul style="list-style-type: none"> • Summary Employee Pay Reports • Dummy pay slips 	Common practice

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FM2 Financial Provisions				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
FM2.1	Budgets and Estimates The process of finalising Local Authorities' Annual Budget	Destroy 6+1 year after relevant year has concluded.	<ul style="list-style-type: none"> Annual Budget 	Common practice
FM2.2	The process of developing Local Authorities' Annual Budget	Destroy 3 years after annual budget adopted by Local Authorities	<ul style="list-style-type: none"> Draft Budgets Departmental Budgets Draft Estimates 	Common practice
FM2.3	The process of reporting which examines the budget in relation to actual revenue and expenditure	Destroy after next year's Annual Budget has been adopted by Local Authorities	<ul style="list-style-type: none"> Quarterly Statements 	Common practice
FM2.4	Loans The activity of borrowing money to enable a Local Authority to perform its functions and exercise its powers	Destroy 6+1 years after the loan has been repaid [None held at present?]	<ul style="list-style-type: none"> Loan Files 	Statutory
FM2.5	Summary Management of loans	Destroy 6+1 years after administrative use is concluded	<ul style="list-style-type: none"> Loans Registers 	Common practice
FM2.6	Housing Mortgages	Last payment + 6+1 years if signed Last payment + 12 years if sealed	<ul style="list-style-type: none"> Mortgage Agreements Correspondence 	Statutory
FM2.7	Home Improvement Grants	Destroy 6+1 years after last payment for grants under £50,000. For grants over £50,000 destroy 12 years after last payment Where plans and detailed drawings included offer to Archivist	<ul style="list-style-type: none"> Agreement to Pay Loan Details of Payment Correspondence Relating to Loan Approval notice Application documents 	Statutory

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FM2.8	Council Tax Valuation The valuation of rateable land within a municipal district for the purpose of the making of the rate	Valuation lists – Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Rate Books • Rate Cards • Register of Rateable Properties 	Statutory

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FM3 Revenues & Benefits				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
FM3.1	Council Tax and Non Domestic Rate Administration The activity corresponding with ratepayers and Council Tax Payers in relation to liability, objections, submissions, appeals, discounts, reductions, exemptions and other related matters.	Electronic records – destroy 6 years after the end of the financial year in which the records relate Paper records after scanning – destroy 3 months after the records have been scanned (for QA process).	<ul style="list-style-type: none"> • Notices • Objections • Applications • Correspondence • Council Tax and Non Domestic Rate Property Files • Tax and Interest information 	Statutory Common practice
FM3.2	Housing Benefit and Council Tax Benefit/Support The activity corresponding with claims for Housing/Council Tax Benefit and/or Local Council Tax Support(LCTS), appeals, requests for reconsideration of decisions, records of investigations and visits	Electronic records – Destroy 6 years after the end of the financial year in which the records relate Paper records after scanning – destroy 3 months after the records have been scanned (for QA process).	<ul style="list-style-type: none"> • Benefit/LCTS claim forms • Letters • Appeals and requests for reconsiderations • Copies of evidence used for verification of claim • Records of visits and investigations 	Statutory
FM3.3	Council Tax / Non Domestic / Housing/Council Tax Benefit & Local Council Tax Support Statutory and Statistical Returns	Electronic records – Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Stats 128 • Stats 121 • Stats 122 • Stats 124 • QRC4 • NNDR1 • NNDR3 • CTB1 	Common practice
FM3.4	Housing/Council Tax Benefit Financial returns The process that consolidates financial transactions on an annual basis for the purposes of the initial, revised and final subsidy claim to the Department of Work	Destroy 6 years after the end of the financial year in which the records were created	<ul style="list-style-type: none"> • Estimate submission • Final signed subsidy claim • Final Audited subsidy claim 	Statutory

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	and Pensions			
FM3.5	Fraud Investigation Records relating to the investigation and any subsequent sanction, penalty or prosecution	No fraud proved – Destroy 12 months from closure of file Penalty or sanction – Destroy 3 years from date accepted by claimant Prosecution – Destroy immediately after the conclusion of proceedings (after the appeal period has passed) from date of conviction or for the duration of the conditional discharge	<ul style="list-style-type: none"> • File records • Interview notes • IUC Tapes 	Common practice

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Council Asset & Infrastructure Management

AI 1 Property Acquisition & Disposal				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 1.1	<u>Acquisitions</u> Assets over £50,000 Any papers concerning the management of the acquisition (by financial lease or purchase) process for assets and real property	Destroy 12 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> Legal Documents Relating to the Purchase / Sale Particulars of Sale Documents Survey particulars Leases Applications for Leases, Licences & Rental Revision Tender Documents Conditions of Contracts Certificates of Approval 	Statutory RGLA 7.29 Limitations Act 1980
AI 1.2	Assets under £50,000	Destroy 6 years , after all obligations / entitlements are concluded	As above	Statutory RGLA 7.29 Limitations Act 1980
AI 1.3	Deeds	Permanent retention – in Strong Room	<ul style="list-style-type: none"> Deeds and associated documentation 	
AI 1.4	<u>Disposal</u> Assets over £50,000 Documents relating to the management of the disposal (by sale or write off) process for assets and real property	Destroy 12 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> Legal Documents Relating to the Purchase / Sale Particulars of Sale Documents Survey particulars Leases Applications for Leases, Licences & Rental Revision 	Statutory RGLA 7.29 Limitations Act 1980

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			<ul style="list-style-type: none"> • Tender Documents • Conditions of Contracts • Certificates of Approval 	
AI 1.5	Assets under £50,000	Destroy 6 years , after all obligations / entitlements are concluded	As above	Statutory RGLA 7.29 Limitations Act 1980
AI 1.6	Sale or write off of property Management of the disposal (by sale or write off) process for real property	Destroy 15 years , after all obligations / entitlements are concluded	<ul style="list-style-type: none"> • Legal Documents relating to the purchase / sale • Particulars of Sale Documents • Survey particulars • Tender Documents • Conditions of Contracts 	Common practice RGLA 8.3

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AI 2 Land & Property Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 2.1	Accessibility Documentation and information relating to the access of property owned by the Council	Destroy - 7 years from closure	<ul style="list-style-type: none"> Key-holder Information Details of Contractors 	Common practice
AI 2.2	Building surveys Data collected from surveys conducted on council buildings	Destroy - 7 years from closure	<ul style="list-style-type: none"> Condition Surveys Warranties 	Common practice
AI 2.3	Certification Certificates of approval	Destroy - 7 years from closure	<ul style="list-style-type: none"> Statutory Surveys 	Common practice
AI 2.4	Energy management Within Council property	Destroy - 7 years from closure	<ul style="list-style-type: none"> Council's Energy Management contract Energy Performance Certification 	Common practice
AI 2.5	Equipment disposal Process involved in the disposal of Council equipment	Destroy - 7 years from closure	<ul style="list-style-type: none"> Agreements to dispose of equipment 	Common practice
AI 2.6	Internal agreements Specific to internal agreements concerning Council property	Destroy - 7 years from closure Normally reviewed annually or periodically during life of agreement. Destroy 2 years after expiry of agreement.	<ul style="list-style-type: none"> Internal SLAs / internal departmental agreements 	Common practice

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AI 2.7	Land and property history Historical documents about Council owned land and property	Retain for life of property or building plus 12 years. Consider transfer to Essex Records Office depending upon nature of document/building before destruction.	<ul style="list-style-type: none"> Plans 	Common practice RGLA 8.2
AI 2.8	Leasing The process of managing leased property	Destroy 15 years after the expiry of the lease	<ul style="list-style-type: none"> Lease agreements Valuation queries Applications for leases/licences 	Common practice RGLA 8.8
AI 2.9	Managing the occupancy of property	Destroy 7 years after the conclusion of the transaction that the record supports	<ul style="list-style-type: none"> Requests for Works, Cleaning etc. 	Common practice RGLA 8.9
AI 2.10	Property management and renovation Buildings and estates of 'special interest' Other buildings and estates	Transfer to place of deposit after administrative use is concluded Retain for the life of the building	<ul style="list-style-type: none"> Project Specifications Plans Installation Manuals Certificates of Approval Work Orders Tender Documents Conditions of Contract 	Common practice RGLA 8.5 RGLA 8.6
AI 2.11	Security Security and processes related with security of the council's property	Destroy 7 years after the conclusion of the process that the record supports.	Documentation held by Facilities Management	Common practice
AI 2.12	Usage statistics Any data held concerned with usage of Council land property	Destroy - 3 years after expiry of lease / agreement	Documentation held by occupier, if requested	Common practice
AI 2.13	Valuations Valuation documentation and statistics	Destroy - 6 years from end of financial year after disposal of property	Valuations on disposal	Common practice

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AI 3 Maintenance of Council Property				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 3.1	Maintenance Instruction manuals related to council property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Instruction manuals 	Common practice RGLA 7.27
AI 3.2	Planned maintenance Relating to the process of managing and undertaking planned maintenance of property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Cleaning • Painting • Garden maintenance 	Common practice RGLA 7.27
AI 3.3	Refurbishment Relating to the process of managing and undertaking planned renovations and development of property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Work orders • Tender documents • Conditions of contracts 	Common practice RGLA 8.7
AI 3.4	Responsive maintenance Relating to the process of managing and undertaking emergency maintenance of property	Destroy - 7 years after last action	<ul style="list-style-type: none"> • Cleaning • Painting • Garden maintenance 	Common practice RGLA 7.27

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AI 4 Information & Communication Technology				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 4.1	ICT Systems Management Computer Systems documentation	Destroy after 2 years	<ul style="list-style-type: none"> Release notes & associated implementation documents 	Common practice
AI 4.2	Project documentation for system(s) implementation	Destroy after 6 years	<ul style="list-style-type: none"> Implementation Plan Project initiation Document (PID) Project documentation & notes Software Licensing Agreements 	Common practice
AI 4.3	Technical data relating to Information & Communication infrastructure	Reviewable Destroy records as they become obsolete or are no longer required.	<ul style="list-style-type: none"> Supplier details 	Common practice
AI 4.4	Records of internet use	Delete 3 months (recurring 99 days as per system)		Common practice
AI 4.5	E-mail records	Destroy 6 years after date of email		Common practice

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AI 5 Transport Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 5.1	Transport Management - The process of managing allocation and maintenance of vehicles	Destroy 7 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Approvals as Drivers • Allocations & Authorisations for Vehicles • Maintenance 	RGLA 8.15
AI 5.2	Acquisition and disposal of vehicles through lease or purchase	Destroy 7 years after the disposal of the vehicle	<ul style="list-style-type: none"> • Leases • Contracts • Quotes • Approvals • Fleet Authorisation Numbers 	RGLA 8.14
AI 5.3	Recording vehicle usage	Destroy 3 years after the sale or disposal of the vehicle	<ul style="list-style-type: none"> • Vehicle Usage Reports 	RGLA 8.16
AI 5.4	Recording drivers usage	Destroy 7 years after closure	<ul style="list-style-type: none"> • Vehicle Log Book 	RGLA 8.17

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AI 6 Insurance				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 6.1	Policy Management The summary management of insurance arrangements	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Insurance Policies 	Statutory
AI 6.2	The process of insuring Local Authority Officers, property, vehicles and equipment against negligence, loss or damage	Destroy 6+1 years after the terms of the policy have expired	<ul style="list-style-type: none"> Insurance Register Correspondence 	Statutory
AI 6.3	The process of renewing insurance policies	Destroy 6+1 years after the insurance policy has been renewed	<ul style="list-style-type: none"> Insurance Policy Renewal Records Correspondence 	Statutory
AI 6.4	Claims Management The process that records insurance claims against the Local Authority or Local Authority Officers	Destroy 6+1 years after all obligations/entitlements are concluded (allowing for the claimant to reach 25 years of age)	<ul style="list-style-type: none"> Claims Records Correspondence 	Statutory

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AI 7 Health & Safety				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 7.1	Inspections and Assessments Process of inspecting equipment to ensure it is safe	Destroy 6 years from disposal of the equipment	<ul style="list-style-type: none"> Equipment Inspection Records 	Common practice
AI 7.2	Process of carrying out monitoring to ensure that a work process is safe	Keep for 21 years before considering destruction	<ul style="list-style-type: none"> Monitoring Results Inspection reports Maintenance records 	Common practice
AI 7.3	Process of monitoring of areas where employees and persons are likely to have become in contact with asbestos	SRP - Destroy 40 years from date of last entry	<ul style="list-style-type: none"> Property Asbestos Files Health Surveillance reports Medical records under Control of Asbestos at Work Regs. 	Statutory
AI 7.4	Process of monitoring of areas where employees and persons are likely to have come in contact with radiation	SRP – Retain until the person reaches 75 years of age but in any event for at least 50 years	<ul style="list-style-type: none"> Radon Monitoring Health Surveillance reports Medical reports under Ionising Radiations Regs. 1999 	Statutory
AI 7.5	Process to ensure safe systems of work	Retain until superseded or process ceases +1 year	<ul style="list-style-type: none"> Departmental Procedure Notes Method Statements 	Common practice
AI 7.6	Process to assess the level of risk	Destroy 3 years from last assessment	<ul style="list-style-type: none"> Risk Assessment 	Common practice
AI 7.7	Permits to work	Destroy 3 years from last action or expiry before considering destruction	<ul style="list-style-type: none"> Fire Safety Certificates First Aid Certificates 	Common practice
AI 7.8	Reporting of accidents	SRP – 3 years from the date of the last entry (or if the accident involves a child/young adult then until that person reaches age of 21 years).	<ul style="list-style-type: none"> Accident Books Accident records/reports 	Common practice

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AI 8 Emergency Planning				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
AI 8.1	Emergency Plan Process to develop the emergency / disaster plan for the local community	Destroy when plan superseded	<ul style="list-style-type: none"> Civil Emergency Plan Business Continuity Plan 	Common practice
AI 8.2	Process of recording the results of the test for emergency/disaster plan for the local community	Destroy 3 years after closure or until similar test is undertaken, whichever is the longest.	<ul style="list-style-type: none"> Exercise Orders Results of Exercise Action Plan 	Common practice
AI 8.3	Incident Monitoring Activities that report on all major incidents in the local community, whether the Emergency Plan has been invoked or not.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Longer-term consider transfer to Archive/Museum of local history.	<ul style="list-style-type: none"> Incident Log 	Common practice
AI 8.4	Activities that report on all minor incidents in the local community, whether the Emergency Plan has been invoked or not.	Destroy 7 years after closure	<ul style="list-style-type: none"> Exercise Orders Results of Exercise Action Plan 	Common practice

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General Public Services				
GPS1 Investigation & Licensing				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
GPS1.1	Enforcement, Certification and Prosecution Summary management systems that allow the monitoring and management of registration, certification and licenses registration requirements in summary form	Retain for as long as there is an administrative purpose	<ul style="list-style-type: none"> Public register HMO Licensing/Inspections Housing Act orders Private water supply Environmental permitting Nuisances 	Common practice
GPS1.2	The administration of applications, registration, certification and licenses in relation to Local Authorities' registration requirements	Destroy 2 years after registration or entitlement lapses	<ul style="list-style-type: none"> Applications for Animal Registration Applications for registration of a Business Premises Registers Certificates of Registration of Taxi Drivers Gaming Licensing 	Common practice
GPS1.3	The process involved in licensing sites for the holding or use of toxic or hazardous substances (including petroleum, agricultural chemical products or herbicides)	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded – 60 years after registration or entitlement lapses	<ul style="list-style-type: none"> Diesel Licenses Petroleum Licenses Health and Safety Licensing Hazardous Substances Contaminated Land Register/Pollution 	Statutory
GPS1.4	Notification The process of issuing notices to citizens with respect to particular responsibilities	Destroy 2 years after the matter is concluded	<ul style="list-style-type: none"> Fire Prevention Notices Fire Prevention Infringement Notices Objections to Notices Appeals Against Notices Registration of Premises Infringement Notices Animal Impounding Notices 	Common practice

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GPS1.5	Investigation, Inspection and Monitoring The process of investigation and monitoring where inspection is the Council's responsibility by law.	Destroy 7 years from last action	<ul style="list-style-type: none"> • Inspection records • Certificates of compliance 	Common practice
GPS1.6	Prosecution The process of prosecution or sanction of an individual or organisation for failing to comply with their legal responsibilities	Destroy 6 years from last action	<ul style="list-style-type: none"> • Prosecution / Sanction Files • FPN/PCN Files • Files relating to sanctions issued by CPOs (i.e. dog fouling, fly tipping, littering, etc.) 	Statutory

