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CHIEF EXECUTIVE'S OFFICE
CHIEF EXECUTIVE
Fiona Marshall

26 February 2018

Dear Councillor

You are summoned to attend the meeting of the;

FINANCE AND CORPORATE SERVICES COMMITTEE

on **TUESDAY 6 MARCH 2018 at 7.30 pm.**

in the Council Chamber. Maldon District Council Offices, Princes Road, Maldon.

A copy of the agenda is attached.

Yours faithfully

A handwritten signature in blue ink, appearing to read 'F. R. Marshall', enclosed within a large, loopy oval shape.

Chief Executive

COMMITTEE MEMBERSHIP

CHAIRMAN

Councillor D M Sismey

VICE-CHAIRMAN

Councillor I E Dobson

COUNCILLORS

Mrs B F Acevedo

J P F Archer

P G L Elliott

A S Fluker

M S Heard

Miss M R Lewis

Rev. A E J Shrimpton

Ex-officio non-voting Members:

*Councillors M F L Durham, CC
B S Beale MBE*

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AGENDA
FINANCE AND CORPORATE SERVICES COMMITTEE
TUESDAY 6 MARCH 2018

1. **Chairman's notices (please see overleaf)**

2. **Apologies for Absence**

3. **Minutes of the last meeting** (Pages 5 - 146)

To confirm the Minutes of the meeting of the Finance and Corporate Services Committee held on 30 January 2018 (copy enclosed).

4. **Disclosure of Interest**

To disclose the existence and nature of any Disclosable Pecuniary Interests, other Pecuniary Interests or Non-Pecuniary Interests relating to items of business on the agenda having regard to paragraphs 6-8 inclusive of the Code of Conduct for Members.

(Members are reminded that they are also required to disclose any such interests as soon as they become aware should the need arise throughout the meeting).

5. **Public Participation**

To receive the views of members of the public on items of business to be considered by the Committee (please see below):

1. A period of ten minutes will be set aside.
2. An individual may speak for no more than two minutes and will not be allowed to distribute or display papers, plans, photographs or other materials.
3. Anyone wishing to speak must notify the Committee Clerk between 7.00pm and 7.20pm prior to the start of the meeting.

6. **Chairman's Good News Announcements**

7. **Supplementary Estimates and Virements** (Pages 147 - 150)

To consider the report of the Director of Resources (copy enclosed).

8. **Pay Policy Statement (Annual Review)** (Pages 151 - 158)

To consider the report of the Director of Resources (copy enclosed).

9. **Treasury Management and Annual Investment Strategy 2018-19** (Pages 159 - 210)

To consider the report of the Director of Resources (copy enclosed).

10. **Financial Services Policy - Mileage and Expenses** (Pages 211 - 222)
To consider the report of the Director of Resources (copy enclosed).
11. **Information and Data Security Policies** (Pages 223 - 234)
To consider the report of the Director of Resources (copy enclosed).
12. **Data Protection Policy 2018** (Pages 235 - 242)
To Consider the report of the Director of Resources (copy attached).
13. **Information Security Data Breach Incident Reporting Management Policy** (Pages 243 - 252)
To Consider the report of the Director of Resources (copy enclosed).
14. **Any other items of business that the Chairman of the Committee decides are urgent**

NOTICES

Sound Recording of Meeting

Please note that the Council will be recording any part of this meeting held in open session for subsequent publication on the Council's website. At the start of the meeting an announcement will be made about the sound recording. Members of the public attending the meeting with a view to speaking are deemed to be giving permission to be included in the recording.

Fire

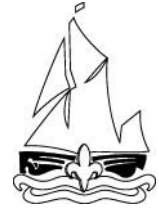
In event of a fire, a siren will sound. Please use the fire exits marked with the green running man. The fire assembly point is outside the main entrance to the Council Offices. Please gather there and await further instruction.

Health and Safety

Please be advised of the different levels of flooring within the Council Chamber. There are steps behind the main horseshoe as well as to the side of the room.

Closed-Circuit Television (CCTV)

This meeting is being monitored and recorded by CCTV.



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

PRESENT

Vice-Chairman Councillor I E Dobson
(in the chair)

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

2018 Maldon District Council Document Retention Schedule

			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	Permanent Storage at MDC Transfer to place of deposit after administrative use is concluded. Committee documents published to and retained on website. 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, Minutes (and copies) to be made available for 6 years after a meeting. Lists of Background Papers to be kept available for 4 years after the date of the meeting.	<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 	Statutory Minutes retention - Section 228 of the Local Government Act 1972. Local Government (Access to Information) Act 1985 Hard copy Committee agendas and reports should be destroyed after meetings.
DP2.2	Delegated Decisions	Written records of delegated decisions must be kept available for 6 years .	Service area records and paper files. Service area website pages, if applicable, where any such decisions are published <i>[NB – Process under review & therefore likely to change in 2018]</i>	The Openness of Local Government Bodies Regulations 2014 requires publication of certain types of delegated decision
DP2.3	Minute Taking	Destroy after date of confirmation of the minutes Draft notes should be deleted/ destroyed once Minutes have been confirmed.	<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

2018 Maldon District Council Document Retention Schedule

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

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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 	

2018 Maldon District Council Document Retention Schedule

			<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 Note: 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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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)

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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

Version Number	Date	Change
1.01	8/01/2018	S1.3 – Amend retention period to 6 years.

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?

- 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.
- 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					

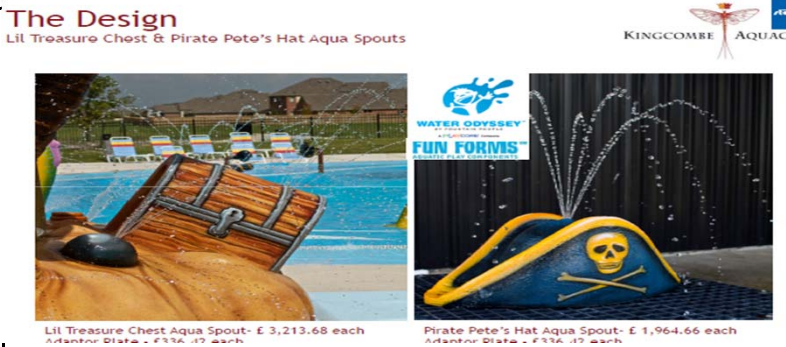
CAPITAL PROJECT SHEET

<p>Describe links to Corporate Goals</p> <p><i>Corporate goals:</i></p> <ul style="list-style-type: none"> 1) Strengthening communities to be safe, active and healthy 2) Protecting and shaping the District 3) Creating opportunities for economic growth and prosperity 4) Delivering good quality, cost effective and valued services 	<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

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 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

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>	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>

<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>	
---	--

	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

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>	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			

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

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
		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
New charge									
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

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		
	2016/17	2017/18	restated 2017/18	Revised 2017/18	Original 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

Description		Direct Costs				Income			Government Grant	Net Budget
		Staffing £	Transport £	Goods and Services £	Capital Charges £	Fees and Charges £	Other Income £		£	£
<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
<u>TOTAL Planning & Development Services</u>		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)
<u>TOTAL Highways, Roads & Transport Services</u>		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)
<u>TOTAL Housing Services</u>		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

		Direct Costs				Income				
Cost Centre	Description	Staffing	Transport	Goods and Services	Capital Charges	Fees and Charges	Other Income	Government Grant	Net Budget	
		£	£	£	£	£	£	£	£	
Central Services										
Corporate Core & Democratic Core										
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	
Central Services to the Public										
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)	
Cultural, Environmental & Planning Services										
Cultural Services										
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)	
Environmental Services										
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



REPORT of DIRECTOR OF RESOURCES

**to
FINANCE AND CORPORATE SERVICES COMMITTEE
6th MARCH 2018**

SUPPLEMENTARY ESTIMATES AND VIREMENTS: 1 NOVEMBER 2017 - 31ST JANUARY 2018

1. PURPOSE OF THE REPORT

- 1.1 To report virements and supplementary estimates agreed under delegated powers to this Committee.
- 1.2 To inform Members of procurement exemptions that have been granted in the period.

2. RECOMMENDATION

- 2.1 That the two virement requests in paragraph 3.2.2 and 3.2.3 are noted.
- 2.2 That the procurement exemptions granted during the period, as detailed in paragraph 3.4.2 below are noted.

3. SUMMARY OF KEY ISSUES

3.1 Rules and Regulations

- 3.1.1 The approval and reporting arrangements in relation to virements and supplementary estimates are set out in the Financial Regulations and Financial Procedures. These are as follows:

Virements (movements) within the same Directorate:

- Agreed by the relevant Director and the Director of Resources.

Virements between different Directorates:

- Up to £20,000 – Director and Director of Resources and reported in monthly Members Bulletin;
- Over £20,000 up to £50,000 – Director, Director of Resources, in consultation with relevant Standing Committee Chairman and reported to the next Finance and Corporate Services Committee;
- Over £50,000 - the Finance and Corporate Services Committee.

Supplementary estimates:

- Up to £20,000 – Director, Director of Resources and Chief Executive in consultation with the Chairman of the Finance and Corporate Services Committee and the Leader of the Council and reported to the next meeting of the Finance and Corporate Services Committee;
- Over £20,000 – the Finance and Corporate Services Committee.

3.1.2 The Contract Procedure Rules provide information in relation to procurement exemptions. The exemption enables the Council to waive any requirements within the contract procedure rules for specific projects.

3.1.3 Procurement exemptions should be signed by the Officer and countersigned by the Director of Resources and, where appropriate, the Chairman of the Finance and Corporate Services Committee.

3.2 Virements

3.2.1 A joint tender exercise took place, combining three capital road resurfacing projects within the Customer and Communities Directorate to achieve best value for the council. As a result, the following virements were required to realign the budgets for the projects.

3.2.2 A virement was required of £51,000 from the Prom Park road repairs capital budget to the all-weather winter car park capital budget.

3.2.3 A virement was required of £8,000 from the Burnham Cemetery road repairs capital budget to the all-weather winter car park capital budget.

3.3 Supplementary Estimates

3.3.1 There were no supplementary estimate requests to report

3.4 Procurement Exemptions

3.4.1 Customers and Communities requested an exemption from the three quote process to enable the Council to automate the green waste payment system within the contractors main I.T System. As the system is licensed to our contractors, these works can only be carried out by their systems developer.