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GPS2 Cemeteries				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
GPS2.1	Cemeteries Summary management systems that record the location of burials, identity of deceased individuals	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> Register of Interments Cemetery Register Cemetery Plans Exhumation records 	Statute
GPS 2.2	The process of regulation of burials	Destroy 5 years after last action	<ul style="list-style-type: none"> Permits Applications Orders 	Common practice
GPS 2.3	Tributes Application, installation and maintenance of tributes (i.e. benches & plaques, etc.)	Destroy 5 years after last action* *Basic register of tributes kept permanently to assist informing those placing such tributes of any deterioration, damage, requirements to re-locate, etc.	<ul style="list-style-type: none"> Permits Applications Details of location, type, inscription 	Common practice
GPS3 Waste Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
GPS3.1	Waste Collection The process of arranging the collection or transportation of household waste	Destroy 2 years after last action taken	<ul style="list-style-type: none"> Abandoned Vehicles Bulky Waste Domestic Waste 	Common practice
GP3.2	The process of arranging the collection or transportation of controlled waste	Destroy 6 years after last action taken	<ul style="list-style-type: none"> Inspections, Weighbridge tickets Duty of Care 	Common practice

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GP3.3	The process of managing the Waste Transfer Site	Externally required returns – destroy after 6 years	<ul style="list-style-type: none"> • Environment Agency returns • Waste Data Flow returns • Household Waste & Recycling Statistics • Fly-tipping data 	Statutory
		Internally required records (as per EA Permit) – destroy after 2 years	<ul style="list-style-type: none"> • Accepted waste • Rejected waste • Despatched waste • Site diary 	Statutory

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Planning & Development				
PD1 Spatial Planning				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD1.1	Developing and producing Planning Policy documents setting out a vision, strategic direction and policy framework for the existing and future land use within the District.	Permanent Storage at MDC when plan superseded.	<ul style="list-style-type: none"> Local Development Plan Local Development Scheme Supplementary Planning Guidance. Background evidence to Plan preparations - research studies and surveys 	Town & Country Planning Act 1990
PD1.2	Public and stakeholder consultation to gain approval for Planning Policy documents	Permanent Electronic Storage at MDC Representations are often requested after the Plans have been adopted and are reference points for other planning inquiries and enquiries. Archive on website	<ul style="list-style-type: none"> Public Consultation Documents Public Consultation Representations Public Inquiry Documents – statements and evidence 	Town & Country Planning Act 1990
PD 1.3	Natural and built heritage listing The activity of recording information on specific sites/areas of special interest including historic buildings, monuments and ecology.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded.	<ul style="list-style-type: none"> Historic Listed Buildings Register Buildings at Risk Register Building Preservation Notices Conservation Area Designations - Appraisals and Plans Listed building records Sites and Monuments Records Archaeological Records Ecological Records Species Records Definitive maps 	Common practice RGLA 10.3

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PD2 Development Management				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD 2.1	Planning application registration & processing The process of controlling development of areas through applications for planning permission, prior approvals, listed building consent, advertisement consent, certificates of lawfulness and other such permissions	Transfer Planning Application register to Permanent Storage at MDC once the register has been completed (or at arranged intervals if it is held electronically). Scan all documentation.	<ul style="list-style-type: none"> Planning Application Register Planning Application Files and Plans Decision Notices Correspondence Relating to Any Objections S.106 agreements Article 4 Directions 	Common practice RGLA 10.6
PD 2.2	Application processing related to planning appeals including enforcement appeals and other such proceedings lodged with the Planning Inspectorate.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Scan all documentation.	<ul style="list-style-type: none"> Planning appeal files 	Limitations Act 1980
PD 2.3	Pre-Application Enquiries and consultation communication relating to matters within other authorities.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Scan all documentation.	<ul style="list-style-type: none"> Pre-application discussions and documents 	Common practice
PD 2.4	The process of enforcing planning, building or land regulations	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Scan all documentation.	<ul style="list-style-type: none"> Enforcement Notices Stop Notices Breach of Condition Notices Section 215 Notices 	Common practice

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PD 2.5	The process of protecting specific trees or a particular area, group or woodland, or hedges from deliberate damage or destruction.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Scan all documentation.	<ul style="list-style-type: none"> Tree Preservation Orders S.211 notices – work to trees in a Conservation Area Hedgerow Retention Notices 	Common practice RGLA 10.7
PD 2.6	The process of approving applications for grants to historic buildings	Destroy 5 years after administrative use concluded	<ul style="list-style-type: none"> 1962 Act Historic Buildings Grant applications and correspondence 	Common practice
PD3 Land Charges				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD 3.1	Producing an official Local Authority Search result & maintaining a statutory register The process of investigating any information held by the Council pertaining to a specific property or parcel of land.	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Scan all documentation.	<ul style="list-style-type: none"> Statutory register of Local Land Charges searches 	Land Charges Act 1975
PD 3.2	The retention of Local Authority search results and information provided by other departments and external organisations for verification purposes .	10 years retention of Electronic document Permanent retention of electronic data on TLC or relevant land charges system.	<ul style="list-style-type: none"> Copies of completed Local Land Charge searches 	Land Charges Act 1975

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PD4 Street Naming & Numbering				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD4.1	Street naming and numbering Documentation on the street naming development naming and property numbering/naming	Permanent Storage at MDC in either electronic or paper format	<ul style="list-style-type: none"> • Street Files • Street Records Requests for: <ul style="list-style-type: none"> • Naming of Streets • Numbering of Houses 	Common practice
PD5 Building Control				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD5.1	The process of regulating the planned use of land or buildings and inspecting building work to ensure compliance	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building Control Registers • Building Regulation Full Plans • Building Notices • Inspection Reports 	Building Act 1984 & Building Regulations 2000
PD5.2	The process of approving Building Control applications in relation to Listed Buildings	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded	<ul style="list-style-type: none"> • Building Files • Plans • Specifications • Correspondence • Applications • Permits • Certificates 	Building Act 1984 & Building Regulations 2000 RGLA 10.10

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PD5.3	The process of approving Building Control applications for all other buildings	These can be destroyed 15 years after construction completed, but our policy will be to retain for the time being to enable historic information to be provided and to consider the extent of scanning of all historic files to be scanned on the Document Management System (Comino) before they are destroyed. Note retention of pre-1974 files held by MDC as these include Planning Application records which require permanent storage .	<ul style="list-style-type: none"> • Building Files • Plans • Specifications • Correspondence • Applications • Permits • Certificates 	Building Act 1984 & Building Regulations 2000 RGLA 10.11 & 10.12
PD5.4	The process of inspecting building work for the purpose of ensuring compliance	Destroy 15 years after the issue of a completion certificate	<ul style="list-style-type: none"> • Completion Certificate • Building Inspection Records 	Building Act 1984 & Building Regulations 2000
PD6 Economic Development & Promotion				
Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
PD6.1	Advice to business Information on providing advice to new and existing businesses	Destroy – 7 years after scheme to which information relates is completed	<ul style="list-style-type: none"> • Promotional leaflets • Correspondence 	Common practice
PD6.2	Business awards Information regarding business awards and grants	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Nomination forms • Promotional literature • Grant award material 	Common practice
PD6.3	Business development Information about activities designed to develop and encourage business development. Including externally	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Business associations • Business Fairs 	Common practice

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	funded projects and sustainability			
PD6.4	Business development Information about activities designed to develop and encourage business development. Including externally funded projects and sustainability	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Business associations • Business Fairs 	Common practice
PD6.5	Regional Development Participation in sub/ regional regeneration developments and forums	Destroy – 7 years after scheme to which grant relates is completed	<ul style="list-style-type: none"> • Project files • Forum agendas, papers and minutes 	Common practice
PD6.6	Business Intelligence The collection and management of economic and social data about the District	Destroy 20 years after the material is collected	<ul style="list-style-type: none"> • Socio economic data • Business surveys, responses & analysis 	Common practice

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Safeguarding Children & Vulnerable Adults

S1
Safeguarding Children & Vulnerable Adults

Ref. No	Function Description	Retention Action / Retention Period	Examples of Records	Statutory Retention Period or Common practice
S1.1	Safeguarding children & vulnerable adults The process of protecting children and vulnerable adult's health, wellbeing and human rights, and enabling them to live free from harm, abuse and neglect.	100yrs from date of birth.		Good practice
S1.2	Welfare concerns that are referred to Social Care or the Police. E.g. this would include concerns about physical, sexual, emotional or neglect of a child or physical, sexual, emotional, neglect, institutional, financial or discriminatory of a vulnerable adult, disclosures from a child or vulnerable adult about being abused or information from a third party which might suggest a child or vulnerable adult is being abused; concerns about a parent or another adult that uses our services, or a young person who has been abused by another young person.	Records should be kept for 6 years after the last contact with the service user unless longer retention is required to comply with any other statutory requirements, information contained therein is relevant to legal action which has been started, are archived for historical purposes, consist of a sample of records maintained for the purpose of retrospective comparison, involve the transfer of significant information with subject identification, on to aggregated files, relate to individuals and providers of services who have or whose staff have been judged to be unsatisfactory, or are held in order to provide the subject aspects of his or her personal history.		Good practice
S1.3	Welfare concerns that Community Services decide, after consultation, do not necessitate a referral to Social Care or the Police. In such circumstances a record should be made of the concern and the outcome.	Destroy the record 6 years after the child/vulnerable adult concerned ceases to use the service, unless the child or adult are continuing to use the services in the area that the referral initiated from.		Good practice

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S1.4	<p>Concerns about people (paid and unpaid) who work with children, young people or vulnerable adults, for example, allegations, convictions, disciplinary action, inappropriate behaviour towards or vulnerable adults.</p> <p>E.g. where an employee has breached the code of conduct, a record of the behaviour, the action taken and outcome should be recorded.</p>	<p>Personnel files and training records (including disciplinary records and working time records) - retain for 6 years after employment ceases.</p> <p>However the records should be retained for a longer period if any of the following apply:</p> <ul style="list-style-type: none"> • There were concerns about the behaviour of an employee where s/he behaved in a way that has harmed, or may have harmed, a child or vulnerable adult; • The employee possibly committed a criminal offence against, or related to, a child or vulnerable adult; • The employee behaved towards a child or vulnerable adult in a way that indicates s/he is unsuitable to work with children or vulnerable adults <p>In such circumstances records should be retained at least until the employee reaches normal retirement age, or for 10 years if that is longer.</p>	<ul style="list-style-type: none"> • Personnel files and training records (including disciplinary records and working time records). 	Statutory
S1.5	<p>Disclosure and Barring Service checks obtained as part of the vetting process.</p>	<p>The actual disclosure form must be destroyed after 6 months. However, it is advisable that organisations keep a record of the date of the check, the reference number, the decision about vetting and the outcome.</p>		Statutory

2018 Maldon District Council Document Retention Schedule

Version History

[illegible]

Document Control Sheet

Document title	Whistleblowing Policy and Procedure
Summary of purpose	The purpose of this policy and procedure is to provide information and guidance for employees and workers on how to disclose malpractice. The policy and procedure provides a guide for employees on all aspects of the process.
Prepared by	Stuart Jennings
Status	Draft
Version number	1
Approved by	The Finance and Corporate Services Committee – Full Council
Approval date	
Date of implementation	Immediate
Review frequency	
Next review date	
Circulation	All staff
Published on the Council's website	

MALDON DISTRICT COUNCIL

Draft revised Whistle blowing policy and procedure

Policy statement and organisational aim

- ✓ Maldon District Council is committed to the provision of the highest quality services for the benefit of the local community and to full accountability for those services.
- ✓ The Council has set in place rules, regulations, quality standards and procedures to ensure that the highest standards of conduct and commitment to service are observed. While the Council expects all staff to maintain the highest possible standard of conduct it recognises that any organisation faces the risk of unknowingly harbouring unethical, illegal or bad practice.
- ✓ The Council is not prepared to tolerate any malpractice in the performance and delivery of its services and will treat any complaints very seriously.
- ✓ The Council encourages, and will be supportive of all individuals to raise concerns and disclose information about the conduct of others in the business or the way in which the business is run.
- ✓ The whistle-blower's identity will, so far as is possible, be kept confidential.
- ✓ No individual should fear any form of reprisal from disclosing wrongdoing within the organisation whether proved founded or unfounded. Any employee who, in good faith, makes allegations that turn out to be unfounded will not be penalised for being genuinely mistaken.
- ✓ The Council believes that the greatest deterrent to wrong doing is the belief that complaints and disclosures will be investigated vigorously, the person(s) responsible dealt with, and the matter promptly remedied.

1 What is whistle blowing?

Whistle blowing is a name used to describe the disclosure of information that has a tendency to show that wrongdoing or malpractice is taking place.

There is UK legislation (The Public Interest Disclosures Act 1998) that protects workers from experiencing victimisation when they make these types of disclosures; this is provided that the disclosure made falls within the legal definition of a 'protected disclosures'.

2 What does this policy/procedure apply to and who can use it?

This policy applies to anything illegal, improper, unethical or wrong that is done by:

- officers
- Councillors
- co-opted committee members
- anyone representing the Council

- partner organisations
- contractors, consultants or other suppliers.

Examples would include a criminal offence, fraud or corruption, damage to the environment, safeguarding concerns, negligence, theft or misuse of public money or failure to follow the Council's finance, contract or other rules.

In practice this will cover matters such as unauthorised use of public funds; unauthorised disclosure of confidential information; physical and sexual abuse; health and safety risks to both staff and members of the public; and the acceptance of bribes. However, these are only examples of the types of conduct that are likely to fall within the relevant types of wrong doing, and this is not an exhaustive list.

Whilst it is important that all members of staff are aware of the scope of the whistleblowing legislation, and the protection it provides, the aim of this policy is to address wrongdoing and malpractice of any kind within the Council, but should not be used to raise standard employment or line management matters by way of grievance.

The Council has other policies and procedures, for example on recruitment and selection, discipline, grievances, bullying and harassment and diversity. In addition, reference should be made to the Council's Member / Officer Relations Protocol to discuss areas of concern, differences or complaints with regard to Member and Officer relationships. The whistleblowing policy should only be used when other policies are inappropriate.

This policy / procedure is essentially for Council officers whether they be full or part-time employees, secondees, casual workers or volunteers, or contractors. Whilst the legislation only offers protection for workers, the Council will ensure that anyone who discloses potential malpractice by the Council is not victimised and can make their concerns known anonymously if they wish. This protection is therefore extended to:

- Councillors;
- Those working for a person, firm or organisation supplying goods or services to the Council;
- Those working for organisations with which we have partnered; and
- Members of the public.

Members of the public can use the Council's complaints procedure or complain to the local government ombudsman having exhausted the Council's internal complaints procedure.

3 Purpose of whistle blowing policy

Officers with serious concerns about any of the Council's work or activities are expected to blow the whistle. This policy:

- encourages officers to blow the whistle within the Council rather than say nothing or take their concerns elsewhere
- protects whistle blowers from reprisals as long as they have acted honestly and in the public interest
- provides a procedure for whistle blowing

- ensures whistle blowers get a response
- gives advice on what to do if the response is not good enough.

4 Protecting the identity of whistle blowers

The Council cannot guarantee to protect the identity of whistle blowers as it may, during an investigation, have to say where it got its information from and disclose the original complaint. The whistle blower may also have to act as a witness in any subsequent hearing.

5 How will the Council protect whistle blowers?

The Council will protect whistle blowers from reprisals as long as they had a reasonable belief that the allegations were true and made them in good faith. Reprisals will be treated seriously as a disciplinary offence and dealt with through the disciplinary procedure. Where workers blow the whistle but do not cite the policy they will still be protected under it.

The Council will try to minimise any difficulties resulting from whistle blowing. For example, it will advise whistle blowers about the procedure if they have to act as witnesses.

6 Anonymous allegations

This policy encourages workers to put their names to allegations but the Council may investigate allegations made anonymously. In deciding whether to investigate an anonymous allegation, the Council will consider how serious it is, whether it is believable and whether evidence can be obtained from a non-anonymous source.

7 Untrue allegations

Workers will not suffer reprisals for making allegations that turn out to be untrue, as long as they had a reasonable belief that the allegations were true and made them in the public interest. Allegations that are made without a reasonable belief as to their truth or not made in the public interest are likely to be treated as a disciplinary offence and dealt with through the disciplinary procedure.

8 Role of trade unions and professional associations

Workers can raise concerns themselves or ask their trade union or professional association to act on their behalf. Whistle blowers can bring a trade union or professional association representative or a friend with them to meetings.