3.4.2 Housing services requested an exemption in relation to the purchase of new software for the introduction of the Homelessness reduction Act. The new system is the only one that can demonstrate full compliance with the additional requirements for implementing the Act and new reporting to government. It also benefits from having been developed alongside the drafting and implementation of the Act and also has an open-ended agreement for revisions and updates included within the cost.

4. CONCLUSION

- 4.1 The two capital virements detailed above are necessary to modify the approved budget to fit circumstances that have arisen since the budget was set.
- 4.2 The two procurement exemptions have been utilised over the period to waive the procurement requirements set out in the Contract Procedure Rules.

5. IMPACT ON CORPORATE GOALS

- 5.1 The adherence to the Financial Regulations and Financial Procedures contributes towards the corporate goal of ‘Delivering good quality, cost effective and valuable services’.

6. IMPLICATIONS

- (i) **Impact on Customers** – None identified.
- (ii) **Impact on Equalities** – None identified.
- (iii) **Impact on Risk** – None identified.
- (iv) **Impact on Resources (financial)** – These are discussed above.
- (v) **Impact on Resources (human)** – None identified.
- (vi) **Impact on the Environment** – None identified.

Background Papers: None.

Enquiries to: Emma Foy, Director of Resources, (Tel: 01621 875762).

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REPORT of DIRECTOR OF RESOURCES

**to
FINANCE AND CORPORATE SERVICES COMMITTEE
6 MARCH 2018**

PAY POLICY STATEMENT

1. PURPOSE OF THE REPORT

- 1.1 To meet the statutory requirement to annually seek Council approval of the Council's Pay Policy Statement.

2. RECOMMENDATION

To the Council:

That the Pay Policy Statement attached at **APPENDIX 1** to this report be adopted for the financial year 2018 /19.

3. AREA FOR DECISION / ACTION

- 3.1 The Localism Act 2011 requires that Councils publish a Pay Policy Statement describing the approach of the authority to the remuneration of the highest ("Chief Officers") and lowest paid staff. The Pay Policy Statement was originally put in place on 1 April 2012. This has to be annually approved by the elected Members of the Council.
- 3.2 The Ministry of Housing, Communities & Local Government publish formal Guidance in respect of meeting this requirement. This defines a large number of specific issues which must be addressed in the Statement but leaves it to the discretion of each authority as to what their policy is toward these matters.
- 3.3 The Pay Policy Statement has been reviewed and is attached at APPENDIX 1. It reflects the current arrangements for pay at Maldon District Council.

4. CONCLUSION

- 4.1 To meet the requirements of the Localism Act 2011 the Committee is requested to recommend to the Council the re-adoption of the Pay Policy Statement attached at **APPENDIX 1**.

5. IMPACT ON CORPORATE GOALS

- 5.1 The publication of a pay policy statement aids transparency in line with the corporate goal of “delivering good quality, cost effective and valued services”.

6. IMPLICATIONS

- (i) **Impact on Customers** – None
- (ii) **Impact on Equalities** – Part of the government rationale for the publication of the Pay Policy Statement is to highlight the relative pay of the highest and lowest paid staff.
- (iii) **Impact on Risk** – None.
- (iv) **Impact on Resources (financial)** – None.
- (v) **Impact on Resources (human)** – None.
- (vi) **Impact on the Environment** – None.
- (vii) **Impact on Strengthening Communities** – None.

Background Papers: None

Enquiries to: Dawn Moyse, Group Manager: People, Performance and Policy (Tel: 01621 875869).

Document Control Sheet

Document title	Pay Policy Statement
Summary of purpose	Compliance with Localism Act
Prepared by	Group Manager ; People, Performance and Policy
Status	Final
Version number	6
Approved by	
Approval date	
Date of implementation	Immediate
Review frequency	Annual (or as necessary before then)
Next review date	January 2019
Circulation	
Published on the Council's website	Yes

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.



MALDON DISTRICT
COUNCIL

Pay Policy Statement

Note: This Statement has been written to meet the statutory requirements of the Localism Act 2011 and to aid transparency in respect of Maldon District Council's policy regarding pay to the highest and lowest paid staff.

1. General policy

- 1.1 The Council has undertaken a Job Evaluation exercise which reviewed every post in the Council, up to and including the Chief Executive, on a consistent basis and placed them within a single unified pay scale. The pay scale was designed to be consistent with best practice and benchmarked as to value and applies up to and including Director level. In accordance with the Council's constitution, the remuneration of the posts of Chief Executive and Directors were set by the Appointments Committee composed of elected Members of the authority.
- 1.2 The Job Evaluation process was designed to achieve compliance with Equal Pay legislation and, further to this, the contractual terms and conditions of staff were also standardised at the same time. The effect is that the remuneration of all Council employees is governed by a single set of policies and procedures. This is reflected in the Pay Policy statements below.
- 1.3 The pay multiple for 18/19 is based on the ratio of the Chief Executives Salary to all other employees average FTE salary and equates to 3.76. The Government has considered setting twenty to one as a maximum. As a result it is not considered necessary to have a specific policy concerning the pay multiple. If the multiple starts to rise, for example above five to one, this could be reconsidered.

2. Policy regarding pay to "Chief Officers"

2.1 Definition of "Chief Officers" for the purposes of this statement

- 2.1.1 The term "Chief Officer" as employed in the Localism Act has a different meaning to the use made of it at Maldon District Council. For the purposes of this Pay Policy Statement only, the relevant posts are considered to be:

- Chief Executive
- The three Director posts
- The Monitoring Officer

2.2 Pay

- 2.2.1 Pay for the post of Chief Executive is set by the Appointments Committee and approved by the Council. The role of Director was introduced following the 2014 Senior Management Review and pay set by the Job Evaluation process. The pay line of Directors is subject to the same factors as the rest of staff pay, for example any annual pay award granted.

2.2.2 Any exception to this, such as a proposal to change the pay of senior staff out of line with normal pay awards would be subject to a report to the Council and approval being given.

2.2.3 An additional consideration is that the Chief Executive has delegated powers to award discretionary points on an officer's salary scale within approved budgetary limits where they deem it to be in the interests of the Authority. This only applies to points up to the maximum of the salary band for that post.

2.3 Performance related pay and bonuses

2.3.1 Maldon District Council does not have performance related pay or bonus payments for any staff. As there is no mechanism for linking pay and performance in this way 'earn back' arrangements are not appropriate.

2.4 Fees, allowances, benefits in kind and expenses

2.4.1 The Chief Executive is also the Returning Officer for the District, meaning that the post holder has specific responsibilities in respect of all elections and national referenda held in the District. These duties attract fees that are variable depending on the election. For Parliamentary, Police and Crime Commissioner, European elections and national referenda these are set by the Government. For County elections there are set by Essex County Council. For District and Parish elections they are set locally.

2.4.2 Apart from this no fees, allowances, benefits on kind or expenses are available to the posts listed in 2.1, other than those available to all staff and on the same basis.

2.5 Pension

2.5.1 All staff are eligible to join the Local Government Pension Scheme in accordance with the terms of that scheme. No special considerations apply to the posts listed in 2.1.

2.6 Severance payments

2.6.1 Where senior staff leave in the normal course of business (resignation, retirement, etc.) the same procedures would be applied as for any other staff member and no additional payments would arise as a result.

2.6.2 Should a senior post be made redundant the post holder would receive redundancy payments in accordance with the Council's Managing Organisational Change policy that applies to all staff. The Council's policy is not to award any additional compensatory payments to staff.

2.6.3 Should a senior staff member leave as a result of a settlement agreement these, by their nature, are subject to negotiation with the individual and their representatives and so are variable in their terms. Such agreements are formal legal arrangements and confidentiality binding on both parties is a key

component, so any payment arising from such an agreement would not be published. Authorisation of the payment would be in accordance with the Council's terms of reference and scheme of delegation and it would need to represent value for money for the taxpayer in the circumstances.

- 2.6.4 Senior staff that were previously employed by the Authority and left with a severance or redundancy payment may be re-employed on a consultancy basis to cover short term staff pressures where it is considered appropriate in the public interest to do so.

2.7 Recruitment of senior staff

- 2.7.1 When recruiting to a senior post the salary offered would be that applicable to the grade of the post, as determined by Job Evaluation, and within the established pay line. No additional payments would arise, unless a market supplement to enable recruitment was considered justified due to a recognised technical skill shortage in the job market.
- 2.7.2 In the event that a senior post were to be filled by a person who had retired from another Authority and was in receipt of a pension it would be arranged so that the person was not better off overall, through abatement of pension and/or pay as applicable.
- 2.7.3 In accordance with the guidance set out in the Localism Act, Full council should be given the opportunity to vote before large salary packages (£100k or above) offered in respect of a new appointment. This will be considered by the Council should the opportunity arise in the future.

2.8 Monitoring Officer

- 2.8.1 The Monitoring Officer is not subject to any additional payment.

2.9 Publication of remuneration of senior staff

- 2.9.1 This Pay Policy Statement, once approved by the Council, will be published on the Council's website.
- 2.9.2 The remuneration and pension contributions of the posts listed in 2.1 above are published annually in the Financial Statements of the Authority and a copy placed on the website.

3. Lowest paid staff

3.1 Definition

- 3.1.1 The lowest paid staff at Maldon District Council are those in Pay Band A (£14,027 to £15,403). This definition has been chosen as reflecting the reality of the pay line. The posts in Band A were placed there as a result of the Council's Job Evaluation scheme.

3.2 Pay Policy in respect of lowest paid staff

- 3.2.1 No special considerations apply to the lowest paid staff. They are subject to identical terms and conditions, procedures and policies as all other staff. In some cases these policies give slightly different benefits to different levels of staff. For example the lowest five pay bands (A to E) an enhanced pay rates for overtime is paid. No enhancement above grade E is paid. In contrast the basic amount of annual leave increases with pay. Overtime is only paid in exceptional circumstances to staff.

All employees paid at spinal column point 1 through to 7 of the pay spine are paid at a living wage rate of £8.75 per hour or £16,881 (full time equivalent earnings) per annum for a standard 37 hour, 52 week a year contract. The rate is paid by way of a supplement to basic pay.

The Council employs Apprentices who are not included within the definition of 'lowest paid employees' and are not subject to the living wage rate.

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REPORT of DIRECTOR OF RESOURCES

**to
FINANCE AND CORPORATE SERVICES COMMITTEE
6 MARCH 2018**

TREASURY MANAGEMENT AND ANNUAL INVESTMENT STRATEGY 2018 / 19

1. PURPOSE OF THE REPORT

- 1.1 Members are asked to consider and recommend to Council the draft Treasury Management and Annual Investment Strategy for 2018 / 19.

2. RECOMMENDATION

To the Council:

That the draft Treasury Management and Annual Investment Strategy together with the embedded Prudential Indicators for 2018 / 19, as attached in **APPENDICES 1,2 and 3** be approved.

3. SUMMARY OF KEY ISSUES

- 3.1 This report is to seek Members' comments on the Treasury Management and Annual Investment Strategy 2018 / 19.
- 3.2 The Treasury Management and Annual Investment Strategy for 2018/19 is attached as **APPENDIX 1**. For completeness, the supporting Treasury Management Practices are attached as **APPENDIX 2** and Prudential Indicators are included in **APPENDIX 3**.
- 3.3 The Strategy was to be considered by the Overview and Scrutiny Committee on 15 February 2018. Confirmatory questions and assurances were sought as part of this item but no specific recommendations were made to this committee to consider as part of this item of business.
- 3.4 The Strategy has been compiled using a template provided by the Council's treasury advisor, Arlingclose Ltd. The Strategy includes amendments recommended to the Finance and Corporate Services (F&CS) Committee on 28 November 2017.
- 3.5 The Council's current lending list, where funds are held as at 6 December 2017, is set out in the table shown overleaf:

Financial Institution	Lowest Credit Rating	Max Investment Period	Amount £000	Maturity
Barclays Bank Plc	A	100 days	2,000	95 days notice
Federated Investors (MMF)	AAA	Not applicable	5,000	Overnight
Goldman Sachs (GSAM) (MMF)	AAA	Not applicable	4,000	Overnight
Lamit Property Fund	Not applicable	Not applicable	3,000	N/A
Lloyds Bank Plc	A	13 months	2,000	19 Feb 2018
NatWest Bank Plc	BBB+	35 days		
Nationwide	A	6 months	2,000	19 Mar 2018
Nordea	AA+	13 months	1,000	9 Feb 2018
Investec	Not applicable	Not applicable	2,000	N/A
Total			21,000	

4. CONCLUSION

- 4.1 The Treasury Management and Annual Investment Strategy has been updated in line with statutory requirements and good practice, having regard to the Council's financial position, links to wider strategies, plans and aims and the advice of the Council's external treasury advisor.

5. IMPACT ON CORPORATE GOALS

- 5.1 This Strategy supports the Corporate Goal of "Delivering good quality, cost effective and valued services".

6. IMPLICATIONS

- (i) **Impact on Customers** – None.
- (ii) **Impact on Equalities** – None.
- (iii) **Impact on Risk** – The Council are looking to become more Commercial which then entails greater risk, however all new investment decisions will be entered into with suitable due diligence to ensure that any risk is mitigated.
- (iv) **Impact on Resources (financial)** – Investment interest received is a financial resource available to support spending on service provision.
- (v) **Impact on Resources (human)** – None directly.
- (vi) **Impact on the Environment** – None.

Background papers: None.

Enquiries to: Emma Foy, Director of Resources, (Tel: 01621 875762)

Treasury Management Strategy Statement and Annual Investment Strategy 2018 / 19

1. INTRODUCTION

- 1.1 The Council has adopted the Chartered Institute of Public Finance and Accountancy's Treasury Management in the Public Services: Code of Practice (the CIPFA Code) which requires the Council to approve a treasury management strategy before the start of each financial year. CIPFA consulted on changes to the Code in 2017, but has yet to publish a revised Code.
- 1.2 In addition, the Department for Communities and Local Government (DCLG) issued revised Guidance on Local Authority Investments in March 2010 that requires local authorities to approve an investment strategy before the start of each financial year.
- 1.3 This Treasury Management Strategy Statement (TMSS) fulfils the Council's legal obligation under the Local Government Act 2003 to have regard to both the CIPFA Code and the DCLG Guidance.
- 1.4 The Council has invested substantial sums of money and is therefore exposed to financial risks including the loss of invested funds and the revenue effect of changing interest rates. The successful identification, monitoring and control of risk are therefore central to the Council's treasury management strategy.
- 1.5 **Revised strategy:** In accordance with the CLG Guidance, the Council will be asked to approve a revised Treasury Management Strategy Statement should the assumptions on which this report is based change significantly. Such circumstances would include, for example, a large unexpected change in interest rates, in the Authority's capital programme or in the level of its investment balance.

2. EXTERNAL CONTEXT

2.1 Economic background

- 2.1.1 The major external influence on the Council's treasury management strategy for 2018 / 19 will be the UK's progress in negotiating its exit from the European Union and agreeing future trading arrangements. The domestic economy has remained relatively robust since the surprise outcome of the 2016 referendum, but there are indications that uncertainty over the future is now weighing on growth. Transitional arrangements may prevent a cliff-edge, but will also extend the period of uncertainty for several years. Economic growth is therefore forecast to remain sluggish throughout 2018 / 19.
- 2.1.2 Consumer price inflation reached 3.0% in September 2017 as the post-referendum devaluation of sterling continued to feed through to imports. Unemployment continued to fall and the Bank of England's Monetary Policy Committee judged that the extent of spare capacity in the economy seemed

limited and the pace at which the economy can grow without generating inflationary pressure had fallen over recent years. With its inflation-control mandate in mind, the Bank of England's Monetary Policy Committee raised official interest rates to 0.5% in November 2017.

- 2.1.3 In contrast, the US economy is performing well and the Federal Reserve is raising interest rates in regular steps to remove some of the emergency monetary stimulus it has provided for the past decade. The European Central Bank is yet to raise rates, but has started to taper its quantitative easing programme, signalling some confidence in the Eurozone economy.

2.2 Credit outlook

- 2.2.1 High profile bank failures in Italy and Portugal have reinforced concerns over the health of the European banking sector. Sluggish economies and fines for pre-crisis behaviour continue to weigh on bank profits, and any future economic slowdown will exacerbate concerns in this regard.
- 2.2.2 Bail-in legislation, which ensures that large investors including local authorities will rescue failing banks instead of taxpayers in the future, has now been fully implemented in the European Union, Switzerland and USA, while Australia and Canada are progressing with their own plans. In addition, the largest UK banks will ringfence their retail banking functions into separate legal entities during 2018. There remains some uncertainty over how these changes will impact upon the credit strength of the residual legal entities.
- 2.2.3 The credit risk associated with making unsecured bank deposits has therefore increased relative to the risk of other investment options available to the Authority; returns from cash deposits however remain very low.

2.3 Interest rate forecast

- 2.3.1 The Council's treasury adviser Arlingclose's central case is for UK Bank Rate to remain at 0.50% during 2018 / 19, following the rise from the historic low of 0.25%. The Monetary Policy Committee re-emphasised that any prospective increases in Bank Rate would be expected to be at a gradual pace and to a limited extent.
- 2.3.2 Future expectations for higher short term interest rates are subdued and on-going decisions remain data dependant and negotiations on exiting the EU cast a shadow over monetary policy decisions. The risks to Arlingclose's forecast are broadly balanced on both sides. The Arlingclose central case is for gilt yields to remain broadly stable across the medium term. Upward movement will be limited, although the UK government's seemingly deteriorating fiscal stance is an upside risk.
- 2.3.3 A more detailed economic and interest rate forecast provided by Arlingclose is attached at **Appendix A**.

- 2.3.4 For the purpose of setting the budget, it has been assumed that an average return of 1.6% will be achieved on investments.

3. LOCAL CONTEXT

- 3.1 As at 6 December 2017 the Council has no borrowing and £21m of investments. This is set out in further detail at **Appendix B**.
- 3.2 Investments are forecast to fall to £13m as capital receipts are used to finance capital expenditure and reserves are used to finance the revenue budget.
- 3.3 CIPFA's *Prudential Code for Capital Finance in Local Authorities* recommends that the Council's total debt should be lower than its highest forecast CFR over the next three years. The Council expects to comply with this recommendation during 2018 / 19 as there is currently no borrowing.

4. BORROWING STRATEGY

- 4.1 The Council is currently debt free and its capital expenditure plans do not currently imply any need to borrow over the forecast period. The Council may however borrow to pre-fund future years' requirements or capital expenditure that occurs in the year supporting the Authorities Commercial Strategy, providing this does not exceed the authorised limit for borrowing of £10 million.

4.2 Objectives

- 4.2.1 Should the Council's long-term plans change and it does borrow, the chief objective will be to strike an appropriately low risk balance between securing low interest costs and achieving cost certainty over the period for which funds are required. The flexibility to renegotiate loans will be a secondary objective.

4.3 Strategy

- 4.3.1 Given the significant cuts to public expenditure and in particular to local government funding, the Council's borrowing strategy will address the key issue of affordability without compromising the longer-term stability of the debt portfolio. With short-term interest rates currently much lower than long-term rates, it is likely to be more cost effective in the short-term to either use internal resources, or to borrow short-term loans instead. The Council's advisor Arlingclose will assist the Council with its borrowing options.
- 4.3.2 In addition, the Council may borrow short-term loans (normally for up to one month) to cover unexpected cash flow shortages.

4.4 Sources

- 4.4.1 The approved sources of long-term and short-term borrowing are:

- Public Works Loan Board (PWLB) and any successor body;
- Any institution approved for investments (see below);
- Any other bank or building society authorised to operate in the UK;
- UK public and private sector pension funds (except the Essex Pension Fund);
- Capital market bond investors;
- UK Municipal Bonds Agency plc and other special purpose companies created to enable local authority bond issues.

4.4.2 In addition, capital finance may be raised by the following methods that are not borrowing, but may be classed as other debt liabilities:

- Operating and finance leases;
- Hire purchase;
- Private Finance Initiative
- Sale and leaseback

4.4.3 The Council may consider sourcing its long-term borrowing from the PWLB but it will also investigate other sources of finance, such as local authority loans and bank loans, which may be available at more favourable rates.

4.5 Borrowing Indicators

4.5.1 The Council is required to approve two prudential indicators for External Debt. The Authorised Limit and Operational Limit for borrowing.

4.5.2 The Authorised limit is the maximum amount of borrowing that the Council is allowed to reach and should not be breached. This includes a head room over the Operational limit to allow for cashflow issues, and unexpected breaches in the operational limit.