9 How do workers blow the whistle?

(a) Saying that the whistle blowing procedure is being used

The whistle blower should wherever possible make it clear from the start that they want to use the whistle blowing procedure.

(b) Putting concerns in writing

Whistle blowers should wherever possible put their concerns in writing, giving as much detail and including relevant dates. Whistle blowers are not expected to prove that their allegations are true but they need to show that there are reasons for raising

their concern and it was made in the public interest. If a whistle blower does not feel they can put their concerns in writing, they can be interviewed instead – see 10(c).

(c) Who should whistle blowers go to with their allegations?

Whistle blowers may wish to discuss their concerns with their line manager or head of service but there is no obligation to do so. The preferred option is for all whistleblowing reports to be made directly to the Legal and Democratic Services Manager who is the Officer responsible for this process. If the whistle blower is uncomfortable with this, then a report can be made to the Chief Executive, a Director who is not the whistle blower's head of service, the Monitoring Officer (or Deputy), or the Head of Financial Services / Section 151 (S151) Officer.

If the whistle blower suspects fraud or corruption and has a concern that raising this with a member of staff may 'tip-off' relevant individuals they can also go direct to the Council's internal auditors (currently BDO) or to the Council's appointed external auditors (currently Ernst and Young).

10 How will the Council respond to whistle blowing?

(a) Notification of allegation

Upon receipt of an allegation under this policy the person receiving the allegation must immediately notify the Legal and Democratic Services Manager.

Once received an initial assessment will be undertaken to determine what action needs to be taken. This may involve either an internal inquiry, or a more formal investigation. The whistle blower will be advised of who will be handling the matter, how they can be contacted, and whether any further assistance may be needed. If requested, a summary of the concerns raised and how the matter is proposed to be handled will be provided. The aim will be to do this within 5 working days.

A whistle blower may be asked how they think the matter might best be resolved. Whistle blowers are urged to make clear any personal interest they have in the matter.

(b) Appointment of an officer to investigate

The person receiving the complaint will decide, in consultation with any of the Officers referred to in paragraph 9(c) above as required how (unless the allegation relates to one or more of them) the allegation will be investigated and write to the whistle blower within ten working days. The letter should:

- acknowledge that the whistle blower has used the whistle blowing policy
- say how their concern will be dealt with and how long they think this will take
- tell them whether any initial enquiries have been made
- say what further action will be taken (or say why no further action will be taken)
- tell them they have the right to bring someone with them to any meetings they have to attend about the allegation.

(c) Interviews

If the whistle blower has not put their concerns in writing, they may be interviewed. A summary of the interview will be made which should be signed by the person conducting the interview and the whistle blower.

(d) Further action

After preliminary investigation the Council will take further action if the investigation officer decides that it would be in the public interest to do so. Further action may include:

- Arranging an investigation by management or internal auditors
- Arranging a disciplinary process
- Referring allegations to the police
- Referring allegations to the external auditor
- Arranging an independent inquiry if the allegations are very serious or complicated

(e) Response to whistle blowers at the end of the investigation

If the law allows, the Council will tell the whistle blower the outcome of any investigation within 10 working days of it ending.

(f) Support

Whistle blowers are encouraged to obtain support and advice that may include their trade union representative or HR team contact, any designated representatives for bullying and harassment or the charity Public Concern at Work, the whistleblowing charity, which provides a confidential independent [helpline](#) for whistle blowers –

Public Concern at Work
(Independent whistleblowing charity)
Helpline: (020) 7404 6609
E-mail: whistle@pcaw.co.uk
Website: www.pcaw.co.uk

11 Taking concerns further

If a worker has sought advice and feels it is right to raise their concerns outside the Council, people they could approach include their local Council, their local councillor, the external auditor, the health and safety executive, a government department, a solicitor, the police, an MP or a relevant professional body or regulatory organisation.

If a worker does raise their concerns outside the Council, they must do it without passing on confidential information. The Legal and Democratic Services Officer/Monitoring Officer can give advice on this.

12 Monitoring and reporting

The Director of Resources will report to the Finance and Corporate Services Committee on the number (if any) of whistle blowing complaints made as part of the Council's anti-fraud and corruption awareness framework.

13 Responsibility for this policy

The Legal and Democratic Services Manager has overall responsibility for this policy and how it is used and how the policy is working.

Updated draft – November 2017

Approved and adopted by Council -


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CAPITAL PROJECT SUMMARY SHEET							
Appendix Ref.	Service Team	Title of the proposal	Full Description of the proposal	2018 / 19 £	2019 / 20 £	2020 / 21 £	Estimate / Quote
B1	Community and living	Replacement of Car Park Ticket Machines	New Car Park Machine, Promenade Park, Maldon Town Centre	115,000			Quote
B2	Community and living	Replacing CCTV cameras	CCTV for Burnham on Crouch Riverside, Brickhouse Farm Community Centre and West Maldon Community Centre	30,000			Quote
B3	Community and living	New Community Protection Van	New Community Protection Van	12,000			Quote
B4	Leisure, Countryside and Tourism	Replacement Active Water Features, Splash Park, Prom Park	New heads for Splash Park to keep facility fresh	10,000	10,000	10,000	Quotes
B5	Leisure, Countryside and Tourism	Commemoration of the Fallen from the Maldon District	Commemoration of the Fallen from the Maldon District	50,000			Estimate
B6	I.T Services	PC, printer and server replacement	To replace obsolete IT equipment that is (a) failed and beyond economic repair or (b) that is of a critical nature where maintenance is not available but equipment failure could lead to a service failure or (c) will not function with essential new software.	45,000			Estimate
TOTAL				262,000	10,000	10,000	

CAPITAL PROJECT SHEET

Please note that this capital project sheet will be appended to the relevant Committee Report in the November cycle, therefore everything you put in the form will be shown in the public domain.

Project Name & Location <i>(Enter a meaningful title for the project and provide details of the location of the project)</i>	Replacement of Car Park Ticket Machines
Project Category <ul style="list-style-type: none"> • Essential (E) • Service failure (SF) • Service improvement (SI) 	Service Failure
Project Lead Officer	Karen Bomford
Project Description <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	<p>The existing car park ticketing machines are very old and frequently have coin jams resulting in a high level of customer dissatisfaction and complaints. Additionally because the current machines are so old the card reading facility on them will be obsolete on 1st July 2018 as it will no longer conform to PCI DSS 3.1, this will result in the machines being unable to take credit or debit card payment. This proposal is to replace existing ticket machines in all the councils off street car parks with new machines that can take more modern forms of payment, which customers now expect, such as contactless. this will improve reliability, and consequently revenue to MDC, reduce officer time in emptying the machines, increase customer satisfaction and reduce the amount of time spent on dealing with complaints! The new machines would still have the ability to take credit or debit cards and coins. There are 23 machines which need replacing. The revenue from the machines is over £1m per annum. If the Capital project is not approved a revenue growth bid of £23k will be required to update the software on the currents machines.</p>
Project Start Date <i>(Month and year)</i>	Apr-18
Project Completion Date <i>(Month and year)</i>	Sep-18
Resource Implications <i>(Identify what resources are needed (i.e. staff time, contractor resources))</i>	Staff time for procurement process. Contractor to undertake works. Staff time to check works.

<p>Picture <i>(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))</i></p>	
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	Capital Expense	Revenue Implications		External Funding	
		One-off	On-going	Amount	Source
	£	£	£	£	
2017/18					
2018/19	115,000	*-23,000			
2019/20					
2020/21					
TOTAL	115,000	-23,000	0	0	0

No additional revenue budget required for this project

***Revenue growth budget bid of £23,000 not required if this is approved.**

<p>Describe links to Corporate Goals <i>Corporate goals:</i> 1) Helping communities to be safe, active and healthy 2) Protecting and shaping the District Creating opportunities for economic growth and prosperity 4) Delivering good quality, cost effective and valued services 5) Focusing on key projects</p>	<p>This project links to the corporate goal of delivering good quality cost effective and valued services.</p>
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<p>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc.)</p>	<p>No</p>
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<p>Are there Health & Safety implications? If so, please state</p>	<p>no</p>
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<p>Is this part of a statutory obligation? If so, state how</p>	<p>no</p>
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<p>Is the project contractually committed in any way? If so, please describe</p>	<p>no</p>
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Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details	no
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CAPITAL PROJECT SHEET

Please note that this capital project sheet will be appended to the relevant Committee Report in the November cycle, therefore everything you put in the form will be shown in the public domain.

Project Name & Location <i>(Enter a meaningful title for the project and provide details of the location of the project)</i>	Replacing CCTV cameras (at Burnham on Crouch Riverside, Brick House Farm Community Centre and West Maldon Community Centre)
Project Category • Essential (E) • Service failure (SF) • Service improvement (SI)	Service Failure
Project Lead Officer	Spencer Clarke & Adrian Rayner
Project Description <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	Replace existing outdated camera recorders with new network recorders which will be wirelessly connected and so can be remotely viewed and monitored. This will have the additional benefit of a saving of officer time having to visit the site to view the footage. These will be high definition in low light facility resulting in better images. As the cameras are new there would be a reduction in revenue costs for maintenance. The priority of replacement is BOC Riverside first Burnham: 3 No PTZ cameras @ £1,500 each, 4 No static cameras @ £250 each, 3 No wireless links @£400 each, 1 No FLIR Meridian Server with 6TB storage @ £4,895, installation and commissioning £1,575 (three days) – this totals £13,170, then Brickhouse 8 No static cameras @ £250 each, 1 No FLIR Meridian Server with 6TB storage @ £4,895, installation and commissioning £1,750 (two days) this totals £8,645 and West Maldon Community Centres 9 No static cameras @ £250 each, 1 No FLIR Meridian Server with 6TB storage @ £4,895, installation and commissioning £1,050 (two days) – this totals £8,195. Total cost will be £30,010
Project Start Date <i>(Month and year)</i>	Apr-18
Project Completion Date <i>(Month and year)</i>	Sep-18

Resource Implications <i>(Identify what resources are needed (i.e. staff time, contractor resources))</i>		Staff time for procurement process. Contractor to supply and install.			
Picture <i>(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))</i>					
	Capital Expense	Revenue Implications		External Funding	
	£	One-off £	On-going £	Amount £	Source
2018/19	30,000		-5,000		
2019/20					
2020/21					
TOTAL	30,000	0	-5,000	0	0
Savings to be identified in Revenue budgets for Equipment Maintenance					


CAPITAL PROJECT SHEET

Describe links to Corporate Goals <i>Corporate goals:</i> 1) Helping communities to be safe, active and healthy 2) Protecting and shaping the District Creating opportunities for economic growth and prosperity 4) Delivering good quality, cost effective and valued services 5) Focusing on key projects	This project links directly to the corporate goal of Helping communities to be safe active and healthy.
Are any statutory consents required as part of this project? If so, please state <i>(i.e. planning consent, MMO licence etc.)</i>	Whilst cctv is not a statutory requirement MDC does have a statutory function under Section 17 of the Crime and Disorder Act 1998 to prevent such activities. The cameras will contribute to this.
Are there Health & Safety implications? If so, please state	Yes the cameras will contribute to the safety of the residents of the district.

Is this part of a statutory obligation? If so, state how	no
Is the project contractually committed in any way? If so, please describe	no
Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details	no

CAPITAL PROJECT SHEET

Please note that this capital project sheet will be appended to the relevant Committee Report in the November cycle, therefore everything you put in the form will be shown in the public domain.

Project Name & Location <i>(Enter a meaningful title for the project and provide details of the location of the project)</i>	New Community Protection Van
Project Category <ul style="list-style-type: none"> Essential (E) Service failure (SF) Service improvement (SI) 	Service improvement
Project Lead Officer	Adrian Rayner
Project Description <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	To replace the existing vehicle with a more suitable vehicle to carry out our duties. The old vehicle is eight years old and is used 7 days per week and has now started to develop reliability issues. With the nature of our role we desperately need a vehicle that we can depend on.
Project Start Date <i>(Month and year)</i>	Apr-18
Project Completion Date <i>(Month and year)</i>	Jun-18
Resource Implications <i>(Identify what resources are needed (i.e. staff time, contractor resources, maintenance costs))</i>	Staff time for procurement process.
Picture <i>(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))</i>	

	Capital Expense	Revenue Implications		External Funding	
		One-off	On-going	Amount	Source of costs
	£	£	£	£	
2018/19	12,000				
2019/20					
2020/21					
2021/22					
TOTAL	12,000	0	0	0	0
No new revenue budgets required, budgets for current vehicle will be transferred					


CAPITAL PROJECT SHEET

<p>Describe links to Corporate Goals</p> <p><i>Corporate goals:</i></p> <p>1) <i>Strengthening communities to be safe, active and healthy</i></p> <p>2) <i>Protecting and shaping the District</i></p> <p>3) <i>Creating opportunities for economic growth and prosperity</i></p> <p>4) <i>Delivering good quality, cost effective and valued services</i></p>	<p>Links to the corporate goals of Strengthening communities to be safe, active and healthy and Delivering good quality, cost effective and valued services.</p>
<p>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</p>	<p>No</p>
<p>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc)</p>	<p>No</p>
<p>Are there Health & Safety implications? If so, please state</p>	<p>None</p>

Is this part of a statutory obligation? If so, state how	
Is the project contractually committed to in any way? If so, please describe	No
Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details	

CAPITAL PROJECT SHEET

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Project Name & Location <i>(Enter a meaningful title for the project and provide details of the location of the project)</i>	Replacement Active water Features, Splash Park, Prom Park
Project Category • Essential (E) • Service failure (SF) • Service improvement (SI)	Service Improvement
Project Lead Officer	Steve Krolzig
Project Description <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	This three year project will see the replacement of Active Water Features first installed in 2006. It is essential the splash park remains and attraction for visitors to maintain summer repeat customers. At the end of the three years all of the equipment will be replaced and will coincide with a new surface (separate bid (19/20))
Project Start Date <i>(Month and year)</i>	Apr-18
Project Completion Date <i>(Month and year)</i>	Apr-18
Resource Implications <i>(Identify what resources are needed (i.e. staff time, contractor resources, maintenance costs))</i>	None, price includes delivery and fitting
Picture <i>(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))</i>	<div style="text-align: center;">  </div>

	Capital Expense	Revenue Implications		External Funding	
		One-off	On-going	Amount	Source of costs
	£	£	£	£	
2018/19	10,000				
2019/20	10,000				
2020/21	10,000				
2021/22					
TOTAL	30,000	0	0	0	0

**Revenue Budget of £27k used for Commissioning and De-commissioning and
general maintenance of Splash Park**

CAPITAL PROJECT SHEET

<p>Describe links to Corporate Goals</p> <p><i>Corporate goals:</i></p> <p>1) <i>Strengthening communities to be safe, active and healthy</i></p> <p>2) <i>Protecting and shaping the District</i></p> <p>3) <i>Creating opportunities for economic growth and prosperity</i></p> <p>4) <i>Delivering good quality, cost effective and valued services</i></p>	<p align="center">Delivering good quality cost effective services</p>
<p>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</p>	<p align="center">None identified</p>
<p>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc)</p>	<p align="center">None</p>
<p>Are there Health & Safety implications? If so, please state</p>	<p align="center">None</p>
<p>Is this part of a statutory obligation? If so, state how</p>	<p align="center">No</p>

Is the project contractually committed to in any way? If so, please describe	No
Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details	Links to 19/20 surfacing bid

CAPITAL PROJECT SHEET

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Project Name & Location <i>(Enter a meaningful title for the project and provide details of the location of the project)</i>	Commemoration of the Fallen from the Maldon District
Project Category <ul style="list-style-type: none"> • Essential (E) • Service failure (SF) • Service improvement (SI) 	Service Improvement
Project Lead Officer	Richard Holmes
Project Description <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	<p>To coincide with the commemoration of the end of the First World War a project is planned to mark the occasion by installing a sculpture and map dedicated to all the fallen from the district in past conflicts. The location of all official war graves will also be marked. The project will also see the reinstatement of all name plates associated with trees planted in both the first and second war avenues of remembrance at Promenade Park. The project aims to honour those lost in conflict from within the Maldon District and reflects upon the mood of the nation at the end of the First World War when many trees were planted.</p>
Project Start Date <i>(Month and year)</i>	Feb-18
Project Completion Date <i>(Month and year)</i>	Nov-18
Resource Implications <i>(Identify what resources are needed (i.e. staff time, contractor resources, maintenance costs))</i>	<p>Designs for the various elements will need to be procured and a sculpture commissioned. All name plates will need to be manufactured and installed ready for 11 November 18.</p>