4.5.3 The Operational limit is the probable amount of borrowing that is required and should reflect that that is required and affordable on an ongoing basis to the Council. This will always be lower than the authorised limit.

	2018 / 19	2019 / 20
Authorised Borrowing Limit	£10m	£10m
Operational Borrowing Limit	£7m	£7m

4.6 Municipal Bond Agency

4.6.1 UK Municipal Bonds Agency plc was established in 2014 by the Local Government Association as an alternative to the PWLB. It plans to issue bonds on the capital markets and lend the proceeds to local authorities. This will be a more complicated source of finance than the PWLB for two reasons: borrowing authorities will be required to provide bond investors with a joint and several guarantee to refund their investment in the event that the agency is unable to for any reason; and there will be a lead time of several months between committing to borrow and knowing the interest rate payable. Any decision to borrow from the Agency will therefore be the subject of a separate report to the Council.

4.7 Short-term and Variable Rate loans

- 4.7.1 These loans leave the Council exposed to the risk of short-term interest rate rises and are therefore subject to the limit on the net exposure to variable interest rates in the treasury management indicators below.

5. INVESTMENT STRATEGY

- 5.1 The Council holds invested funds, representing income received in advance of expenditure plus balances and reserves held. During the current financial year, the Council's investment balance has averaged £15 million and similar levels are expected to be maintained in the forthcoming year

5.2 Objectives

- 5.2.1 Both the CIPFA Code and the CLG Guidance require the Council to invest its funds prudently, and to have regard to the security and liquidity of its investments before seeking the highest rate of return, or yield. The Council's objective when investing money is to strike an appropriate balance between risk and return, minimising the risk of incurring losses from defaults and the risk receiving unsuitably low investment income.
- 5.2.2 With increased budgetary pressures, an element of the Council's available funds are to be available to invest in medium term, moderate risk investments. These will be determined as suitable following appropriate due diligence reviews by the S151 officer.
- 5.2.3 Negative interest rates: If the UK enters into a recession in 2018 / 19, there is a small chance that the Bank of England could set its Bank Rate at or below zero, which is likely to feed through to negative interest rates on all low risk, short-term investment options. This situation already exists in many other European countries. In this event, security will be measured as receiving the contractually agreed amount at maturity, even though this may be less than the amount originally invested.

5.3 Strategy

- 5.3.1 Given the increasing risk and very low returns from short-term unsecured bank investments, the Council will look to further diversify into higher yielding asset classes during 2018/19. This is especially the case for the funds available for longer term investment. The majority of the Council's surplus cash remains invested in short-term unsecured bank deposits, certificates of deposit and money market funds. This diversification will represent a continuation of the new strategy adopted in 2017.

5.4 Approved Counterparties

The Council may invest its surplus funds with any of the counterparty types in table 1 below, subject to the cash limits (per counterparty) and the time limits shown.

Table 1: Approved Investment Counterparties and Limits

Credit Rating	Banks Unsecured	Banks secured	Government	Corporates	Registered Providers
UK Govt	n/a	n/a	£ Unlimited 50 years	n/a	n/a
AAA	£2m 5 years	£2m 20 years	£2m 50 years	£1m 20 years	£1m 20 years
AA+	£2m 5 years	£2m 10 years	£2m 25 years	£1m 10 years	£1m 10 years
AA	£2m 4 years	£2m 5 years	£2m 15 years	£1m 5 years	£1m 10 years
AA-	£2m 3 years	£2m 4 years	£2m 10 years	£1m 4 years	£1m 10 years
A+	£2m 2 years	£2m 3 years	£1m 5 years	£1m 3 years	£1m 5 years
A	£2m 13 months	£2m 2 years	£1m 5 years	£1m 2 years	£1m 5 years
A-	£2m 6 months	£2m 13 months	£1m 5 years	£1m 13 months	£1m 5 years
None	£1m 6 months	n/a	£1m 25 years	£2m	£1m 5 years
Money Market & other Pooled funds	£5m per fund				

This table must be read in conjunction with the notes below

- 5.4.1 **Credit Rating:** Investment limits are set by reference to the lowest published long-term credit rating from Fitch, Moody's or Standard & Poor's. Where available, the credit rating relevant to the specific investment or class of investment is used, otherwise the counterparty credit rating is used. However, investment decisions are never made solely based on credit ratings, and all other relevant factors including external advice will be taken into account.
- 5.4.2 **Banks Unsecured:** Accounts, deposits, certificates of deposit and senior unsecured bonds with banks and building societies, other than multilateral development banks. These investments are subject to the risk of credit loss via a bail-in should the regulator determine that the bank is failing or likely to fail. See below for arrangements relating to operational bank accounts.
- 5.4.3 **Banks Secured:** Covered bonds, reverse repurchase agreements and other collateralised arrangements with banks and building societies. These investments are secured on the bank's assets, which limits the potential losses in the unlikely event of insolvency, and means that they are exempt from bail-in. Where there is no investment specific credit rating, but the collateral upon which the investment is secured has a credit rating, the highest of the collateral credit rating and the counterparty credit rating will be used to determine cash and time limits. The combined secured and

unsecured investments in any one bank will not exceed the cash limit for secured investments.

- 5.4.4 Government: Loans, bonds and bills issued or guaranteed by national governments, regional and local authorities and multilateral development banks. These investments are not subject to bail-in, and there is an insignificant risk of insolvency. Investments with the UK Central Government may be made in unlimited amounts for up to 50 years.
- 5.4.5 Corporates: Loans, bonds and commercial paper issued by companies other than banks and registered providers. These investments are not subject to bail-in, but are exposed to the risk of the company going insolvent. Loans to unrated companies will only be made following suitable due diligence by the S151 officer.
- 5.4.6 Registered Providers: Loans and bonds issued by, guaranteed by or secured on the assets of Registered Providers of Social Housing, formerly known as Housing Associations. These bodies are tightly regulated by the Homes and Communities Agency and, as providers of public services they retain a high likelihood of receiving government support if needed.
- 5.4.7 Pooled Funds: Shares in diversified investment vehicles consisting of the any of the above investment types, plus equity shares and property. These funds have the advantage of providing wide diversification of investment risks, coupled with the services of a professional fund manager in return for a fee. Money Market Funds that offer same-day liquidity and aim for a constant net asset value will be used as an alternative to instant access bank accounts, while pooled funds whose value changes with market prices and/or have a notice period will be used for longer investment periods.
- 5.4.8 Bond, equity and property funds offer enhanced returns over the longer term, but are more volatile in the short term. These allow the Council to diversify into asset classes other than cash without the need to own and manage the underlying investments. Because these funds have no defined maturity date, but are available for withdrawal after a notice period, their performance and continued suitability in meeting the Council's investment objectives will be monitored regularly.
- 5.4.9 Operational bank accounts: The Council may incur operational exposures, for example though current accounts, collection accounts and merchant acquiring services, to any UK bank with credit ratings no lower than BBB- and with assets greater than £25 billion. These are not classed as investments, but are still subject to the risk of a bank bail-in, and balances will therefore be kept below £2m per bank. The Bank of England has stated that in the event of failure, banks with assets greater than £25 billion are more likely to be bailed-in than made insolvent, increasing the chance of the Council maintaining operational continuity.

5.5 Risk Assessment and Credit Ratings

- 5.5.1 Credit ratings are obtained and monitored by the Council's treasury advisers, who will notify changes in ratings as they occur. Where an entity

has its credit rating downgraded so that it fails to meet the approved investment criteria then:

- No new investments will be made,
- Any existing investments that can be recalled or sold at no cost will be,
- Full consideration will be given to the recall or sale of all other existing investments with the affected counterparty.

5.5.2 Where a credit rating agency announces that a credit rating is on review for possible downgrade (also known as “rating watch negative” or “credit watch negative”) so that it may fall below the approved rating criteria, then only investments that can be withdrawn on the next working day will be made with that organisation until the outcome of the review is announced. This policy will not apply to negative outlooks, which indicate a long-term direction of travel rather than an imminent change of rating.

5.6 Other Information on the Security of Investments

5.6.1 The Council understands that credit ratings are good, but not perfect, predictors of investment default. Full regard will therefore be given to other available information on the credit quality of the organisations in which it invests, including credit default swap prices, financial statements, information on potential government support and reports in the quality financial press. No investments will be made with an organisation if there are substantive doubts about its credit quality, even though it may meet the credit rating criteria.

5.6.2 When deteriorating financial market conditions affect the creditworthiness of all organisations, as happened in 2008 and 2011, this is not generally reflected in credit ratings, but can be seen in other market measures. In these circumstances, the Council will restrict its investments to those organisations of higher credit quality and reduce the maximum duration of its investments to maintain the required level of security. The extent of these restrictions will be in line with prevailing financial market conditions. If these restrictions mean that insufficient commercial organisations of high credit quality are available to invest the Council’s cash balances, then the surplus will be deposited with the UK Government, via the Debt Management Office or invested in government treasury bills for example, or with other local authorities. This will cause a reduction in the level of investment income earned, but will protect the principal sum invested.

5.7 Specified Investments

5.7.1 The CLG Guidance defines specified investments as those:

- Denominated in pound sterling,
- Due to be repaid within 12 months of arrangement,
- Not defined as capital expenditure by legislation, and
- Invested with one of:
 - The UK Government
 - A UK local council, parish council or community council, or
 - A body or investment scheme of “high credit quality”.

5.7.2 The Council defines “high credit quality” organisations and securities as those having a credit rating of A- or higher that are domiciled in the UK or a foreign country with a sovereign rating of AA+ or higher. For money market funds and other pooled funds “high credit quality” is defined as those having a credit rating of A- or higher.

5.8 Non-specified Investments

5.8.1 Any investment not meeting the definition of a specified investment is classed as non-specified. The Council does not intend to make any investments denominated in foreign currencies, nor any that are defined as capital expenditure by legislation, such as company shares. Non-specified investments will therefore be limited to long-term investments, i.e. those that are due to mature 12 months or longer from the date of arrangement, and investments with bodies and schemes not meeting the definition on high credit quality. Limits on non-specified investments are shown in table 2 below.

Table 2: Non-Specified Investment Limits

	Cash limit
Total long-term investments (i.e. over 364 days)	£7.5m
Total investments without credit ratings or rated below A-	£7.5m *
Total investments with institutions domiciled in foreign countries rated below AA+	£0m
Total non-specified investments	£12.5m

* To accommodate loans to unrated corporate funds and pooled funds which are not credit rated (e.g. strategic bond funds, equity income funds and property funds) but in which the underlying investments are very highly diversified.

5.9 Investment Limits

5.9.1 The Council’s usable reserves available to cover investment losses are forecast to be £4.5 million on 31 March 2018. In order that no more than 50% of available reserves will be put at risk in the case of a single default, the maximum that will be lent to any one organisation (other than the UK Government) will be £2million. A group of banks under the same ownership will be treated as a single organisation for limit purposes. Limits will also be placed on fund managers, investments in brokers’ nominee accounts, foreign countries and industry sectors as below:

Table 3: Investment Limits

	Cash limit
Any single organisation, except the UK Central Government	£2m each
UK Central Government	unlimited
Any group of organisations under the same ownership	£2m per group
Any group of pooled funds under the same management	£5m per manager
Negotiable instruments held in a broker’s nominee account	£10m per broker
Registered Providers	£2m in total
Unsecured investments with Building Societies	£5m in total

	Cash limit
Loans to unrated corporates	£2m in total
Money Market Funds	£12m in total

5.10 Liquidity Management

5.10.1 The Council uses in house cash flow forecasting methods to determine the maximum period for which funds may prudently be committed. The forecast is compiled on a pessimistic basis, with receipts under-estimated and payments over-estimated to minimise the risk of the Council being forced to borrow on unfavourable terms to meet its financial commitments. Limits on long-term investments are set by reference to the Council's medium term financial plan and cash flow forecast.

5.11 Non-Treasury Investments

5.11.1 Although not classed as treasury management activities and therefore not covered by the CIPFA Code or the CLG Guidance, the Council may also purchase property for investment purposes and may also make loans and investments for service purposes, for example in shared ownership housing, as loans to local businesses and landlords, or as equity investments and loans to the Council's subsidiaries.

5.11.2 Such loans and investments will be subject to the Council's normal approval processes for revenue and capital expenditure and need not comply with this treasury management strategy.

6. TREASURY MANAGEMENT INDICATORS

6.1 The Council measures and manages its exposures to treasury management risks using the following indicators.

6.2 Security: The Council has adopted a voluntary measure of its exposure to credit risk by monitoring the value-weighted average credit score of its investment portfolio. This is calculated by applying a score to each investment (AAA=1, AA+=2, etc.) and taking the arithmetic average, weighted by the size of each investment.

	Target
Portfolio average credit score	6

6.3 Liquidity: The Council has adopted a voluntary measure of its exposure to liquidity risk by monitoring the amount of cash available to meet unexpected payments within a rolling three month period, without additional borrowing.

	Target
Total cash available within 3 months	£5m

- 6.4 **Interest Rate Exposures:** This indicator is set to control the Council's exposure to interest rate risk. While the council has no debt this indicator is not applicable:

	2017/18	2018/19	2019/20
Upper limit on fixed interest rate exposure	100%	100%	100%
Upper limit on variable interest rate exposure	100%	100%	100%

- 6.4.1 Fixed rate investments and borrowings are those where the rate of interest is fixed for the whole financial year or for a 12 month period if the transaction date is later than the commencement of the financial year. All other instruments are classed as variable rate.

- 6.5 **Maturity Structure of Borrowing:** This indicator is set to control the Council's exposure to refinancing risk. The upper and lower limits on the maturity structure of fixed rate borrowing will be:

	Upper	Lower
Under 12 months	100%	0%
12 months and within 24 months	100%	0%
24 months and within 5 years	100%	0%
5 years and within 10 years	100%	0%
10 years and above	100%	0%

- 6.5.1 As the Council does not have any fixed rate long-dated loans, the upper limit has been set at 100% to accommodate a loan in the maturity bracket deemed most appropriate.
- 6.5.2 Time periods start on the first day of each financial year. The maturity date of borrowing is the earliest date on which the lender can demand repayment.
- 6.6 **Principal Sums Invested for Periods Longer than 364 days:** The purpose of this indicator is to control the Council's exposure to the risk of incurring losses by seeking early repayment of its investments. The limits on the total principal sum invested to final maturities beyond the period end will be:

	2018/19	2019/20	2020/21
Limit on principal invested beyond year end	£8m	£7.5m	£7.5m

7. PRUDENTIAL INDICATORS AND MRP STATEMENT

See APPENDIX 3

8. OTHER ITEMS

- 8.1 There are a number of additional items that the Council is obliged by CIPFA or CLG to include in its Treasury Management Strategy.
- 8.2 Policy on Use of Financial Derivatives: The Council will not use standalone financial derivatives (such as swaps, forwards, futures and options).
- 8.3 Investment Training: The needs of the Council's treasury management staff for training in investment management as part of the staff appraisal process, and additionally when the responsibilities of individual members of staff change. Staff regularly attend training courses, seminars and conferences provided by Arlingclose and CIPFA.
- 8.4 Investment Advisers: The Council has appointed Arlingclose Limited as treasury management advisers and receives specific advice on investment, debt and capital finance issues.
- 8.5 Investment of Money Borrowed in Advance of Need: The Council may, from time to time, borrow in advance of need, where this is expected to provide the best long term value for money. Since amounts borrowed will be invested until spent, the Council is aware that it will be exposed to the risk of loss of the borrowed sums, and the risk that investment and borrowing interest rates may change in the intervening period. These risks will be managed as part of the Council's overall management of its treasury risks.
- 8.6 The total amount borrowed will not exceed the authorised borrowing limit of £10 million. The maximum period between borrowing and expenditure is expected to be two years, although the Council is not required to link particular loans with particular items of expenditure.

9. FINANCIAL IMPLICATIONS

- 9.1 The budget for investment income in 2018 / 19 is £228,000 based on an average investment portfolio of £14 million at an interest rate of 1.6%. The budget for debt interest paid in 2018/19 is currently nil as the Council does not have external loans. If actual levels of investments and borrowing, and actual interest rates differ from those forecast, performance against budget will be correspondingly different.

10. OTHER OPTIONS CONSIDERED

- 10.1 The CLG Guidance and the CIPFA Code do not prescribe any particular treasury management strategy for local authorities to adopt. Some alternative strategies, with their financial and risk management implications, are listed below.

Alternative	Impact on income and expenditure	Impact on risk management
Invest in a narrower range of counterparties and/or for shorter times	Interest income will be lower	Lower chance of losses from credit related defaults, but any such losses will be greater
Invest in a wider range of counterparties and/or for longer times	Interest income will be higher	Increased risk of losses from credit related defaults, but any such losses will be smaller
Borrow additional sums at long-term fixed interest rates	Debt interest costs will rise; this is unlikely to be offset by higher investment income	Higher investment balance leading to a higher impact in the event of a default; however long-term interest costs will be more certain
Borrow short-term or variable loans instead of long-term fixed rates	Debt interest costs will initially be lower	Increases in debt interest costs will be broadly offset by rising investment income in the medium term, but long term costs will be less certain
Reduce level of borrowing	Saving on debt interest is likely to exceed lost investment income	Reduced investment balance leading to a lower impact in the event of a default; however long-term interest costs will be less certain

Appendix A

Arlingclose Economic & Interest Rate Forecast November 2017

Underlying assumptions:

- In a 7-2 vote, the MPC increased Bank Rate in line with market expectations to 0.5%. Dovish accompanying rhetoric prompted investors to lower the expected future path for interest rates. The minutes re-emphasised that any prospective increases in Bank Rate would be expected to be at a gradual pace and to a limited extent.

- Further potential movement in Bank Rate is reliant on economic data and the likely outcome of the EU negotiations. Policymakers have downwardly assessed the supply capacity of the UK economy, suggesting inflationary growth is more likely. However, the MPC will be wary of raising rates much further amid low business and household confidence.
- The UK economy faces a challenging outlook as the minority government continues to negotiate the country's exit from the European Union. While recent economic data has improved, it has done so from a low base: UK Q3 2017 GDP growth was 0.4%, after a 0.3% expansion in Q2.
- Household consumption growth, the driver of recent UK GDP growth, has softened following a contraction in real wages, despite both saving rates and consumer credit volumes indicating that some households continue to spend in the absence of wage growth. Policymakers have expressed concern about the continued expansion of consumer credit; any action taken will further dampen household spending.
- Some data has held up better than expected, with unemployment continuing to decline and house prices remaining relatively resilient. However, both of these factors can also be seen in a negative light, displaying the structural lack of investment in the UK economy post financial crisis. Weaker long term growth may prompt deterioration in the UK's fiscal position.
- The depreciation in sterling may assist the economy to rebalance away from spending. Export volumes will increase, helped by a stronger Eurozone economic expansion.
- Near-term global growth prospects have continued to improve and broaden, and expectations of inflation are subdued. Central banks are moving to reduce the level of monetary stimulus.
- Geo-political risks remains elevated and helps to anchor safe-haven flows into the UK government bond (gilt) market.

Forecast:

- The MPC has increased Bank Rate, largely to meet expectations they themselves created. Future expectations for higher short term interest rates are subdued. On-going decisions remain data dependant and negotiations on exiting the EU cast a shadow over monetary policy decisions.
- Our central case for Bank Rate is 0.5% over the medium term. The risks to the forecast are broadly balanced on both sides.
- The Arlingclose central case is for gilt yields to remain broadly stable across the medium term. Upward movement will be limited, although the UK government's seemingly deteriorating fiscal stance is an upside risk.