Picture *(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))*

	Capital Expense	Revenue Implications		External Funding	
		One-off	On-going	Amount	Source of costs
	£	£	£	£	
2018/19	50,000		100		
2019/20					
2020/21					
2021/22					
TOTAL	50,000	0	100	0	0

CAPITAL PROJECT SHEET

<p>Describe links to Corporate Goals</p> <p><i>Corporate goals:</i></p> <p>1) <i>Strengthening communities to be safe, active and healthy</i></p> <p>2) <i>Protecting and shaping the District</i></p> <p>3) <i>Creating opportunities for economic growth and prosperity</i></p> <p>4) <i>Delivering good quality, cost effective and valued services</i></p>	<p style="text-align: center;">Protecting and shaping the district</p>
<p>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</p>	<p>The timeframe for delivery is short from the confirmation of funding is available necessitating some pre work which may be abortive if the project does not get approval</p>
<p>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc.)</p>	<p>This will be investigated but the works are expected to fall within permitted development</p>
<p>Are there Health & Safety implications? If so, please state</p>	<p style="text-align: center;">no</p>
<p>Is this part of a statutory obligation? If so, state how</p>	<p style="text-align: center;">no</p>

Is the project contractually committed to in any way? If so, please describe	no
Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details	None



Nov 7

CAPITAL PROJECT SHEET

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Project Name & Location <i>(Enter a meaningful title for the project and provide details of the location of the project)</i>	PC, printer and server replacement
Project Category <ul style="list-style-type: none"> • Essential (E) • Service failure (SF) • Service improvement (SI) 	Essential
Project Lead Officer	Simon Mitchell
Project Description <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	To replace obsolete IT equipment that is (a) failed and beyond economic repair or (b) that is of a critical nature where maintenance is not available but equipment failure could lead to a service failure or (c) will not function with essential new software.
Project Start Date <i>(Month and year)</i>	Apr-18
Project Completion Date <i>(Month and year)</i>	Mar-19
Resource Implications <i>(Identify what resources are needed (i.e. staff time, contractor resources, maintenance costs))</i>	Procurement of hardware, configuration and installation by IT Team Members
Picture <i>(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))</i>	

	Capital Expense	Revenue Implications		External Funding	
		One-off	On-going	Amount	Source of costs
	£	£	£	£	
2018/19	45,000				
2019/20					
2020/21					
2021/22					
TOTAL	45,000	0	0	0	0

CAPITAL PROJECT SHEET

<p>Describe links to Corporate Goals</p> <p><i>Corporate goals:</i></p> <p>1) Strengthening communities to be safe, active and healthy</p> <p>2) Protecting and shaping the District</p> <p>3) Creating opportunities for economic growth and prosperity</p> <p>4) Delivering good quality, cost effective and valued services</p>	<p>Delivering good quality, cost effective and valued services - all services across the Council depend on the use of reliable and efficient IT equipment. Replacement of older equipment is essential to ensure that services can operate effectively.</p> <p>Protecting and shaping the District - new equipment is more energy efficient and has a lower environmental impact. Old equipment is recycled.</p>
<p>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</p>	<p>None</p>
<p>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc)</p>	<p>None</p>
<p>Are there Health & Safety implications? If so, please state</p>	<p>None</p>

Is this part of a statutory obligation? If so, state how	No
Is the project contractually committed to in any way? If so, please describe	No
Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details	Ongoing requirement to deliver all services.

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Capital Programme 2017 / 18 - 2021 / 22					
Project Title	Original	Revised	Requested	Forecast	Forecast
	2017 / 18	2017 / 18	2018 / 19	2019 / 20	2020 / 21
	£000	£000	£000	£000	£000
Council Offices site					
St Cedds Shared Accomodation		9			
Windows Replacement					
Vehicle & Plant Replacement					
Parks Vehicle - Rolling replacement programme	22	42		22	22
New Rangers Vehicle			12		
Maintenance Team Vehicle	30	30			
Information & Communication Technology					
PC and Printer Replacement Programme	35	35	45	35	35
Telephony Review/ Upgrade			5		
IT project officer - One Fixed term post to assist with the rollout of a number of key IT capital projects such as Share point)	50				
E-Mail replacement - Upgrade of Exchange and Enterprise Vault	60	60			
Maldon Promenade					
CCTV Upgrade Prom		9			
Tip Road Resurfacing (match funding)			80		
New Service and splash Park kiosk					
Prom Park Road Repairs	55	55			
Prom Park Road Repairs		50			
Bollard Lighting Promenade Park Footpaths					
Entrance Refurbishments		10			
Winter Car Parking Prom		10			
All weather Car Parking improvements	60	60			
New accessible play site	48	0	48		
Ampitheatre Fencing	10				
Prom Depot Electronic Gates		15			
Splash Park new elements			10	10	10
Commemoration of the Fallen from the Maldon District			50		
Leisure & Sports Centres					
Leisure Centres Planned Maintenance Programme		31			
Leisure Contract Capital Contribution		117			
Unisex Disable Changing room		16			

Project Title	Original	Revised	Requested	Forecast	Forecast
	2017 / 18	2017 / 18	2018 / 19	2019 / 20	2020 / 21
	£000	£000	£000	£000	£000
Parks & open Spaces					
Riverside Park footpaths		9			
Riverside Park Information boards and signage		20			
Riverside Park skate park area final section					
Sea Wall path resurfacing Riverside Park		11			
Playsite Resurfacing - St Georges Field and West Maldon Community Centre					
Riverside Park depot screening	40				
Mobile Welfare facility trailer	15	15			
CCTV Burnham, Brickhouse Farm & West Maldon Community Centre			30		
Housing					
Mandatory Disabled Facilities Grants	420	460	420	420	420
Cemeteries					
Burnham Cemetery Roadway		57			
Heybridge Cemetery Chapel Roof	25	1	24		
Rivers					
Coastal & Communities match funding		18			
Car Parks					
Phase 2 CCTV upgrades and new equipment - Maldon High Street & Car Park System Upgrade		30			
New Car Park signage (Town & Prom)	14	14			
Car Park Machines Prom and Maldon Town Centre			115		
Environmental Waste					
Purchase of Bins		69			
Elections					
Replacement of Polling booths	25	25			
Facilities and Asset Management					
99 Wood Road Refurbishment	40	70			

APPENDIX 5

PLANNING AND REGULATORY SERVICES	Charge	VAT	2018/19	2017/18
	£	£	£	£
GAMBLING ACT 2005				
Annual Fee				
Adult Gaming Centre	867.00	-	867.00	650.00
Betting premises (other)	520.00	-	520.00	390.00
Betting Premises (track)	867.00	-	867.00	650.00
Bingo premises	867.00	-	867.00	650.00
Casino premises (converted)	2,600.00	-	2,600.00	1,950.00
Casino premises (large)	8,667.00	-	8,667.00	6,500.00
Casino premises (regional)	13,000.00	-	13,000.00	9,750.00
Casino premises (small)	4,333.00	-	4,333.00	3,250.00
Family entertainment centre	653.00	-	653.00	490.00
Application Fees for Premises and Application for Provisional Statements				
Adult gaming centre	1,733.00	-	1,733.00	1,300.00
Betting premises (other)	2,600.00	-	2,600.00	1,950.00
Betting premises (track)	2,167.00	-	2,167.00	1,625.00
Bingo premises	3,033.00	-	3,033.00	2,275.00
Casino premises (large)	8,667.00	-	8,667.00	6,500.00
Casino premises (regional)	13,000.00	-	13,000.00	9,750.00
Casino premises (small)	6,933.00	-	6,933.00	5,200.00
Family entertainment centre	1,733.00	-	1,733.00	1,300.00
Application Fee for Premises with Provisional Statement				
Adult gaming centre	1,040.00	-	1,040.00	780.00
Betting premises (other)	1,040.00	-	1,040.00	780.00
Betting premises (track)	827.00	-	827.00	620.00
Bingo premises	1,040.00	-	1,040.00	780.00
Casino premises (large)	4,333.00	-	4,333.00	3,250.00
Casino premises (regional)	6,933.00	-	6,933.00	5,200.00
Casino premises (small)	2,600.00	-	2,600.00	1,950.00
Family entertainment centre	827.00	-	827.00	620.00
Transfer / Reinstatement of Licence				
Adult gaming centre	1,040.00	-	1,040.00	780.00
Betting premises (other)	1,040.00	-	1,040.00	780.00
Betting premises (track)	827.00	-	827.00	620.00
Bingo premises	1,040.00	-	1,040.00	780.00
Casino premises (converted)	1,171.00	-	1,171.00	878.00
Casino premises (large)	1,867.00	-	1,867.00	1,400.00
Casino premises (regional)	5,633.00	-	5,633.00	4,225.00
Casino premises (small)	1,560.00	-	1,560.00	1,170.00
Family entertainment centre	827.00	-	827.00	620.00
Variation Fee				
Adult gaming centre	867.00	-	867.00	650.00
Betting premises (other)	1,300.00	-	1,300.00	975.00
Betting premises (track)	1,087.00	-	1,087.00	815.00
Bingo premises	1,517.00	-	1,517.00	1,138.00
Casino premises (converted)	1,733.00	-	1,733.00	1,300.00
Casino premises (large)	6,500.00	-	6,500.00	4,875.00
Casino premises (regional)	6,500.00	-	6,500.00	4,875.00
Casino premises (small)	3,467.00	-	3,467.00	2,600.00
Family entertainment centre	867.00	-	867.00	650.00
LICENSING				
Animal Licensing				
Animal boarding establishments	271.00	-	271.00	264.00
Animal home boarding - new application	271.00	-	271.00	264.00
renewal	271.00	-	271.00	264.00
Dangerous wild animal	369.00	-	369.00	360.00
Dog breeding establishments	271.00	-	271.00	264.00
Pet shop	271.00	-	271.00	264.00
Riding establishments	369.00	-	369.00	360.00
Zoo licence (individually determined fees)	Recovery of costs			
Any costs incurred by the Council in licensing premises, e.g. Vet's fees, will be passed on to the licensee				

APPENDIX 5

PLANNING AND REGULATORY SERVICES	Charge	VAT	2018/19	2017/18
	£	£	£	£
Hackney Carriage Licences				
Driver licence (Hackney or Dual) - 3 yrs duration	212.00	-	212.00	207.00
Vehicle licence (excludes vehicles test) - 1 yr duration	230.00	-	230.00	224.00
Licence fee reduced for wheelchair accessible vehicles 25%				
Town & Police Clauses Act 1847				
Local Government Miscellaneous Provisions Act 1982				
Sex establishment licence: application	2,565.00	-	2,565.00	2,500.00
renewal	513.00	-	513.00	500.00
variation	205.00	-	205.00	200.00
Private Hire Licences				
Driver licence (PH or Dual) - 3 yrs duration	212.00	-	212.00	207.00
Private hire operators licence (1 car) - 5yrs duration	213.00	-	213.00	208.00
Vehicle licence (excludes vehicles test) - 1 yr duration *	230.00	-	230.00	224.00
* Licence fee reduced for wheelchair accessible vehicles 25%				
MOBILE HOMES ACT 2013				
Application to transfer a site licence	315.00	-	315.00	307.00
Deposit of Site Rules	58.00	-	58.00	57.00
Annual Fee				
Band 1 (1-8 Pitches)	0.00	-	0.00	-
Band 2 (9-24 Pitches)	267.00	-	267.00	260.00
Band 3 (25-99 Pitches)	451.00	-	451.00	440.00
Band 4 (100-199 Pitches)	708.00	-	708.00	690.00
Band 5 (more than 200 Pitches)	911.00	-	911.00	888.00
New Site Licence Application and renewals				
Band 1 (1-8 Pitches)	596.00	-	596.00	581.00
Band 2 (9-24 Pitches)	683.00	-	683.00	666.00
Band 3 (25-99 Pitches)	946.00	-	946.00	922.00
Band 4 (100-199 Pitches)	1,140.00	-	1,140.00	1,111.00
Band 5 (more than 200 Pitches)	1,377.00	-	1,377.00	1,342.00
Application to amend a site Licence fee				
Band 1 (1-8 Pitches)	349.00	-	349.00	340.00
Band 2 (9-24 Pitches)	359.00	-	359.00	350.00
Band 3 (25-99 Pitches)	373.00	-	373.00	364.00
Band 4 (100-199 Pitches)	379.00	-	379.00	369.00
Band 5 (more than 200 Pitches)	402.00	-	402.00	392.00
SCRAP METAL DEALERS LICENCES				
Scrap metal dealers collectors licence (3yrs duration)	190.00	-	190.00	185.00
Scrap metal dealers collectors licence renewal (3yrs duration)	143.00	-	143.00	139.00
Scrap metal dealers site licence (3yrs duration)	315.00	-	315.00	307.00
Scrap metal dealers site licence renewal (3yrs duration)	258.00	-	258.00	251.00
Scrap metal dealers variation of a licence	52.00	-	52.00	51.00
PEST CONTROL - COMMERCIAL				
Insects and rodents per hour (excluding materials)	100.83	20.17	121.00	118.00
Rodent contract work	By negotiation - minimum charge £100			
Treatment for squirrels	100.83	20.17	121.00	118.00
Treatment for moles	100.83	20.17	121.00	118.00

APPENDIX 5

PLANNING AND REGULATORY SERVICES	Charge	VAT	2018/19	2017/18
	£	£	£	£
PEST CONTROL - DOMESTIC				
Call out charge	58.33	11.67	70.00	68.00
Ants (each property)	82.50	16.50	99.00	96.00
Bedbug infestation: 1-3 bed property	85.83	17.17	103.00	100.00
4-5 bed property	90.83	18.17	109.00	106.00
> 5 bed property	By negotiation			
Second call out within 6 weeks of initial treatment at 50% charge				
Bees	58.33	11.67	70.00	68.00
Brown-tailed moth	Based on hourly rate			
Fleas infestation: 1-3 bed property	85.83	17.17	103.00	100.00
4-5 bed property	90.83	18.17	109.00	106.00
> 5 bed property	By negotiation			
Second call out within 6 weeks of initial treatment at 50% charge				
Lice and cockroaches	58.33	11.67	70.00	68.00
Mice	58.33	11.67	70.00	68.00
Rats	58.33	11.67	70.00	68.00
Wasps nests	58.33	11.67	70.00	68.00
additional nest (treated at same time as first)	27.50	5.50	33.00	32.00
RECYCLING				
Green bins: standard annual fee	43.00	-	43.00	40.00
direct debit payers and internet payers annual fee	38.00	-	38.00	35.00
(standard fee: monthly pro rata for new customers)				
Green Bin Delivery	20.00	-	20.00	17.00
REFUSE COLLECTION				
Household Bulky Waste - 1 to 3 items	27.00	-	27.00	26.00
Household Bulky Waste - 4 to 6 items	54.00	-	54.00	52.00
Household Bulky Waste - 7 to 9 items	81.00	-	81.00	78.00
Household Bulky Waste - 10 to 12 items (maximum)	108.00	-	108.00	104.00
Residential Homes Roadside Collection				
1100ltr bin or equivalent - annual charge	1,070.00	-	1,070.00	1,048.00
NEW PROPERTIES (6 or more properties)				
Cost per refuse / recycling container to developers including delivery (<i>New Charge</i>)	45.00	9.00	54.00	