APPENDIX 1

	Dec-17	Mar-18	Jun-18	Sep-18	Dec-18	Mar-19	Jun-19	Sep-19	Dec-19	Mar-20	Jun-20	Sep-20	Dec-20	Average
Official Bank Rate														
Upside risk	0.00	0.00	0.00	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.19
Arlingclose Central Case	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50
Downside risk	0.00	0.00	0.00	0.00	0.00	-0.25	-0.25	-0.25	-0.25	-0.25	-0.25	-0.25	-0.25	-0.15
3-month LIBID rate														
Upside risk	0.10	0.10	0.10	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.25	0.22
Arlingclose Central Case	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50	0.50
Downside risk	-0.10	-0.10	-0.15	-0.15	-0.15	-0.25	-0.25	-0.25	-0.25	-0.25	-0.25	-0.25	-0.25	-0.20
1-yr LIBID rate														
Upside risk	0.15	0.15	0.20	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.30	0.27
Arlingclose Central Case	0.70	0.70	0.70	0.70	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.80	0.77
Downside risk	-0.15	-0.20	-0.30	-0.30	-0.30	-0.30	-0.30	-0.30	-0.30	-0.30	-0.30	-0.30	-0.15	-0.26
5-yr gilt yield														
Upside risk	0.20	0.25	0.25	0.25	0.30	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.40	0.32
Arlingclose Central Case	0.75	0.75	0.80	0.80	0.80	0.85	0.90	0.90	0.95	0.95	1.00	1.05	1.10	0.89
Downside risk	-0.20	-0.20	-0.25	-0.25	-0.25	-0.35	-0.40	-0.40	-0.40	-0.40	-0.40	-0.40	-0.40	-0.33
10-yr gilt yield														
Upside risk	0.20	0.25	0.25	0.25	0.30	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.40	0.32
Arlingclose Central Case	1.25	1.25	1.25	1.25	1.25	1.30	1.30	1.35	1.40	1.45	1.50	1.55	1.55	1.36
Downside risk	-0.20	-0.25	-0.25	-0.25	-0.25	-0.30	-0.35	-0.40	-0.40	-0.40	-0.40	-0.40	-0.40	-0.33
20-yr gilt yield														
Upside risk	0.20	0.25	0.25	0.25	0.30	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.40	0.32
Arlingclose Central Case	1.85	1.85	1.85	1.85	1.85	1.90	1.90	1.95	1.95	2.00	2.05	2.05	2.05	1.93
Downside risk	-0.20	-0.30	-0.25	-0.25	-0.30	-0.35	-0.40	-0.45	-0.50	-0.50	-0.50	-0.50	-0.50	-0.38
50-yr gilt yield														
Upside risk	0.20	0.25	0.25	0.25	0.30	0.35	0.35	0.35	0.35	0.35	0.35	0.35	0.40	0.32
Arlingclose Central Case	1.70	1.70	1.70	1.70	1.70	1.75	1.80	1.85	1.90	1.95	1.95	1.95	1.95	1.82
Downside risk	-0.30	-0.30	-0.25	-0.25	-0.30	-0.35	-0.40	-0.45	-0.50	-0.50	-0.50	-0.50	-0.50	-0.39

Appendix B

Existing Investment & Debt Portfolio Position

	6 Dec 2017 Actual Portfolio £m	Average Rate %
Total External Borrowing	0	0
Other Long Term Liabilities:		
Finance Leases	0.0	
Total Gross External Debt		
Investments:		
<i>Managed in-house</i>		
<u>Long Term Investments</u>		
LAMIT Property Fund	3	4.5
Investec Diversified Income Fund	2	4.5
<u>Short-term investments</u>		
Term Deposits	4	0.37
Certificates of Deposit	1	0.47
Money Market Funds	9	0.46
Notice Reserve Accounts	2	0.4
Total Investments	(21)	
Net Debt	(21)	

TREASURY MANAGEMENT PRACTICES PRINCIPLES AND SCHEDULES

1. INTRODUCTION:

The CIPFA Code of Practice on Treasury Management in the Public Services (the Code) was last revised in November 2011. The Code requires the setting out of the responsibilities and duties of members and officers, allowing a framework for reporting and decision making on all aspects of treasury management. This Council had adopted the original Code and has similarly adopted the revised 2011 Code. The Code recommends the creation and maintenance of:

- A Treasury Management Policy Statement, stating the policies and objectives of its treasury management activities,
- Suitable Treasury Management Practices setting out the manner in which the organisation will seek to achieve those policies and objectives and prescribing how it will manage and control those activities.

The Treasury Management Practices (TMPs) comprise:

TMP 1:	Risk management
TMP 2:	Performance measurement
TMP 3:	Decision-making and analysis
TMP 4:	Approved instruments, methods and techniques
TMP 5:	Organisation, clarity and segregation of responsibilities and dealing arrangements
TMP 6:	Reporting requirements and management information arrangements
TMP 7:	Budgeting, accounting and audit arrangements
TMP 8:	Cash and cash flow management
TMP 9:	Money laundering
TMP 10:	Training and qualifications
TMP 11:	Use of external service providers
TMP 12:	Corporate governance

Schedules supporting these practices and other documents held at an operational level specify the systems and routines to be employed and the records to be maintained in fulfilling the Council's treasury functions.

TMP 1: RISK MANAGEMENT

All treasury management activities involve both risk and the pursuit of reward or gain for the Council. The council's policies and practices emphasise that the effective identification, management and containment of risk are the prime objectives of treasury management activities.

The Director of Resources will design, implement and monitor all arrangements for the identification, management and control of treasury management risk, will report at least annually on the adequacy/suitability thereof, and will report, as a matter of urgency, the circumstances of any actual or likely difficulty in achieving the organisation's objectives in this respect, all in accordance with the procedures set out in **TMP6 Reporting requirements and management information arrangements**. In respect of each of the following risks, the arrangements which seek to ensure compliance with these objectives are set out as schedules below.

- 1) **Credit and Counterparty Risk Management:** the risk of failure by a counterparty to meet its contractual obligations to the Council under an investment, borrowing, capital, project or partnership financing, particularly as a result of the counterparty's diminished creditworthiness, and the resulting detrimental effect on the Council's capital or current (revenue) resources.

***Principle:** The Council regards a key objective of its treasury management activities to be the security of the principal sums it invests. Accordingly, it will ensure that its counterparty lists and limits reflect a prudent attitude towards organisations with whom funds may be deposited, and will limit its investment activities to the instruments, methods and techniques referred to in TMP4 Approved instruments, methods and techniques, and listed in the schedule. It also recognises the need to have, and will therefore maintain, a formal counterparty policy in respect of those organisations from which it may borrow, or with whom it may enter into other financing arrangements.*

Schedule:

Criteria to be used for creating/managing approved counterparty lists/limits	<p>The Director of Resources is responsible for setting a prudent criteria and the Council's treasury advisors will also provide guidance and assistance in setting the criteria.</p> <p>The criteria will be agreed by Finance and Corporate Services Committee.</p> <p>The Council's treasury management advisors will advise on credit policy and creditworthiness related issues. The Council will maintain a counterparty list based on its criteria and will monitor and update the credit standing of the institutions on a regular basis. This assessment will include consideration of credit ratings from all 3 ratings agencies and other alternative assessments of credit strength (for example, statements of potential government support which now includes resolution mechanisms for failing financial institutions, CDS information, the composition of an institution's balance sheet liabilities). The Council will also take into account information on corporate developments of and market sentiment towards investment counterparties.</p> <p>The credit rating criteria will also apply to securities issued by financial and non-financial institutions, which in some instances, might be higher than that of the issuing institution.</p> <p>Higher time and cash limits may be set for secured investments (e.g. those with underlying collateral or which are by regulation excluded from being bailed-in/restructured in the event of financial distress.)</p> <ul style="list-style-type: none"> - Where there is no investment-specific rating, but collateral upon which the investment secured is rated, then the higher of the collateral and counterparty rating will be used to determine time and cash limits.
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Approved methodology for changing limits and adding/removing counterparties	The Director of Resources has delegated responsibility to add or delete counterparties and to review limits within the parameters of the criteria detailed above.
Risk management : (a) creditworthiness deteriorates below the minimum criteria (b) ratings are placed on review for downgrade	<p>Where an entity's credit rating is downgraded so that it fails to meet the minimum criteria, then</p> <ul style="list-style-type: none"> - No new investments will be made, - Any existing investments that can be recalled or sold at no cost will be, and - Full consideration will be given to the recall or sale of other existing investments with the affected counterparty. <p>Where a credit rating is placed on review for possible downgrade (also termed 'rating watch negative' or 'credit watch negative') so that it may fall below the minimum approved credit criteria, then only investments that can be withdrawn on [the next working day] will be made with that organisation until the rating review has been completed and its outcome known.</p> <p>The policy in (b) will not apply for 'negative outlooks' which indicate a long-term direction of travel rather than a possibility of an imminent downgrade.</p>
Counterparty list and limits	<p>A full individual listing of banking counterparties based on the criteria will be maintained. As credit ratings etc. are subject to change without notice, an up-to-date lending list will be maintained on an ongoing basis.</p> <p>It may be impractical to have a pre-determined list of non-financial counterparties in whose securities investments might be made. The minimum credit rating criteria and whether the security is secured or unsecured will determine its selection for investment.</p> <p>No investments will be made with an organisation if there are substantive doubts about its credit quality, even though it may meet the minimum credit rating criteria.</p>
Details of credit rating agencies' services and their application	The Council considers the ratings of all 3 ratings agencies (Standard & Poor's, Moody's and Fitch) when making investment decisions. Credit rating agency information is just one of a range of instruments used to assess creditworthiness of institutions.
Description of the general approach to collecting/using information other than credit ratings for counterparty risk assessment	<p>The Council's Treasury Advisor provides timely information on counterparties, in terms of credit rating updates and economic summaries. Credit default swap information is received monthly, as well as information on share price.</p> <p>The Council's Treasury Advisor also undertakes analysis on the balance sheet structure of key banking institutions to help inform the potential restructure (i.e. bail-in) of a bank's unsecured liabilities should this be required by the regulatory authorities.</p> <p>In addition, the Director of Resources reads quality financial press for information on counterparties.</p>

- 2) **Liquidity Risk Management:** the risk that cash will not be available when it is needed, that ineffective management of liquidity creates additional unbudgeted costs, and that the Council's business/service objectives will be thereby compromised.

Principle : *The Director of Resources will ensure the Council has adequate though not excessive cash resources, borrowing arrangements, overdraft or standby facilities to enable it at all times to have the level of funds available to it which are necessary for the achievement of its business/service objectives.*

The Council will only borrow in advance of need where there is a clear business case for doing so and will only do so for the current capital programme or to finance future debt maturities.

Schedule:

Cash flow and cash Balances	<p>The Council will aim for effective cash flow forecasting and monitoring of cash balances and will maintain an annual cash flow forecast.</p> <p>The Senior Accountant shall seek to optimise the balance held in the Council's main bank accounts at the close of each working day in order to minimise the amount of bank overdraft interest payable or maximise the amount of interest that can be earned by investing surplus funds.</p>
Short term investments	The Council uses various Current and Call Accounts and Money Market Funds to manage its liquidity requirements. These Accounts/Funds are named on the Council's approved counterparty list. The maximum balance on each of these accounts is reviewed and set as part of the Council's investment strategy.
Temporary Borrowing	<p>Temporary borrowing up to 364 days through the money market is available should there be a cash flow deficit at any point during the year.</p> <p>At no time will the outstanding total of temporary and long-term borrowing together with any bank overdraft exceed the Prudential Indicator for the Authorised Borrowing Limit agreed by the Council before the start of each financial year.</p>
Bank Overdraft and standby facilities	The Council has no authorised overdraft limit with its bankers.