APPENDIX 5

CUSTOMERS AND COMMUNITY SERVICES

	Charge	VAT	2018/19	2017/18
	£	£	£	£
CEMETERIES				
Hire of bier	22.00	-	22.00	21.00
Search in burial register	25.00	5.00	30.00	29.00
Use of chapel	128.00	-	128.00	125.00
Plot choosing: non-resident	103.00	-	103.00	100.00
resident	51.00	-	51.00	50.00
Collection of ashes	34.17	6.83	41.00	40.00
Bronze Memorial Plaques				
Bench plaque: 8" x 2.5"	169.00	-	169.00	165.00
Plaque on plinth: 6" x 4"	327.50	65.50	393.00	383.00
Wall plaque: 5" x 3"		-	Deleted	
6" x 4"	150.00	-	150.00	130.00
7" x 5"	163.00	-	163.00	159.00
Charges for Right to Place Monument				
Under 16 years	Free			
Additional inscription	79.00	-	79.00	77.00
Full kerb set	211.00	-	211.00	206.00
Full kerb set & headstone up to 1m	309.00	-	309.00	301.00
Headstone up to 1m	135.00	-	135.00	131.00
Other memorials (<i>cremated remains memorials</i>)	104.00	-	104.00	102.00
Exclusive Right of Burial - Non Resident				
All ages: 5 years	232.00	-	232.00	226.00
10 years	410.00	-	410.00	400.00
15 years	576.00	-	576.00	561.00
30 years	1,042.00	-	1,042.00	1,016.00
Ashes: 30 years	344.00	-	344.00	335.00
99 years	530.00	-	530.00	516.00
Ashes - woodland glades: 30 years	378.00	-	378.00	368.00
99 years	628.00	-	628.00	612.00
Traditional: 99 years	1,603.00	-	1,603.00	1,562.00
Transfer of exclusive rights of burial	34.00	-	34.00	34.00
Woodland glades (<i>inc memorial tree</i>): 30 years	1,257.00	-	1,257.00	1,225.00
99 years	1,867.00	-	1,867.00	1,820.00
Exclusive Right of Burial - Resident				
All ages: 5 years	116.00	-	116.00	113.00
10 years	203.00	-	203.00	198.00
15 years	286.00	-	286.00	279.00
30 years	522.00	-	522.00	508.00
Ashes: 30 years	172.00	-	172.00	167.00
99 years	266.00	-	266.00	259.00
Ashes - woodland glades: 30 years	188.00	-	188.00	184.00
99 years	314.00	-	314.00	306.00
Traditional: 99 years	802.00	-	802.00	782.00
Transfer of exclusive rights of burial	34.00	-	34.00	34.00
Woodland glades (<i>inc memorial tree</i>): 30 years	627.00	-	627.00	612.00
99 years	1,533.00	-	1,533.00	1,494.00
Grave Digging				
Under 16 years	Free			
16 years and over - single depth	462.00	-	462.00	450.00
16 years and over - single depth Saturday	524.00	-	524.00	511.00
16 years and over - double depth	492.00	-	492.00	479.00
16 years and over - double depth Saturday	554.00	-	554.00	540.00
Ashes - single depth	90.00	-	90.00	87.00
Ashes - single depth Saturday	95.00	-	95.00	93.00
Ashes - double depth	95.00	-	95.00	93.00
Ashes - double depth Saturday	101.00	-	101.00	98.00

APPENDIX 5

CUSTOMERS AND COMMUNITY SERVICES		Charge	VAT	2018/19	2017/18
		£	£	£	£
Interment - Non Resident					
Under 16 years		Free			
16 years and over		973.00	-	973.00	949.00
Ashes		298.00	-	298.00	291.00
Ashes - woodland glades		363.00	-	363.00	354.00
Burial plot adjacent to path or end of row		442.00	-	442.00	431.00
Scattering of ashes: under 16 years		Free			
16 years and over		154.00	-	154.00	150.00
Saturday 10.00 - noon only		588.00	-	588.00	573.00
Interment - Resident					
Under 16 years		Free			
16 years and over		487.00	-	487.00	475.00
Ashes		150.00	-	150.00	146.00
Ashes - woodland glades		183.00	-	183.00	178.00
Burial plot adjacent to path or end of row		221.00	-	221.00	215.00
Saturday 10.00 - noon only		294.00	-	294.00	287.00
Scattering of ashes: under 16 years		Free			
16 years and over		79.00	-	79.00	77.00
Memorialisation Scheme					
Memorial climber / shrub		150.00	-	150.00	51.00
Memorial garden seat: Traditional		1,100.00	-	1,100.00	817.00
Rustic		900.00	-	900.00	713.00
Memorial plaque (plastic): single				Deleted	72.00
double				Deleted	135.00
Memorial tree including planting		200.00	-	200.00	107.00
OFF STREET PARKING					
Vehicles that display up to date disabled persons badge		Free			
OFF STREET PARKING					
Maldon District Council offices: Weekends					
Pay & display: Saturday (8am to 5pm) up to 1 hour		0.83	0.17	1.00	1.00
Saturday (8am to 5pm) 1 to 2 hours		1.08	0.22	1.30	1.30
Saturday (8am to 5pm) 2 to 3 hours		1.50	0.30	1.80	1.80
Saturday (8am to 5pm) 3 to 4 hours		2.00	0.40	2.40	2.40
Saturday (8am to 5pm) over 4 hours		3.33	0.67	4.00	4.00
Saturday Evening 5pm to 10pm		0.83	0.17	1.00	1.00
Sunday All Day		0.83	0.17	1.00	1.00
Butt Lane (Monday to Saturday - 8am to 5pm)					
Pay & display: up to 1 hour		0.83	0.17	1.00	1.00
1 to 2 hours		1.08	0.22	1.30	1.30
2 to 3 hours		1.50	0.30	1.80	1.80
3 to 4 hours		2.00	0.40	2.40	2.40
over 4 hours		3.33	0.67	4.00	4.00
Weekday & Saturday Evening (5pm to 10pm)		0.83	0.17	1.00	1.00
Sunday All Day		0.83	0.17	1.00	1.00
Season ticket: annual		483.33	96.67	580.00	580.00
6 months		241.67	48.33	290.00	290.00
monthly		43.33	8.67	52.00	52.00
Bulk purchases (Monday - Saturday): minimum 10 tickets		Discount of 5%			
minimum 15 tickets		Discount of 10%			
minimum 20 tickets		Discount of 15%			

APPENDIX 5

CUSTOMERS AND COMMUNITY SERVICES

	Charge	VAT	2018/19	2017/18
	£	£	£	£
Friary Fields (Monday to Saturday - 8am to 5pm)				
Pay & display: up to 3 hours	1.50	0.30	1.80	1.80
3 to 4 hours	2.00	0.40	2.40	2.40
over 4 hours	3.33	0.67	4.00	4.00
Weekday & Saturday Evening (5pm to 10pm)	0.83	0.17	1.00	1.00
Sunday All Day	0.83	0.17	1.00	1.00
		-		
Season ticket: annual	483.33	96.67	580.00	580.00
6 months	241.67	48.33	290.00	290.00
monthly	43.33	8.67	52.00	52.00
Bulk purchases (Monday - Saturday): minimum 10 tickets	Discount of 5%			
minimum 15 tickets				
minimum 20 tickets				
Public sector partners (Monday - Friday)	Discount of 15%			
	Discount of 50%			
High St. East (Monday to Saturday - 8am to 5pm)				
Pay & display: up to 1 hour	0.83	0.17	1.00	1.00
1 to 2 hours	1.08	0.22	1.30	1.30
2 to 3 hours	1.50	0.30	1.80	1.80
3 to 4 hours	2.00	0.40	2.40	2.40
over 4 hours	3.33	0.67	4.00	4.00
Weekday & Saturday Evening (5pm to 10pm)	0.83	0.17	1.00	1.00
Sunday All Day	0.83	0.17	1.00	1.00
Season ticket: annual	483.33	96.67	580.00	580.00
6 months	241.67	48.33	290.00	290.00
monthly	43.33	8.67	52.00	52.00
Bulk purchases (Monday - Saturday): minimum 10 tickets	Discount of 5%			
minimum 15 tickets				
minimum 20 tickets				
Public sector partners (Monday - Friday)	Discount of 15%			
	Discount of 50%			
Maldon Promenade (Monday to Sunday - 8am to 8pm)				
Car: up to 1 hour	0.92	0.18	1.10	1.10
1 to 2 hours	1.83	0.37	2.20	2.20
2 to 4 hours	4.58	0.92	5.50	5.50
all day	5.83	1.17	7.00	7.00
Coach: up to 2 hours	5.50	1.10	6.60	6.60
over 2 hours	10.00	2.00	12.00	12.00
Coach park - coach / bus season tickets	166.67	33.33	200.00	200.00
Non residents season ticket	133.33	26.67	160.00	80.00
Residents season ticket	100.00	20.00	120.00	60.00
Market Site				
Season ticket: annual	533.33	106.67	640.00	640.00
6 months	266.67	53.33	320.00	320.00
monthly	47.50	9.50	57.00	57.00
Silver Street				
Season ticket: annual	483.33	96.67	580.00	580.00
6 months	241.67	48.33	290.00	290.00
monthly				
Bulk purchases (Monday - Saturday): minimum 10 tickets	Pro rata charge			
minimum 15 tickets				
minimum 20 tickets				
	Discount of 5%			
	Discount of 10%			
	Discount of 15%			
White Horse Lane (Monday to Saturday - 8am to 5pm)				
Pay & display: up to 1 hour	0.83	0.17	1.00	1.00
1 to 2 hours	1.08	0.22	1.30	1.30
2 to 3 hours	1.50	0.30	1.80	1.80
3 to 4 hours	2.83	0.57	3.40	3.40
over 4 hours	6.67	1.33	8.00	8.00
Weekday & Saturday Evening (5pm to 10pm)	0.83	0.17	1.00	1.00
White Horse Lane				
Maldon Schools permit	166.67	33.33	200.00	
Town Centre Car Parks				
Residents season ticket (Monday 5pm-10pm All Day Sunday)	60.00	12.00	72.00	72.00

APPENDIX 5

CUSTOMERS AND COMMUNITY SERVICES

	Charge	VAT	2018/19	2017/18
	£	£	£	£
Pop Up Marquee Hire				
Peak Time (<i>School Holidays/Bank Holidays/ Event Days</i>)				
Day Hire	154.17	30.83	185.00	180.00
Week Hire	769.17	153.83	923.00	900.00
Off Peak				
Day Hire	102.50	20.50	123.00	120.00
Week Hire	513.33	102.67	616.00	600.00
Community / Charity				
Day Hire	71.67	14.33	86.00	84.00
Week Hire	359.17	71.83	431.00	420.00
For all Council equipment the hirer will be responsible for insuring the goods				
Any damage caused will be the responsibility of the hirer, and the cost of repair will be recharged in full				
Beach Hut Hire - Promenade Park				
Daily Charge				
High Season (<i>July, August & school holidays in April, May & September</i>)	34.17	6.83	41.00	40.00
Mid-Season (<i>April, May, June, September & school holidays in October & December</i>)	25.00	5.00	30.00	25.00
Low-Season (<i>January, February, March, October, November & December</i>)	17.50	3.50	21.00	20.00
<i>A minimum charge of £10 (Inc. VAT) will apply for part days and later bookings</i>				
Beach Hut Packages				
Gold Package - (<i>Peak season beach hut hire, 2 all day splash park wristbands and all day car parking at Prom</i>)	41.67	8.33	50.00	50.00
Silver Package - (<i>Mid season beach hut hire, 2 all day splash park wristbands and all day car parking at Prom</i>)	33.33	6.67	40.00	40.00
FUNFAIRS AND CIRCUSES				
Circus at Promenade Park				
Daily ground rate (whilst circus is in operation)	144.00	-	144.00	140.00
Daily ground rate (whilst circus is not in operation)	72.00	-	72.00	70.00
Travelling Funfair at Promenade Park				
Daily ground rate (whilst fair is in operation)	460.00	-	460.00	448.00
Daily ground rate (whilst fair is not in operation)	185.00	-	185.00	180.00
PARKS AND OPEN SPACES				
Memorial Benches				
Rustic bench	627.00	-	627.00	611.00
Cast iron bench	1,180.00	-	1,180.00	1,150.00
Disabled access picnic table	1,492.00	-	1,492.00	1,454.00
Advertising and Sponsorship				
Events Banners per week (main gate entrances on railings x2 + free electronic advert)	25.83	5.17	31.00	30.00
Events Banners per week (<i>community / charity</i>)	15.00	3.00	18.00	18.00
Electronic Advert (<i>per day minimum 1 week</i>)	0.83	0.17	1.00	1.00
Internal park adverts (<i>per week</i>)	15.00	3.00	18.00	18.00
Vehicle advertising (<i>per day</i>)	102.50	20.50	123.00	120.00
Sponsorship	By negotiation			
Council owned Land Hire for Concessions				
Peak Time (<i>School Holidays/Bank Holidays/ Event Days</i>)				
Small (Single Operator)	51.00	-	51.00	50.00
Medium (Team of 2 - 5 Operators)	148.00	-	148.00	144.00
Large (Team of 5+ Operators)	222.00	-	222.00	216.00
Charitable Concession			Free	
Off Peak Time				
Small (Single Operator)	35.00	-	35.00	34.00
Medium (Team of 2 - 5 Operators)	82.00	-	82.00	80.00
Large (Team of 5+ Operators)	148.00	-	148.00	144.00
Charitable Concession			Free	
Pop Up Trading				
Peak Time (<i>School Holidays/Bank Holidays/ Event Days</i>)				
Market Stall (Frame with Canopy)	52.00	-	52.00	51.00
Wheelie Cart	46.00	-	46.00	45.00
Wheelie Cart including Fridge	51.00	-	51.00	50.00
Electricity	10.83	2.17	13.00	12.00

APPENDIX 5

CUSTOMERS AND COMMUNITY SERVICES

	Charge	VAT	2018/19	2017/18
	£	£	£	£
Off Peak Time		-		
Market Stall (Frame with Canopy)	42.00	-	42.00	41.00
Wheelie Cart	37.00	-	37.00	36.00
Wheelie Cart including Fridge	42.00	-	42.00	41.00
Electricity	10.83	2.17	13.00	12.00
PARKS AND SPORTS PITCHES				
Football (per game)				
Adult	41.67	8.33	50.00	49.00
Junior	31.67	6.33	38.00	37.00
Changing rooms (only)	11.67	2.33	14.00	13.00
RIVERS				
Moorings				
Annual charge: up to 7.99 metres	116.67	23.33	140.00	132.00
8 to 9.99 metres	191.67	38.33	230.00	220.00
10 to 14.99 metres	266.67	53.33	320.00	297.00
15 metres and above	341.67	68.33	410.00	385.00
Mooring registration fee	104.17	20.83	125.00	125.00
Transfer of mooring	50% of annual mooring fee			
Residential Mooring Charges (New Charge)				
up to 9.99 metres (per month)	102.50	20.50	123.00	
10 to 14.99 metres (per month)	154.17	30.83	185.00	
15 metres and above (per month)	205.00	41.00	246.00	
Wharfage - Hythe Quay Maldon and Burnham Pontoon				
Daily fees: vessels and multihulls	17.50	3.50	21.00	21.00
Quarterly fees: vessels of 8 metres and over or multihulls *	812.50	162.50	975.00	975.00
240/32 Amp Supply - Daily Charge (Maldon)	3.33	0.67	4.00	4.00
Static Events on vessels using the Hythe Quay / Burnham (Daily charge)	100.00	20.00	120.00	120.00
Exclusive use of visitor pontoons Maldon / Burnham (Daily charge)	100.00	20.00	120.00	120.00
Visitor Pontoon - Weekly Winter charge Oct - April (Maldon)	41.67	8.33	50.00	30.00
SPLASH PARK				
First Aid Cover per hour for Private Bookings			Deleted	24.00
Private bookings (per hour)	175.00	35.00	210.00	180.00
Private bookings (per half hour)	108.33	21.67	130.00	100.00
Single use ticket	2.08	0.42	2.50	2.50

APPENDIX 5

PLANNING AND REGULATORY SERVICES	Charge	VAT	2018/19	2017/18
	£	£	£	£
BUILDING CONTROL				
New dwellings	See attached - table A See attached - table B See attached - table C			
Work to a single dwelling				
All other non-domestic work				
DEVELOPMENT CONTROL				
Designs and Patents Act 1989				
Street Naming and Numbering				
Adding / removing a name	Free	-	Free	Free
Renaming / renumbering a property	40.00	-	40.00	40.00
Naming / numbering 1-5 properties (per property) inc flats*	40.00	-	40.00	40.00
Naming / numbering 6-25 properties (per property) inc flats*	30.00	-	30.00	30.00
Naming / numbering 26-75 properties (per property) inc flats*	25.00	-	25.00	25.00
Naming / numbering 76+ properties (per property) inc flats*	20.00	-	20.00	20.00
Naming a street (per street)**	100.00	-	100.00	100.00
Change to development after notification	50.00	-	50.00	50.00
Street renaming at residents request	150.00	-	150.00	150.00
Written confirmation of postal address details	Free	-	Free	Free
* numbers include dwellings within developments with new streets				
** number of new street names only				
LAND CHARGES				
<i>Premises exempt as per legislation: church halls, village halls & non-commercial venues</i>				
<i>CON29 (part 1): standard fee</i>	120.83	24.17	145.00	142.00
<i>additional fee for non-residential searches</i>	21.67	4.33	26.00	25.00
<i>LLC1</i>	22.00	-	22.00	22.00
<i>additional fee for non-residential searches</i>	32.50	6.50	39.00	25.00
<i>CON29O (part 2) enquiry - per question: Q4-5 only (if purchased with full search)</i>	15.00	3.00	18.00	18.00
<i>Q6-21</i>	15.00	3.00	18.00	18.00
<i>Q22 only</i>	21.67	4.33	26.00	25.00
<i>Additional enquiry</i>	31.00	6.20	38.00	37.20
<i>Additional parcel of land LLC1</i>	5.00	-	5.00	5.00
<i>Additional parcel of land CON29</i>	15.00	3.00	18.00	18.00
<i>Copy of duplicate search</i>	10.00	2.00	12.00	12.00
<i>Search confirmation (up to 3mths old)</i>	10.00	2.00	12.00	12.00
Personal Searches				
<i>CON29R standard enquiry (when viewed in person)</i>	Free Free Free			Free
<i>Local land charges register (in person): print out</i>				Free
<i>view</i>				Free
<i>Local land charges LLC1 certificated</i>	22.00	-	22.00	22.00

Planning Services Pre-Application Fees and Charges 2018/19

	Further Details	Cost (£)	VAT (£)	Total (£)
Householder development (Duty Planner)	Only available for non-Complex Householder advice. This would include extensions to single dwellings, porches, garages, outbuildings and walls and fences. (No written advice).	Free		Free
Householder development (Written advice)	Includes proposals to alter and extend individual houses and flats for residential purposes where the development relates to a building which is not listed as being of architectural or historic interest. In cases where the house or flat is listed then the charge will fall within Minor Development.	85.00	17.00	102.00
Householder development (Meeting* with Planning Officer of no more than one hour and written advice)	Includes proposals to alter and extend individual houses and flats for residential purposes where the development relates to a building which is not listed as being of architectural or historic interest. In cases where the house or flat is listed then the charge will fall within Minor Development.	161.67	32.33	194.00
Smallscale commercial development (Written advice)	Includes proposals for: Change of use up to 200m2 Extensions to commercial properties under 50m2 1-3 Advertisements Amendments to Previously Approved Schemes	85.00	17.00	102.00
Smallscale commercial development (Meeting* with Planning Officer of no more than one hour and written advice)	Includes proposals for: Change of use up to 200m2 Extensions to commercial properties under 50m2 1-3 Advertisements Amendments to Previously Approved Schemes	161.67	32.33	194.00
Minor development (Written advice)	Includes proposals for: 1-4 residential units or gross external floorspace of up to 499m2 Change of use between 200 and 499m2 Extensions to commercial properties over 50m2 Over three advertisements Public Art Telecommunications Equipment Air Conditioning / Ventilation Equipment Amendments to Previously Approved Schemes	214.17	42.83	257.00
Minor development (Meeting* with Planning Officer of no more than one hour and written advice)	Includes proposals for: 1-4 residential units or gross external floorspace of up to 499m2 Change of use between 200 and 499m2 Extensions to commercial properties over 50m2 Over three advertisements Public Art Telecommunications Equipment Air Conditioning / Ventilation Equipment Amendments to Previously Approved Schemes	482.50	96.50	579.00
Medium development (Written advice)	Includes proposals for: 5-9 residential units or gross external floorspace of 500-999m2	321.67	64.33	386.00
Medium development (meeting* with Planning Officer of no more than one hour and written advice)	Includes proposals for: 5-9 residential units or gross external floorspace of 500-999m2	535.83	107.17	643.00
Major development (Written advice)	Includes proposals for: 10-20 residential units Non-residential development with a gross external floorspace over 1,000m2	535.83 (Plus additional £20 +VAT per dwelling to a maximum of 74 dwellings)	107.17	643.00

Major development (Meeting* with Planning Officer of no more than one hour and written advice)	Includes proposals for: 10-20 residential units Non-residential development with a gross external floorspace over 1,000m2	1,072.50	214.50	1,287.00
(Plus additional £20 +VAT per dwelling to a maximum of 74 dwellings)				
Strategic Proposals (Planning Performance Agreements) (Meeting* with Planning Officer of no more than one hour and written advice)	Includes proposals for: Any application of 75 dwellings or more dwellings; or any outline residential development proposals whose site is 2 hectares or more. Any residential proposal promoted as an allocated site within the LDP. Any 100% Affordable Housing proposals of six dwellings or 0.3ha or more in outline form. Any non-residential development proposal, whose floor area is 1,500 square metres or more or whose site area is 2 hectares or more. Any non-residential proposals relating to development proposals allocated within the LDP. Any retail development 1,000 square meters or more or which of 250 square metres or more and is proposed to be beyond existing town centres as defined in the local plan or emerging LDP. Any mixed use development proposals whose site area is 2 hectares or more, or is of 75 dwellings or 1,000 square metres commercial floor area or more. Wind Turbines Any wind energy proposals whose output capacity is 1Mw or more or which proposes three or more turbines of 30m or more. Any Solar energy proposals whose output capacity is 1Mw or more or which proposes 4,000 or more solar panels. Energy from Waste Scheme which is 1KW capacity or more.	Individually determined at full cost recovery		
Minor Alterations to Listed Building (Written advice)	Only available for very minor and non-Complex advice. This would include replacement windows. This only relates to development that does not fall within any category above. In those instances where it does the higher fee will be required.	63.33	12.67	76.00
Alterations/Extension to Listed Building (Written advice)	Includes proposals for: Alterations to a listed building Extensions and additions to a listed building Demolition of an unlisted building within a conservation area This only relates to development that does not fall within any category above. In those instances where it does the higher fee will be required.	214.17	42.83	257.00
Alterations/Extension to Listed Building (Meeting* with Planning Officer of no more than one hour and written advice)	Includes proposals for: Alterations to a listed building Extensions and additions to a listed building Demolition of an unlisted building within a conservation area This only relates to development that does not fall within any category above. In those instances where it does the higher fee will be required.	523.33	104.67	628.00
Development in a Conservation Area (Written Advice)	This only relates to development that does not fall within any category above. In those instances where it does the higher fee will be required.	161.67	32.33	194.00
Development in a Conservation Area (Meeting* with Planning Officer of no more than one hour and written advice)	This only relates to development that does not fall within any category above. In those instances where it does the higher fee will be required.	471.67	94.33	566.00
Minor Tree advice (Tree within a conservation area only) (Written advice)	Includes proposals for: Works to 1-4 individually listed trees	63.33	12.67	76.00

Minor Tree advice (TPOs only) (Written advice)	Includes proposals for: Works to 1-4 individually listed trees Replacement of 1-4 individually listed trees	85.00	17.00	102.00
Minor Tree advice (TPOs only) (Meeting* with appropriate Officer of no more than one hour and written advice)	Includes proposals for: Works to 1-4 individually listed trees Replacement of 1-4 individually listed trees	214.17	42.83	257.00
Major Tree advice (TPOs only) (Meeting* with appropriate Officer of no more than one hour and written advice)	Includes proposals for: Works to 5 or more individually listed trees Replacement of 5 or more individually listed trees Works to trees within an area protected under a Tree Preservation Order Works to trees within a woodland protected under a Tree Preservation Order	429.17	85.83	515.00
Inspection of compliance with Enforcement Notice	Written confirmation that an enforcement notice has been complied with.	214.17	42.83	257.00
Compliance with Condition requests	Includes, but not exclusively: Written confirmation that a condition(s) has been complied with Written confirmation that a condition(s) has been discharged	161.67	32.33	194.00
Compliance with S.106 Agreement requests	Written confirmation that all/some S.106 obligations have been agreed per obligation	107.50	21.50	129.00
Planning History requests	Includes, but not exclusively: Written confirmation of any restrictions imposed on a site on a site. Confirmation of authorised use of a site Confirmation of an absence of an agricultural occupancy condition	161.67	32.33	194.00

*All pre-application and advice Meeting*s will be held at the Council Offices. However, if it is agreed necessary to convene a Meeting* on site, travel time to and from the site will be charged at the hourly Meeting rate. Officers are unable to hold a site Meeting* without the prior deposit of plans or written proposals.

TABLE A - NEW DWELLINGS
Dwelling-houses and Flats not exceeding 300m2

Please note that the Charges marked with an * have been reduced to reflect where controlled electrical installations are being carried out, tested and certified by a registered Part P electrician. If these reductions are claimed and a self certifying electrician is not subsequently employed, the applicant will be invoiced for supplementary charges equivalent to the discount (see D14 below)

Code	Bungalows or Houses less than 4 storeys		Plan Charge	Inspection Charge *	Building Notice Charge*	Regularisation Charge*
H01	1 Plot	Net	192.00	479.00	738.00	939.00
		VAT	38.40	95.80	147.60	-
		Total	230.40	574.80	885.60	939.00
H02	2 Plots	Net	287.00	766.00	1,159.00	1,475.00
		VAT	57.40	153.20	231.80	-
		Total	344.40	919.20	1,390.80	1,475.00
H03	3 Plots	Net	335.00	1,054.00	1,528.00	1,944.00
		VAT	67.00	210.80	305.60	-
		Total	402.00	1,264.80	1,833.60	1,944.00
H04	4 Plots	Net	383.00	1,341.00	1,896.00	2,414.00
		VAT	76.60	268.20	379.20	-
		Total	459.60	1,609.20	2,275.20	2,414.00
H05	5 Plots	Net	431.00	1,628.00	2,265.00	2,883.00
		VAT	86.20	325.60	453.00	-
		Total	517.20	1,953.60	2,718.00	2,883.00
Flats						
F01	1	Net	192.00	479.00	738.00	939.00
		VAT	38.40	95.80	147.60	-
		Total	230.40	574.80	885.60	939.00
F02	2	Net	287.00	623.00	1,001.00	1,274.00
		VAT	57.40	124.60	200.20	-
		Total	344.40	747.60	1,201.20	1,274.00
F03	3	Net	335.00	766.00	1,212.00	1,542.00
		VAT	67.00	153.20	242.40	-
		Total	402.00	919.20	1,454.40	1,542.00
F04	4	Net	383.00	910.00	1,422.00	1,810.00
		VAT	76.60	182.00	284.40	-
		Total	459.60	1,092.00	1,706.40	1,810.00
F05	5	Net	431.00	1,054.00	1,633.00	2,078.00
		VAT	86.20	210.80	326.60	-
		Total	517.20	1,264.80	1,959.60	2,078.00
Conversion to						
V01	Single Dwelling-House	Net	192.00	575.00	843.00	1,073.00
		VAT	38.40	115.00	168.60	-
		Total	230.40	690.00	1,011.60	1,073.00
V02	Single Flat	Net	192.00	479.00	738.00	939.00
		VAT	38.40	95.80	147.60	-
		Total	230.40	574.80	885.60	939.00
	Notifiable electrical work		(where applicable, in addition to the above, per dwelling)			
D14	(Where a satisfactory certificate will not be issued by a Part P registered electrician)	Net	This charge relates to a first fix pre-plaster inspection and final testing on completion. For Regularisation application a full appraisal and testing will be carried out.		201.00	255.00
		VAT			40.20	-
		Total			241.20	255.00

Where Standard Charges are not applicable please contact Building Control on 01621 876235

PLANNING SERVICES

TABLE B - WORK TO A SINGLE DWELLING
Limited to work not more than 3 storeys above ground level

Please note that the Charges marked with an * have been reduced to reflect where controlled electrical installations are being carried out, tested and certified by a registered Part P electrician. If these reductions are claimed and a self certifying electrician is not subsequently employed, the applicant will be invoiced for supplementary charges equivalent to the discount (see D14 below)

Code	Extension & New Build		Full Plans		Full Plans - Multiple work reductions only **		Building Notice Charge *	Multiple work reductions only Building Notice Charge * at 50% reduced rate **	Regularisation Charge *
			Plan Charge	Inspection Charge *	Plan Charge at 50% reduced rate**	Inspection Charge * at 50% reduced rate **			
D01a	Separate single storey extension with floor area not exceeding 10m²	Net	96.00	96.00	48.00	48.00	211.00	106.00	268.00
New charge		VAT	19.20	19.20	9.60	9.60	42.20	21.20	-
		Total	115.20	115.20	57.60	57.60	253.20	127.20	268.00
D01	Separate single storey extension with floor area exceeding 10m² but not exceeding 40m²	Net	192.00	383.00	96.00	192.00	632.00	316.00	805.00
		VAT	38.40	76.60	19.20	38.40	126.40	63.20	-
		Total	230.40	459.60	115.20	230.40	758.40	379.20	805.00
D02	Separate single storey extension with floor area exceeding 40m² but not exceeding 100m²	Net	192.00	479.00	96.00	240.00	738.00	369.00	939.00
		VAT	38.40	95.80	19.20	48.00	147.60	73.80	-
		Total	230.40	574.80	115.20	288.00	885.60	442.80	939.00
D03	Separate extension with some part 2 or 3 storeys in height and a total floor area not exceeding 40m²	Net	192.00	431.00	96.00	216.00	685.00	343.00	872.00
		VAT	38.40	86.20	19.20	43.20	137.00	68.60	-
		Total	230.40	517.20	115.20	259.20	822.00	411.60	872.00
D04	Separate extension with some part 2 or 3 storeys in height and a total floor area exceeding 40m² but not ex 100m²	Net	192.00	575.00	96.00	288.00	843.00	422.00	1,073.00
		VAT	38.40	115.00	19.20	57.60	168.60	84.40	-
		Total	230.40	690.00	115.20	345.60	1,011.60	506.40	1,073.00
D05	A building or extension comprising SOLELY of a garage, carport or store - total floor area not exceeding 100m²	Net	192.00	192.00	96.00	96.00	421.00	211.00	536.00
		VAT	38.40	38.40	19.20	19.20	84.20	42.20	-
		Total	230.40	230.40	115.20	115.20	505.20	253.20	536.00
D06	Detached non-habitable domestic building with total floor area not exceeding 50m²	Net	192.00	287.00	96.00	144.00	527.00	264.00	670.00
		VAT	38.40	57.40	19.20	28.80	105.40	52.80	-
		Total	230.40	344.40	115.20	172.80	632.40	316.80	670.00
Conversions									
D07	First floor & second floor loft conversions	Net	192.00	383.00	96.00	192.00	632.00	316.00	805.00
		VAT	38.40	76.60	19.20	38.40	126.40	63.20	-
		Total	230.40	459.60	115.20	230.40	758.40	379.20	805.00
D08	Other work (e.g. garage conversions)	Net	192.00	192.00	96.00	96.00	421.00	211.00	536.00
		VAT	38.40	38.40	19.20	19.20	84.20	42.20	-
		Total	230.40	230.40	115.20	115.20	505.20	253.20	536.00
Alterations (including underpinning)									
D09	Renovation of a thermal element	Net	96.00	96.00	48.00	48.00	211.00	106.00	268.00
		VAT	19.20	19.20	9.60	9.60	42.20	21.20	-
		Total	115.20	115.20	57.60	57.60	253.20	127.20	268.00
D10	Replacement of windows, roof lights, roof windows or external glazed doors	Net	96.00	96.00	48.00	48.00	211.00	106.00	268.00
		VAT	19.20	19.20	9.60	9.60	42.20	21.20	-
		Total	115.20	115.20	57.60	57.60	253.20	127.20	268.00
D11x	Cost of work not exceeding £1,000	Net	72.00	120.00	36.00	60.00	211.00	106.00	268.00
		VAT	14.40	24.00	7.20	12.00	42.20	21.20	-
		Total	86.40	144.00	43.20	72.00	253.20	127.20	268.00
New charge									
D11a	Cost of work exceeding £1,001 but not exceeding £2,000 (Incl Renewable Energy systems)	Net	96.00	144.00	48.00	72.00	263.00	132.00	335.00
		VAT	19.20	28.80	9.60	14.40	52.60	26.40	-
		Total	115.20	172.80	57.60	86.40	315.60	158.40	335.00
D11	Cost of work exceeding £2,001 & not exceeding £5,000 (Incl Renewable Energy systems)	Net	144.00	192.00	72.00	96.00	369.00	185.00	469.00
		VAT	28.80	38.40	14.40	19.20	73.80	37.00	-
		Total	172.80	230.40	86.40	115.20	442.80	222.00	469.00
D12	Cost of work exceeding £5,001 & not exceeding £25,000	Net	192.00	239.00	96.00	120.00	474.00	237.00	603.00
		VAT	38.40	47.80	19.20	24.00	94.80	47.40	-
		Total	230.40	286.80	115.20	144.00	568.80	284.40	603.00
D13	Cost of work exceeding £25,001 & not exceeding £100,000	Net	239.00	479.00	120.00	240.00	790.00	395.00	1,006.00
		VAT	47.80	95.80	24.00	48.00	158.00	79.00	-
		Total	286.80	574.80	144.00	288.00	948.00	474.00	1,006.00
Notifiable Electrical work (in addition to the above, where applicable)									
D14	(Where a satisfactory certificate will not be issued by a Part P registered electrician)	Net	This charge relates to a first fix pre-plaster inspection and final testing on completion. For Regularisation application a full appraisal and testing will be carried out.				201.00	n/a	255.00
		VAT					40.20	n/a	-
		Total					241.20	n/a	255.00