- 3) **Interest Rate Risk Management:** The risk that fluctuations in the levels of interest rates create an unexpected or unbudgeted burden on the Council's finances, against which the Council has failed to protect itself adequately.

***Principle:** The Council will manage its exposure to fluctuations in interest rates with a view to containing its interest costs, or securing its interest revenues, in accordance with the amounts provided in its budgetary arrangements as amended in accordance with TMP6 Reporting requirements and management information arrangements.*

Schedule:

Minimum/ maximum proportions of fixed/variable rate debt/interest	<p>Borrowing/investments may be at a fixed or variable rate.</p> <p>The Prudential Code requires the Council to determine each year the maximum proportion of interest payable on net borrowing which is subject to fixed and variable interest rates. This is set each year as part of the annual budget setting process.</p> <p>In setting its forward Treasury Strategy on an annual basis, the Council will determine the necessary degree of certainty required for its plans and budgets but will, at the same time, allow sufficient flexibility to enable it to benefit from potentially advantageous changes in market conditions and level of interest rates and also to mitigate the effects of potentially disadvantageous changes.</p> <p>The Council will achieve this by the prudent use of its approved financing and investment instruments, methods and techniques, primarily to create stability and certainty of costs and revenues, but at the same time retaining a sufficient degree of flexibility.</p> <p>The Council may determine it is more cost effect in the short-term to fund its borrowing requirement through the use of internal resources ('internal borrowing') or through borrowing short-term loans. The benefits of such borrowing will be monitored regularly against the potential for incurring additional costs by deferring borrowing or refinancing in future years when interest rates are expected to be</p>
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	higher.
Managing changes to interest rate levels	<p>The main impact of changes in interest rate levels is to monies borrowed and invested at variable rates of interest.</p> <p>Interest rate forecasts are provided by the Council's treasury advisors and are closely monitored by the Finance Manager. Variations from original estimates and their impact on the Council's debt and investments are notified to the Finance and Corporate Services Committee as necessary.</p> <p>For its investments, the Council also considers dealing from forward periods dependent upon market conditions. The Council's counterparty term limits will apply and will include the forward period of the investment.</p>

- 4) **Exchange Rate Risk Management:** The risk that fluctuations in foreign exchange rates create an unexpected or unbudgeted burden on the Council's finances against which the Council has failed to protect itself adequately.

Principle: The Council will manage any exposure to fluctuations in exchange rates so as to minimise any detrimental impact on its budgeted income/expenditure levels.

Schedule:

Exchange rate risk management	This Council does not, on a day to day basis, have foreign currency transactions or receipts. Unexpected receipt of foreign currency will be converted to sterling at the earliest opportunity.
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- 5) **Refinancing Risk Management:** The risk that maturing borrowings, capital, project or partnership financings cannot be refinanced on terms that reflect the provisions made by the organisation for those refinancings, both capital and current (revenue), and/or that the terms are inconsistent with prevailing market conditions at the time.

Principle: The Council will ensure that its borrowing, private financing and partnership arrangements are negotiated, structured and documented, and the maturity profile of the monies so raised are managed, with a view to obtaining offer terms for renewal or refinancing, if required, which are competitive and as favourable to the organisation as can reasonably be achieved in the light of market conditions prevailing at the time.

It will actively manage its relationships with its counterparties in these transactions in such a manner as to secure this objective, and will avoid over reliance on any one source of funding if this might jeopardise achievement of the above.

Schedule:

Projected capital investment requirements	<p>4 year projections are in place for capital expenditure and its financing or funding. Financing will be from capital receipts, reserves and any grants or contributions awarded, revenue resources or reserves. Funding will be from internal or external borrowing, as decided.</p> <p>The Council's projected long-term borrowing requirement will be linked to the projected Capital Financing Requirement.</p>
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Debt profiling, policies and practices	Any longer term borrowing will be undertaken in accordance with the Prudential Code and will comply with the Council's Prudential Indicators and the Annual Treasury Management Strategy. Where the lender to the Council is a commercial body the Council will aim for diversification in order to spread risk and avoid over-reliance on a small number of counterparties.
Policy concerning limits on revenue consequences of capital financings	The revenue consequences of financing the capital programme are included in cash flow models, annual revenue estimates and medium term forecasts.

- 6) **Legal and Regulatory Risk Management:** The risk that the Council itself, or an organisation with which it is dealing in its treasury management activities, fails to act in accordance with its legal powers or regulatory requirements, and that the Council suffers losses accordingly.

Principle: The Council will ensure that all of its treasury management activities comply with its statutory powers and regulatory requirements. It will demonstrate such compliance, if required to do so, to all parties with whom it deals in such activities. In framing its credit and counterparty policy under TMP1(1) Credit and counterparty risk management, it will ensure that there is evidence of counterparties' powers, authority and compliance in respect of the transactions they may effect with the Council, particularly with regard to duty of care and fees charged.

The Council recognises that future legislative or regulatory changes may impact on its treasury management activities and, so far as it is reasonably able to do so, will seek to minimise the risk of these impacting adversely on the organisation.

Schedule:

References to relevant statutes and regulations	<p>The treasury management activities of the Council shall comply fully with legal statute and the regulations of the Council. These are:</p> <ul style="list-style-type: none"> ▪ CIPFA's Treasury Management Code of Practice 2011 and subsequent amendments ▪ CIPFA Guide for Chief Financial Officers on Treasury Management in Local Authorities ▪ CIPFA Prudential Code for Capital Finance in Local Authorities and subsequent amendments ▪ CIPFA Standard of Professional Practice on Treasury Management ▪ The Local Government Act 2003 ▪ The Local Authorities (Capital Finance and Accounting) (England) Regulations 2003 SI 2003 No 3146, and subsequent amendments ▪ Pensions, England and Wales - The Local Government Pension Scheme (Management and Investment of Funds) Regulations 2009 - SI 2009 No 3093 ▪ The CLG's statutory Guidance on Minimum Revenue Provision (MRP) ▪ The ODPM's (now CLG's) Guidance on Local Government Investments in England issued March 2004 and subsequent amendments ▪ The Local Authorities (Contracting out of Investment Functions) Order 1996 SI 1996 No 1883 ▪ LAAP Bulletins ▪ Code of Practice on Local Authority Accounting in the United Kingdom based on International Financial Reporting Standards (from 2010/11 onwards) ▪ Accounts and Audit Regulations 2015, as amended together with CLG's Guidance ▪ The Non Investment Products Code (formerly known as The London Code of
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	<p>Conduct) for principals and broking firms in the wholesale markets</p> <ul style="list-style-type: none"> ▪ Council's Constitution including:- <ul style="list-style-type: none"> ○ Standing Order relating to Contracts ○ Financial Regulations ○ Scheme of Delegation
Procedures for evidencing the organisation's powers/ authorities to counterparties	<p>The Council's Financial Regulations contain evidence of the power/ authority to act as required by section 151 of the Local Government Act 1972, under the general direction of the Finance and Corporate Services Committee.</p> <p>The Council will confirm, if requested to do so by counterparties, the powers and authorities under which the Council effects transactions with them.</p> <p>Where required, the Council will also establish the powers of those with whom they enter into transactions, including any compliance requirements in respect of a duty of care and best practice.</p>
Required information from counterparties concerning their powers/ authorities	<p>Lending shall only be made to institutions on the Council's authorised lending list or in securities which meet the Council's approved credit criteria.</p> <p>The Council will only undertake borrowing from approved sources such as the PWLB (and its successor body), organisations such as the European Investment Bank and from commercial banks who are on the Council's list of authorised institutions, thereby minimising legal and regulatory risk. The list of approved sources of borrowing are contained in TMP 4.</p>
Statement on political risks and management of the same	<p>Political risk is managed by:</p> <ul style="list-style-type: none"> • adoption of the CIPFA Treasury Management Code of Practice • adherence to Corporate Governance (<u>TMP 12 - Corporate Governance</u>)

- 7) **Fraud, Error and Corruption, and Contingency Management:** The risk that the Council fails to identify the circumstances in which it may be exposed to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings, and fails to employ suitable systems and procedures and maintain effective contingency management arrangements to these ends. It includes the area of risk referred to as operational risk.

Principle: *The Council will ensure that it has identified the circumstances which may expose it to the risk of loss through fraud, error, corruption or other eventualities in its treasury management dealings. Accordingly, it will employ suitable systems and procedures, and will maintain effective contingency management arrangements, to these ends.*

Schedule:

Details of systems and procedures to be followed, including Internet services	<p>Segregation of duties minimises the possibility of fraud and loss due to error, and is detailed in TMP5 Organisation, clarity and segregation of responsibilities, and dealing arrangements.</p> <p>1. <u>Electronic Banking and Dealing</u></p> <p>(a) <u>Banking</u>: The Council's online banking service provided by Nat West is subject to separate log-on and password control allowing varying levels of access. Details of transactions and balances are available as required, and the system also holds historic data. Officers having access to the bank's online system are as follows:</p> <ul style="list-style-type: none"> • Financial Services • Audit • IT <p>Officer access is reviewed at least 6 monthly or as necessary.</p>
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	<p>2. <u>Standard Settlement Instructions (SSI)</u> list :</p> <ul style="list-style-type: none"> • Brokers and counterparties with whom the Council deals direct are provided a copy of the SSI's. • Named officers will have authority to borrow from the PWLB and invest with the Debt Management Agency Deposit Facility. <p>3. <u>Payment Authorisation</u> :</p> <ul style="list-style-type: none"> • Payments can only be authorised by agreed signatories of the Council, the list of signatories having previously been agreed with the Council's bank. • Inflow and outflow of monies borrowed and invested will only be from the counterparty's bank accounts.
Verification	<p>Loans and investments will be maintained on spreadsheets</p> <p>Transactions will be cross-checked against broker notes, counterparty confirmations and PWLB loan schedules by verifying dates, amounts, interest rates, maturity, interest payment dates etc.</p> <p>When receiving requests for change of payment details, due care will be exercised to ascertain the bona fide of the request and avoid potential fraud. Additional checks will be made through pre-existing contact details for the payee (and not those on the notice received for change of payment details) before altering payment details.</p>
Substantiation	<p>1. The Treasury Management system balances are reconciled with financial ledger codes at the end of each month and at the financial year end.</p> <p>2. Working papers are retained for audit inspection.</p> <p>3. The bank reconciliation is carried out monthly from the bank statement to the financial ledger.</p>
Internal Audit	<p>Internal Audit carry out an annual regulatory review of the treasury management function including probity testing. See <u>TMP7 Budgeting, accounting and audit arrangements</u>.</p>
Contingency Management	<p>1. All treasury spreadsheets are retained on the Council's network. Daily back-ups are taken and maintained and network back-ups can be used by the IT services department to restore files, if necessary.</p> <p>2. Network backups are held off site in a secure location.</p> <p>3. Temporary off-site working facility: The officers who can avail of this facility following an emergency are Finance Manager and Senior Accountant who will individually be made aware of the procedures to follow.</p> <p>4. Electronic Banking System Failure : Balance details will be obtained by phone from the Banks Corporate Service Team. Instructions for CHAPS (Clearing House Automated Payment System) payments will be made by FAX</p> <p>5. The Business Continuity Plan is maintained by the Finance Manager.</p>

Insurance Cover details	The Council has Crime cover. Details of the provider and cover are held by the Senior Accountant
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- 8) **Market Risk Management:** This is the risk that, through adverse market fluctuations in the value of the principal sums the Council borrows and invests, its stated treasury management policies and objectives are compromised, against which effects it has failed to protect itself adequately.