****Multiple work reductions.** Where the proposed works consist of more than one of the above elements then the appropriate charge is calculated by paying the full amount for the most expensive element and only 50% for the other applicable elements with the exception of D14 electrical Works

Where Standard Charges are not applicable please contact Building Control on 01621 876235

PLANNING SERVICES

TABLE C - ALL OTHER NON-DOMESTIC WORK
Limited to work not more than 3 storeys above ground level

Limited to work for more than 3 storeys above ground level							
Code	Extensions and New Build		Plan Charge	Plan Charge at 50% reduced rate** (for multiple works only)	Inspection Charge	Inspection Charge * at 50% reduced rate ** (for multiple works only)	Regularisation Charge
N01	Single storey with floor area not exceeding 40m2	Net	192.00	96.00	383.00	192.00	747.00
		VAT	38.40	19.20	76.60	38.40	-
		Total	230.40	115.20	459.60	230.40	747.00
N02	Single storey with floor area not exceeding 40m2 but not exceeding 100m2	Net	192.00	96.00	575.00	288.00	996.00
		VAT	38.40	19.20	115.00	57.60	-
		Total	230.40	115.20	690.00	345.60	996.00
N03	With some part 2 or 3 storey in height and a total floor area not exceeding 40m2	Net	192.00	96.00	479.00	240.00	872.00
		VAT	38.40	19.20	95.80	48.00	-
		Total	230.40	115.20	574.80	288.00	872.00
N04	With some part 2 or 3 storey in height and a total floor area exceeding 40m2 but not exceeding 100m2	Net	192.00	96.00	623.00	312.00	1,058.00
		VAT	38.40	19.20	124.60	62.40	-
		Total	230.40	115.20	747.60	374.40	1,058.00
Alterations							
N05	Cost of work not exceeding £5,000	Net	144.00	72.00	144.00	72.00	374.00
		VAT	28.80	14.40	28.80	14.40	-
		Total	172.80	86.40	172.80	86.40	374.00
	Replacement of windows, roof lights, roof windows or external glazed doors (not exceeding 20 units)	Net	144.00	72.00	144.00	72.00	374.00
		VAT	28.80	14.40	28.80	14.40	-
		Total	172.80	86.40	172.80	86.40	374.00
	Renewable Energy systems (not covered by an appropriate competent persons scheme)	Net	144.00	72.00	144.00	72.00	374.00
		VAT	28.80	14.40	28.80	14.40	-
		Total	172.80	86.40	172.80	86.40	374.00
	Installation of new shop front	Net	144.00	72.00	144.00	72.00	374.00
		VAT	28.80	14.40	28.80	14.40	-
		Total	172.80	86.40	172.80	86.40	374.00
N06	Cost of work exceeding £5,000 & not exceeding £25,000	Net	192.00	96.00	192.00	96.00	498.00
		VAT	38.40	19.20	38.40	19.20	-
		Total	230.40	115.20	230.40	115.20	498.00
	Replacement of windows, roof lights, roof windows or external glazed doors (exceeding 20 units)	Net	192.00	96.00	192.00	96.00	498.00
		VAT	38.40	19.20	38.40	19.20	-
		Total	230.40	115.20	230.40	115.20	498.00
	Renovation of thermal elements	Net	192.00	96.00	192.00	96.00	498.00
		VAT	38.40	19.20	38.40	19.20	-
		Total	230.40	115.20	230.40	115.20	498.00
	Installation of a Raised Storage Platform within an existing building	Net	192.00	96.00	192.00	96.00	498.00
		VAT	38.40	19.20	38.40	19.20	-
		Total	230.40	115.20	230.40	115.20	498.00
N07	Cost of works exceeding £25,000 & not exceeding £100,000	Net	287.00	144.00	335.00	168.00	809.00
		VAT	57.40	28.80	67.00	33.60	-
		Total	344.40	172.80	402.00	201.60	809.00
	Fit out of building up to 100m2	Net	287.00	144.00	383.00	192.00	872.00
		VAT	57.40	28.80	76.60	38.40	-
	Total	344.40	172.80	459.60	230.40	872.00	

Multiple work reductions. Where the proposed works consist of more than one of the above elements then the appropriate charge is calculated by paying the full amount for the most expensive element and only 50% for the other applicable elements.

Where Standard Charges are not applicable please contact Building Control on 01621 876235

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REVENUE ESTIMATES SUMMARY 2018/19						
		Actual	Original	Original restated	Revised	Original
		2016/17	2017/18	2017/18	2017/18	2018/19
		£000	£000	£000	£000	£000
Directorates						
	Chief Executive	802	1,995	1,069	1,007	1,045
	Resources	2,829	190	2,585	2,732	2,770
	Customer & Communities	1,841	4,157	3,252	3,349	3,552
	Planning & Licensing	2,480	2,491	1,927	2,213	2,175
Net Cost of Services		7,952	8,833	8,833	9,301	9,541
	Interest on Investments	(210)	(158)	(158)	(216)	(228)
	Pension Interest Cost/Expected rtn on Assets(net)	821	847	847	847	836
Net Operating Expenditure		8,563	9,522	9,522	9,932	10,149
Appropriations & Adjustments						
	Statutory Adjustments	(1,121)	(739)	(739)	(383)	(2,171)
	Govt Direct Grants					
	- New Homes Bonus	(799)	(797)	(797)	(797)	(446)
	- Other Direct Grants	(111)	(71)	(71)	(71)	(9)
	Business Rates Renewable Energy	(538)	(641)	(641)	(704)	(704)
	Business Rates Growth Net Gains	(248)	see below	see below	337	see below
	To/(From) Earmarked Revenue Reserves	218	(38)	(38)	(605)	201
	To/(From) Balances	378	(695)	(695)	(1,168)	0
Expenditure to be Funded		6,342	6,541	6,541	6,541	7,020
		2017/2018			2018/2019	
	Property Tax Base (Band D equivalent)	23,868.7			24,193.2	
		2017/2018			2018/2019	
	Council Tax Charges	Charge @	Total		Charge @	Total
		Band D	Cost		Band D	Cost
		£ : p	£		£ : p	£
	Revenue Expenditure to be Funded	274.04	6,541,000		290.16	7,020,000
	Revenue Support Grant	(7.10)	(169,424)		0.00	0
	Business Rates Retention					
	- Base Line Funding	(59.96)	(1,431,139)		(60.93)	(1,474,135)
	- Business Growth Retention	(25.14)	(600,000)		(41.29)	(998,970)
	- Levy on Business Rates Growth net to ECC Pool	10.47	250,000		14.53	351,466
	- NDR Collection Fund Adjustment (Surplus)/Deficit	4.71	112,515		(2.93)	(70,844)
	Council Tax Collection Fund Adj (Surplus)/Deficit	(9.66)	(230,645)		(6.57)	(159,000)
	Maldon District Council Charge	187.37	4,472,307		192.97	4,668,517
	Parish Precepts	57.96	1,383,356			
	Essex County Council Precept	1,199.54	28,631,416			
	Police & Crime Commissioner for Essex	157.05	3,748,579			
	Essex Fire Authority	69.03	1,647,656			
	Final Charge	1,670.95				

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ORIGINAL 17/18 (Top)
REVISED 17/18 budget

REVISED 17/18 budget		Direct Costs				Income			
Description		Staffing	Transport	Goods and Services	Capital Charges	Fees and Charges	Other Income	Government Grant	Net Budget
		£	£	£	£	£	£	£	£
<u>Service Management & Support Services</u>									
101	Corporate Core	602,300	500	11,700					614,500
		584,200	1,000	10,500			(15,500)		580,200
102	Election Services	96,000	0	1,400					97,400
		78,100	100	1,400			(2,200)		77,400
103	Policy & Comms	211,700	0	15,900					227,600
		216,700	300	16,200					233,200
104	Training			78,500					78,500
				108,700					108,700
105	Human Resources	182,900	200	24,700					207,800
		178,400	200	30,600					209,200
106	Apprentices	28,900		18,000					46,900
		15,300		18,000					33,300
108	Committee Services	291,500	400	17,600					309,500
		409,400	300	22,800			(5,100)		427,400
109	General Office Support	55,700		17,100					72,800
		45,200		17,100					62,300
110	Customer Services	479,300	500	19,700					499,500
		418,500	400	19,600			(5,200)		433,300
111	Internal Audit & Perf. Review			75,700					75,700
				72,000					72,000
113	Finance	382,200	300	58,900					441,400
		341,600		110,700			(400)		451,900
114	Revenues & Benefits	818,500	1,000	91,200			(273,300)		637,400
		754,000	800	138,200			(375,900)	(25,100)	492,000
118	Leisure & Community	291,900	1,500	33,100	2,200		(9,000)		319,700
		301,200	1,900	32,400	0		(9,000)		326,500
119	IT Services	414,500	500	234,500	67,500				717,000
		420,100	0	289,500	67,500				777,100
121	Council Offices	191,400		220,300	65,700	0	(62,800)		414,600
		190,300		233,000	8,000		(62,800)		368,500
124	Princes Rd Depot			18,300	7,300				25,600
				17,500	5,400				22,900
132	Environmental Health	497,600	7,800	11,400					516,800
		494,300	8,500	11,900					514,700
133	Environmental Waste	177,600	200	4,100					181,900
		181,500	200	4,700					186,400
134	Housing	539,300	2,700	15,500					557,500
		550,000	2,200	15,900					568,100
141	Parks Operational Services	610,200	48,100	113,700	21,000	(49,700)	(74,700)		668,600
		624,500	48,500	117,600	22,100	(29,300)	(75,600)		707,800
149	Nursery			0	500				500
				0	700				700
153	Parks Rangers	348,900	10,200	11,200	2,300		(55,000)		317,600

ORIGINAL 17/18 (Top)
REVISED 17/18 budget

REVISED 17/18 budget		Direct Costs				Income			
Description		Staffing	Transport	Goods and Services	Capital Charges	Fees and Charges	Other Income	Government Grant	Net Budget
		£	£	£	£	£	£	£	£
		352,600	10,500	11,600	1,700		(65,000)		311,400
155	Parks Trading Unit Depot			9,800	7,400		(2,000)		15,200
				9,800	2,700		(2,000)		10,500
163	Enforcement	193,500	400	1,700					195,600
		210,800	600	6,300					217,700
164	Economic Development	108,300	1,300	1,800					111,400
		135,800	1,800	2,800					140,400
165	Planning Policy Services	408,500	1,600	4,500					414,600
		414,200	1,400	4,400					420,000
166	Planning Admin Services	284,500	0	27,500					312,000
		279,800	0	35,000					314,800
167	Development Control Services	670,900	4,400	13,800					689,100
		593,800	4,100	14,300					612,200
168	Building Control Services	221,000	6,000	5,100					232,100
		221,400	5,500	5,900					232,800
TOTAL Service Management & Support Services		8,107,100	87,600	1,156,700	173,900	(49,700)	(476,800)	0	8,998,800
		8,011,700	88,300	1,378,400	108,100	(29,300)	(618,700)	(25,100)	8,913,400

Central Services**Corporate Core & Democratic Core**

256	Corporate Management			164,100		(4,000)				160,100
				159,600		(11,300)				148,300
260	Democratic Representation & Mgt	222,100	7,600	72,900	1,900					304,500
		210,300	11,600	54,800	1,900					278,600
TOTAL Corporate & Democratic Core		222,100	7,600	237,000	1,900	(4,000)	0	0		464,600
		210,300	11,600	214,400	1,900	(11,300)	0	0		426,900

Central Services to the Public

202	Business Rates Collection			4,300		(5,500)		(92,700)		(93,900)
				4,300		(5,100)		(93,000)		(93,800)
209	Council Tax Benefit Admin	0		2,700				(58,300)		(55,600)
				4,000				(58,300)		(54,300)
216	Council Tax Collection			27,500		(116,800)				(89,300)
				36,400		(106,700)				(70,300)
213	Electoral Registration			43,100		(500)				42,600
				48,500		(14,400)				34,100
253	Civil Emergencies			33,300						33,300
				33,200						33,200
254	Election Management			12,700						12,700
				11,600						11,600
255	Land Charges			14,800		(154,500)				(139,700)
				15,000		(119,400)				(104,400)
TOTAL Central Services		0	0	138,400	0	(277,300)	0	(151,000)		(289,900)
		0	0	153,000	0	(245,600)	0	(151,300)		(243,900)

ORIGINAL 17/18 (Top)
REVISED 17/18 budget

REVISED 17/18 budget		Direct Costs				Income			
Description		Staffing	Transport	Goods and Services	Capital Charges	Fees and Charges	Other Income	Government Grant	Net Budget
		£	£	£	£	£	£	£	£
<u>Cultural, Environmental & Planning Services</u>									
<u>Cultural Services</u>									
501, 502, 503, 509, 520,	Sport	0	0	162,100	217,400	0	(586,200)	0	(206,700)
		0	0	200,800	62,700	0	(593,300)	0	(329,800)
122, 506, 508	Community Centres	0	0	26,200	32,400	0	0	0	58,600
		0	0	32,400	2,800	0	0	0	35,200
505, 511, 514, 516, 518,	Parks & Open Spaces	25,000	0	260,100	267,700	(607,200)	(55,600)	0	(110,000)
		36,300	0	320,100	253,800	(653,700)	(46,500)	0	(90,000)
542, 546	Heritage	0	0	4,800	3,600	0	0	0	8,400
		0	0	4,800	0	0	0	0	4,800
309	Rivers		6,100	45,400	12,400	(160,700)	(6,000)		(102,800)
			7,900	47,000	13,800	(167,500)	(6,700)		(105,500)
320, 325, 330	Tourism	138,600	500	63,200	0	(15,300)	0	0	187,000
		144,200	500	67,000	0	(15,300)	0	0	196,400
<u>TOTAL Cultural Services</u>		163,600	6,600	561,800	533,500	(783,200)	(647,800)	0	(165,500)
		180,500	8,400	672,100	333,100	(836,500)	(646,500)	0	(288,900)
<u>Environmental Services</u>									
340	Public Entertainment Licences			27,600		(55,300)			(27,700)
				27,300		(53,700)			(26,400)
341	Hackney Carriage			17,200		(33,200)			(16,000)
				15,900		(33,200)			(17,300)
550	Public Conveniences			102,500	36,100				138,600
				103,400	19,600				123,000
555	Cemeteries			58,100	15,600	(129,900)			(56,200)
				69,500	9,400	(131,600)			(52,700)
562, 563	Community Safety	74,300	500	36,600	0	0	(14,300)	0	97,100
		74,300	0	129,900	0	0	(14,300)	0	189,900
576, 579, 581	Waste Management	0	2,600	3,076,500	368,700	(1,874,500)	(1,800)	0	1,571,500
		0	2,600	3,177,700	317,800	(1,892,700)	(1,700)	0	1,603,700
566, 567, 570, 571, 572,	Other Environmental Health	5,000	3,200	61,400	9,500	(61,100)	0	0	18,000
		5,000	1,700	58,800	9,500	(55,100)	0	0	19,900
<u>TOTAL Environmental Services</u>		79,300	6,300	3,379,900	429,900	(2,154,000)	(16,100)	0	1,725,300
		79,300	4,300	3,582,500	356,300	(2,166,300)	(16,000)	0	1,840,100

ORIGINAL 17/18 (Top)
REVISED 17/18 budget

Description		Direct Costs				Income			Government Grant	Net Budget
		Staffing £	Transport £	Goods and Services £	Capital Charges £	Fees and Charges £	Other Income £		£	£
<u>Planning & Development Services</u>										
232	Discretionary Rate Relief									0
301	Planning Policy			36,800						36,800
				48,500					(20,000)	28,500
302	Development Control			129,100		(905,800)				(776,700)
				125,100		(675,800)				(550,700)
303	Building Regs - Fee Related			5,200		(182,000)				(176,800)
				4,500		(135,300)				(130,800)
313	Building Regs - Non Fee Related					0				0
						0				0
304	Building Conservation			2,800						2,800
				2,500						2,500
305	Economic Development			13,300						13,300
				18,800					(800)	18,000
307	Gypsy & Traveller	0		7,100						7,100
		0		7,800						7,800
565	Community Grants			73,500	0		0			73,500
				81,300	0		(7,800)			73,500
TOTAL Planning & Development Services		0	0	267,800	0	(1,087,800)	0	0		(820,000)
		0	0	288,500	0	(811,100)	(7,800)	(20,800)		(551,200)
<u>Highways, Roads & Transport Services</u>										
311	Highways									0
										0
312	Street Naming			11,400						11,400
				11,400						11,400
534, 535	Off Street Parking	0	0	94,600	15,900	(722,000)	0	0		(611,500)
		0	0	124,700	18,900	(739,700)	0	0		(596,100)
TOTAL Highways, Roads & Transport Services		0	0	106,000	15,900	(722,000)	0	0		(600,100)
		0	0	136,100	18,900	(739,700)	0	0		(584,700)
<u>Housing Services</u>										
204	Rent Allowances			15,642,700			(535,200)	(15,226,300)		(118,800)
				15,121,700			(500,200)	(14,516,700)		104,800
203	Housing Benefits Admin			11,200				(151,300)		(140,100)
				13,400				(159,800)		(146,400)
591, 592, 593, 598	Other Housing Services	0	0	29,300	0	(27,500)	(4,000)	0		(2,200)
		0	0	66,400	0	(45,800)	(4,900)	(50,900)		(35,200)
TOTAL Housing Services		0	0	15,683,200	0	(27,500)	(539,200)	(15,377,600)		(261,100)
		0	0	15,201,500	0	(45,800)	(505,100)	(14,727,400)		(76,800)

ORIGINAL 17/18 (Top)
REVISED 17/18 budget

Description		Direct Costs				Income			Government Grant	Net Budget
		Staffing £	Transport £	Goods and Services £	Capital Charges £	Fees and Charges £	Other Income £			
Non Distributed Costs										
257	Non Distributed Costs	0	0	0	0	0	0	0	0	0
TOTAL Non Distributed Costs		0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0
Other Services										
224	Misc Land & Property			1,200	0	(21,700)				(20,500)
				4,600	0	(22,200)				(17,600)
225	Industrial Sites			2,100		(117,100)				(115,000)
				2,200		(118,900)				(116,700)
TOTAL Other Services		0	0	3,300	0	(138,800)	0	0	0	(135,500)
		0	0	6,800	0	(141,100)	0	0	0	(134,300)
SUB TOTAL		8,572,100	108,100	21,534,100	1,155,100	(5,244,300)	(1,679,900)	(15,528,600)		8,916,600
		8,481,800	112,600	21,633,300	818,300	(5,026,700)	(1,794,100)	(14,924,600)		9,300,600
Less Vacancy/Savings		(83,683)								(83,683)
TOTAL AGREED										
	ORIGINAL 17/18	8,488,417	108,100	21,534,100	1,155,100	(5,244,300)	(1,679,900)	(15,528,600)		8,832,917
	REVISED 17/18	8,481,800	112,600	21,633,300	818,300	(5,026,700)	(1,794,100)	(14,924,600)		9,300,600

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ORIGINAL 18/19 budget

		Direct Costs				Income		Government Grant	Net Budget
Cost Centre	Description	Staffing	Transport	Goods and Services	Capital Charges	Fees and Charges	Other Income		
		£	£	£	£	£	£	£	£
<u>Service Management & Support Services</u>									
101	Corporate Core	631,900	1,000	11,700			(21,800)		622,800
102	Election Services	102,400	100	1,400					103,900
103	Policy & Comms	228,100	300	16,200					244,600
104	Training			75,100					75,100
105	Human Resources	187,500	200	22,000					209,700
106	Apprentices	22,700		18,000					40,700
108	Committee Services	337,000	300	21,900		(10,000)			349,200
109	General Office Support	46,400		700					47,100
110	Customer Services	407,300	400	19,300			(32,300)		394,700
111	Internal Audit & Perf. Review			70,400					70,400
113	Finance	396,700		92,100					488,800
114	Revenues & Benefits	1,035,000	500	111,000			(375,900)		770,600
118	Leisure & Community	311,900	1,400	33,300					346,600
119	IT Services	433,700		351,900	42,500				838,100
121	Council Offices	200,700		247,300	8,000		(62,800)		393,200
124	Princes Rd Depot			17,800	5,500				23,300
132	Environmental Health	512,000	8,300	11,600					531,900
133	Environmental Waste	188,400	100	3,800					192,300
134	Housing	627,900	2,200	14,500					644,600
141	Parks & Countryside Services	631,200	52,800	124,600	22,100	(29,300)	(79,400)		722,000
149	Nursery								0
153	Parks Rangers	376,300	9,400	8,600	1,700		(67,000)		329,000
155	Prom Depot			9,800	2,700		(2,000)		10,500
163	Enforcement	229,800	600	6,500					236,900
164	Economic Development	147,700	1,900	1,500					151,100
165	Planning Policy Services	432,600	1,400	4,500					438,500
166	Planning Admin Services	293,100		33,300					326,400
167	Development Control Services	651,900	4,100	14,800					670,800
168	Building Control Services	225,200	5,500	5,300					236,000
TOTAL Service Management & Support Services		8,657,400	90,500	1,348,900	82,500	(39,300)	(641,200)	0	9,508,800

ORIGINAL 18/19 budget

APPENDIX 8

ORIGINAL 18/19 budget		Direct Costs				Income			
Cost Centre	Description	Staffing £	Transport £	Goods and Services £	Capital Charges £	Fees and Charges £	Other Income £	Government Grant £	Net Budget £
<u>Central Services</u>									
<u>Corporate Core & Democratic Core</u>									
256	Corporate Management			151,800					151,800
260	Democratic Representation & Mgt	215,500	11,600	41,200	1,900				270,200
TOTAL Corporate & Democratic Core		215,500	11,600	193,000	1,900	0	0	0	422,000
<u>Central Services to the Public</u>									
202	Business Rates Collection			4,300		(5,500)		(93,000)	(94,200)
209	Council Tax Benefit Admin			3,700				(50,000)	(46,300)
216	Council Tax Collection			36,300		(106,700)			(70,400)
213	Electoral Registration			47,800		(1,200)			46,600
253	Civil Emergencies			33,900					33,900
254	Election Management			12,700					12,700
255	Land Charges			15,200		(121,900)			(106,700)
TOTAL Central Services		0	0	153,900	0	(235,300)	0	(143,000)	(224,400)
<u>Cultural, Environmental & Planning Services</u>									
<u>Cultural Services</u>									
501, 502, 503, 509, 520, 522	Sport	0	0	173,900	12,300	0	(605,300)	0	(419,100)
122, 506, 508	Community Centres	0	0	34,800	6,400	0	0	0	41,200
505, 511, 514, 516, 518, 519	Parks & Open Spaces	30,000	0	301,500	215,900	(666,100)	(68,600)	0	(187,300)
542, 546	Heritage	0	0	4,300	5,100	0	0	0	9,400
309	Rivers		6,500	59,500	10,100	(167,400)	(6,700)		(98,000)
320, 325, 330	Tourism	140,100	500	68,700	0	(15,300)	0	0	194,000
TOTAL Cultural Services		170,100	7,000	642,700	249,800	(848,800)	(680,600)	0	(459,800)
<u>Environmental Services</u>									
340	Public Entertainment Licences			27,900		(55,600)			(27,700)
341	Hackney Carriage			16,000		(33,300)			(17,300)
550	Public Conveniences			105,400	21,800				127,200
555	Cemeteries			42,300	13,500	(126,400)			(70,600)
562, 563	Community Safety	77,000	0	35,400	0	0	(14,300)	0	98,100
576, 579, 581	Waste Management	0	2,900	3,294,300	317,800	(1,997,000)	(700)	0	1,617,300
566, 567, 570, 571, 572, 573, 577	Other Environmental Health	5,000	1,800	60,000	6,100	(55,900)	0	0	17,000
TOTAL Environmental Services		82,000	4,700	3,581,300	359,200	(2,268,200)	(15,000)	0	1,744,000

ORIGINAL 18/19 budget

APPENDIX 8

ORIGINAL 18/19 budget		Direct Costs				Income			
Cost Centre	Description	Staffing	Transport	Goods and Services	Capital Charges	Fees and Charges	Other Income	Government Grant	Net Budget
		£	£	£	£	£	£	£	£
Planning & Development Services									
232	Discretionary Rate Relief								
301	Planning Policy			26,500					26,500
302	Development Control			124,000		(892,400)			(768,400)
303	Building Regs - Fee Related			4,000		(135,300)			(131,300)
313	Building Regs - Non Fee Related								0
304	Building Conservation			1,800					1,800
305	Economic Development			72,500			(60,000)		12,500
307	Gypsy & Traveller			8,000					8,000
565	Community Grants			81,300	0			(7,800)	73,500
TOTAL Planning & Development Services		0	0	318,100	0	(1,027,700)	(60,000)	(7,800)	(777,400)
Highways, Roads & Transport Services									
311	Highways								0
312	Street Naming			11,400					11,400
534, 535	Off Street Parking	0	0	156,400	18,100	(736,700)	0	0	(562,200)
TOTAL Highways, Roads & Transport Services		0	0	167,800	18,100	(736,700)	0	0	(550,800)
Housing Services									
204	Rent Allowances			15,121,700			(388,200)	(14,516,700)	216,800
203	Housing Benefits Admin			12,800		(3,000)		(137,000)	(127,200)
591, 592, 593, 598	Other Housing Services	0	0	71,800	0	(43,500)	(4,000)	(83,800)	(59,500)
TOTAL Housing Services				15,206,300	0	(46,500)	(392,200)	(14,737,500)	30,100
Other Services									
224	Misc Land & Property			5,200		(32,000)			(26,800)
225	Industrial Sites			1,100		(114,900)			(113,800)
TOTAL Other Services		0	0	6,300	0	(146,900)	0	0	(140,600)
SUB TOTAL		9,125,000	113,800	21,618,300	711,500	(5,349,400)	(1,789,000)	(14,888,300)	9,541,900

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Earmarked Revenue Reserve	Purpose	Review Mechanism	At 31/3/17	Estimated at 31/3/18	Estimated at 31/3/19
Repairs & Renewals Fund	To provide funds to support additional revenue / capital costs arising from the need to maintain the Council's Asset base	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	225,316	171,316	140,000
Insurance	The Council maintains external insurance policies to cover major risks. In many cases the policies have excess clauses that require the Council to meet the first part of each claim. The Council has established this reserve to cover its liabilities under policy excesses, finance any claims for small risks not insured externally and cover any future liability that may arise from winding up of Municipal Mutual Insurance.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	60,000	60,000	60,000
Revenue Commitments	This reserve exists to smooth out the timing differences between monies being earmarked to expenditure from the annual revenue budget and the expenditure actually occurring	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	299,767	250,000	250,000
Heritage Projects	The Council gives grants in support of environmental initiatives and historic buildings. The time limits on these grants exceed the financial year in which budget provision is made, necessitating a reserve to cover outstanding liabilities	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	8,617	8,600	-
Community Grants	The Council previously had schemes for awarding grants. The time limits on these grants exceed the financial year in which budget provision is made, necessitating a reserve to cover outstanding liabilities.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	1,000	1,000	-
Local Development Plan (LDP)	Money has been put aside from unspent budgets to support the creation and adoption of the delayed LDP	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	406,037	177,700	100,000
Land Charges	Government Grant received in 2010 / 11 has been put aside to support the cost of resolving the legal dispute concerning refunds of local search fees	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	5,940	5,700	5,300
Business Continuity	To provide funding for emergency requirements such as salt, sand bags or other business continuity requirements	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	10,000	10,000	10,000
Preventing Repossessions	A grant was received from the Government in 2011/12. This funding has been set aside to support future work to be undertaken as part of the Council's Strategic Homeless strategy.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	31,773	31,800	-
Community Sport Network	The Council has schemes for awarding grants. The time limits on these grants exceed the financial year in which budget provision is made, necessitating a reserve to cover outstanding liabilities.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	8,535	-	-
Transformation	The Council is looking to change the way in which it works internally and also how it delivers its services to others. This reserve will enable up-front investment in these projects and provide funds to meet the one off costs of achieving efficiency savings or service reductions in order to realise efficiency savings/service reductions in future years	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	765,204	711,004	602,904
Localisation of Council Tax and Business Rates	The new business rate funding and council tax localisation regime provides significant risk to the authority especially in the first few years whilst funding cuts are experienced. This reserve has been set up to mitigate the impact of these changes.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	369,200	-	-
Neighbourhood Plan Applications	To provide funding for preparation of Neighbourhood Plans	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	17,249	29,500	29,500
Waste Contract Implementation	Money set aside towards the procurement and mobilisation of the new Waste contract	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	44,032	-	-
Equalisation Reserve*	To ensure that the General Fund can be credited with budgeted Business Rate income if there are fluctuations from budget to actual, and to enable the forward funding of 3 year pension deficit to release revenue savings.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	-	620,095	821,095
Other Reserves	Other reserves have been set up in relation to the continuation of projects for which external funds have been received but have not been fully utilised within that particular year.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	364,675	206,960	82,312
TOTAL*			2,617,344	2,283,675	2,101,111

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Director of Resources statement on robustness of budgets and adequacy of reserves

Introduction

The Section 151 Officer (S151 of the Local Government Act 1972) is required to make a statement on the adequacy of reserves and the robustness of the budget. This is a statutory duty under section 25 of the 2003 Local Government Act which states the following:

- (1) *Where an authority to which section 32 or 43 of the Local Government Finance Act 1992 (billing or major precepting authority) or section 85 of the Greater London Authority Act 1999 (c.29) (Great London Authority) applies is making calculations in accordance with that section, the chief finance officer of the authority must report to it on the following matters-*
 - (a) *The robustness of the estimates made for the purposes of the calculations, and*
 - (b) *The adequacy of the proposed financial reserves.*
- (2) *An authority to which a report under this section is made shall have regard to the report when making decisions about the calculations in connection with which it is made.*

This includes reporting and taking into account:

- The key assumptions in the proposed budget and to give a view on the robustness of those assumptions.
- The key risk areas in the budget and to assess the adequacy of the Council's reserves when reviewing the potential financial impact of these risk areas on the finances of the Council. This should be accompanied by a Reserves Strategy.

This report has to be considered and approved by Council as part of the budget approval and Council Tax setting process.

This document concentrates on the 2018 / 19 General Fund Revenue Budget Estimates, the proposed Capital Programme and Treasury Management Strategy, but in addition it also considers key medium term issues faced by the Council.

Assurance Statement of the Council's Section 151 Officer - Director of Resources

The following are the summary assurances and recommendations of the Council's Section 151 Officer, currently the Interim Director of Resources.

In relation to the 2018 / 19 General Fund Revenue budget I have examined the budget proposals and I believe that, whilst the spending and service delivery proposals are challenging, they are nevertheless achievable given the political and management will to implement them, good management, and the sound monitoring of performance and budgets. I am satisfied that sufficient management processes exist within the Council to deliver this budget and to identify and deal with any problems which may arise unexpectedly during the year.

1. My recommendations are conditional upon:

- The agreement of a Medium Term Financial Strategy for 2018 / 19 to 2021 / 22.
- A recognition in the medium term planning approach that the level of reserves and corporate risk assessment need to be regularly reviewed in the light of changing circumstances and that it may not be possible to match the two at any single point in time. The Council needs to show a commitment to maintain reserves at a level which provides adequate cover for most identified risks during the planning period. This approach is pragmatic, and shows a clear commitment to prudent financial planning.
- Councillors, Chief Executive, Directors, Service Managers and budget holders managing their services within budget.
- That the Council has arrangements and resources in place to consider value for money in preparation for future years' budgets.

2. In relation to the adequacy of reserves, the overall position is that the authority has healthy balances across the General fund and Capital, but recognises that over the medium term these are reducing. The policy on reserves and use of balances is set out annually and agreed in the medium term financial strategy.

3. In relation to the General Fund Capital Programme 2018 / 19 (including commitments from previous years and new starts), balances remain healthy, but the position is changing as capital receipts decline.

Assurance

Given all these factors, I, as the Council's Section 151 Officer, consider the estimates for 2018 / 19 to be sufficiently robust but challenging for approval by the Council. I am also able to advise the Council that the planned level usable General Fund Reserves and the working balance is adequate.

Emma Foy
Director of Resources