***Principle:** This Council will seek to ensure that its stated treasury management policies and objectives will not be compromised by adverse market fluctuations in the value of the principal sums it invests, and will accordingly seek to protect itself from the effects of such fluctuations.*

Schedule:

Details of approved procedures and limits for controlling exposure to investments whose capital value may fluctuate (gilts, CDs etc.)	<p>Investment instruments used by the external fund managers are subject to fluctuation in capital movements and exposed to interest rate risk. In order to minimise these risks capital preservation is set as the primary objective and pursuit of investment performance should be commensurate with this objective.</p> <p>Pooled funds with a Constant Net asset Value (CNAV) - The Council currently uses pooled funds as per its Treasury Management Strategy and on advice from its treasury advisors.</p> <p>Additionally the following risk control guidelines are set for each fund as part of the fund management agreement to control market risk :</p> <p>(a) Maximum weighted average duration of the fund;</p> <p>(b) Maximum permitted exposure to gilts/bonds;</p> <p>(c) Maximum maturity of any instrument.</p>
Accounting for unrealised gains/losses	The method of accounting for unrealised gains or losses on the valuation of financial assets comply with Accounting Code of Practice.

TMP 2: PERFORMANCE MEASUREMENT

Principle: *The Council is committed to the pursuit of value for money in its treasury management activities, and to the use of performance methodology in support of that aim, within the framework set out in its treasury management policy statement.*

Accordingly, the treasury management function will be the subject of ongoing analysis of the value it adds in support of the Council's stated business or service objectives. It will be the subject of regular examination of alternative methods of service delivery, or the availability of fiscal or other grant or subsidy incentives, and of the scope for other potential improvements. The performance of the treasury management function will be measured using the criteria set out below.

Schedule:

Policy concerning methods for testing value for money	<p>Best value reviews will include the production of plans to review the way services are provided by</p> <ul style="list-style-type: none"> ▪ Challenging ▪ Comparing performance ▪ Consulting with other users and interested parties ▪ Applying competition principles <p>in order to pursue continuous improvement in the way the Council's functions are exercised, having regard to a combination of value for money, efficiency and effectiveness.</p>
Policy concerning methods for performance measurement	<ul style="list-style-type: none"> • Performance measurement at this Council is intended to calculate the effectiveness of treasury activity in delivering the strategic objectives set through the Treasury Management Strategy and the Council's Prudential Indicators and to enhance accountability. • Prudential Indicators are local to the Council and are not intended as a comparator between authorities. • The performance review will be made in the light of general trends in interest rates during the year and how the decisions made corresponded with these trends and the Council's agreed strategy, i.e. the Council will avoid hindsight analysis. <p>Any comparison of the Council's treasury portfolio against recognised industry standards, market indices and other portfolios is intended to:</p> <ul style="list-style-type: none"> (i) allow the Council the opportunity to assess the potential to add value through changes to the existing ways in which its portfolio is managed and (ii) permit an informed judgement about the merits or otherwise of using new treasury management techniques or instruments. <p>In drawing any conclusions the Council will bear in mind that the characteristics of its treasury operations may differ from those of other councils, particularly with regard to the position on risk.</p>
Methodology to be applied for evaluating the impact of treasury management decisions	<p>Monitoring of the outcome of treasury management activity against Prudential Indicators approved by the Council will be carried out.</p> <p>The year-end Annual Treasury Report will also include, as a matter of course, the outturn against the PIs set prior to the commencement of the financial year and any in-year amendments.</p> <p>The Councils Treasury Management advisors compare the performance of the Councils in-house funds against all its other clients and submits the results quarterly.</p>

Methodology to be employed for measuring the performance of the Council's treasury management activities	<p>Treasury management activity is reported annually against strategy and prevailing economic and market conditions. The report will include</p> <ul style="list-style-type: none"> a) Total debt including average rate and maturity profile (where appropriate) b) The effect of new borrowing and/or maturities on the above c) The effect of any debt restructuring on the debt portfolio d) Total investments including average rate, credit and maturity profile e) The effect of new investments/redemptions/maturities on the above f) The rate of return on investments against their indices for internally and externally managed funds g) An analysis of any risks inherent within the investment portfolio (e.g. exposure to market movements in the value of CDs, gilts/bonds, callable deposits in their call period) h) A statement whether the treasury management activity resulted in a breach of the Prudential Indicators and other limits set within treasury strategy.
Best value	<p>The treasury management function will be the subject of ongoing analysis of the value it adds in support of the Council's stated corporate and service objectives.</p> <p>When tendering for treasury-related or banking services, the Council adheres to its Financial Regulations. These require that :</p> <ul style="list-style-type: none"> a) For a contract with a value below an agreed threshold, at least 1 but preferably 3 quotes and service delivery proposals are obtained b) For a contract with a value above an agreed threshold but below an agreed tender threshold, at least 3 written quotes and service delivery proposals are obtained c) For a contract above an agreed tender threshold but below the EU threshold a tender exercise in line with CIPFA best practice is performed. d) When placing a contract with a value in excess of the EU Threshold a tendering process that meets the requirements of the EU procurement procedures (OJEU) is undertaken. e) If necessary, the Council will also consult with other users of similar services as well as with interested parties. f) The Council will also evaluate alternative methods of the availability of fiscal, grant or subsidy initiatives, and service delivery.

TMP 3: DECISION-MAKING AND ANALYSIS

Principle: *The Council will maintain full records of its treasury management decisions, and of the processes and practices applied in reaching those decisions, both for the purposes of learning from the past, and for demonstrating that reasonable steps were taken to ensure that all issues relevant to those decisions were taken into account at the time. The issues to be addressed and processes and practices to be pursued in reaching decisions are detailed below.*

Schedule:

Major treasury decisions	<p>As a public service organisation, there is a requirement to demonstrate openness and accountability in treasury management activities. Accordingly, the Council will create and maintain an audit trail of major treasury management decisions which comprise either :</p> <ul style="list-style-type: none"> a) Options Appraisal to determine a funding decision b) raising a new long-term loan / long-term source of finance c) prematurely restructuring/redeeming an existing long-term loan(s) d) investing longer-term (i.e. in excess of 1 year) e) utilisation of investment instruments which constitute capital expenditure (i.e. loan capital/share capital in a body corporate) f) leasing g) change in banking arrangements h) appointing/replacing a treasury advisor i) appointing/replacing a fund manager
Process	The Council's strategy for the application of its treasury policy is set out in the annual Treasury Management Strategy.
Delegated powers for treasury management	The Director of Resources has delegated powers to carry out the Council's strategy for debt management, capital finance and borrowing, depositing surplus funds and managing the cash flows of the Council.
Issues to be addressed, evaluation, authorisation	<p>In exercising these powers, the Director of Resources and those to whom the treasury activity have been delegated will</p> <ul style="list-style-type: none"> • have regard to the nature and extent of any associated risks to which the Council may become exposed; • be certain about the legality of the decision reached and that the necessary authority to proceed has been obtained; • be satisfied that the documentation is adequate to deliver the Council's objectives, protect the Council's interests, and to maintain an effective audit trail; • ensure that the perceived credit risk associated with the approved counterparties is judged satisfactory and is within agreed limits; • be satisfied that the terms of any transactions have been fully checked against the market, and have been found to be competitive; • follow best practice in implementing the treasury transaction. <p>In exercising Borrowing and Funding decisions, the Director of Resources will :</p> <ul style="list-style-type: none"> • evaluate economic and market factors that may influence the manner and timing of any decision to fund; • consider alternative forms of funding, including use of revenue resources, leasing and private partnerships; • consider the use of internal resources and/or the most appropriate periods to fund and repayment profiles to use; • consider ongoing revenue liabilities created; • where applicable, monitor regularly the benefits of internal borrowing against the potential for incurring additional costs by deferring borrowing into future years • consider the alternative interest rate bases available, the most

	<p>appropriate periods to fund and repayment profiles to use;</p> <ul style="list-style-type: none"> consider ongoing revenue liabilities created. <p>In exercising Investment decisions, the Director of Resources will :</p> <ul style="list-style-type: none"> Determine that the investment is within the Council's strategy and pre-determined instruments and criteria; consider the optimum period, in the light of core balances and reserves, cash flow availability and prevailing market conditions; consider the alternative investment products and techniques available if appropriate.
Processes to be followed	The processes to be followed will be in keeping with TMP 4: The Council's Approved, Instruments, Methods and Techniques.
Evidence and records to be kept	<p>The Council will maintain a record of all major treasury management decisions, the processes undertaken and the rationale for reaching the decision made. These will allow for an historical assessment of decisions made and verification that any checks and safeguards are indeed in place and operating correctly.</p> <p>Records and working papers will be maintained by the Council electronically and in relevant files.</p>

TMP 4: APPROVED INSTRUMENTS, METHODS AND TECHNIQUES

***Principle:** The Council will undertake its treasury management activities by employing only those instruments, methods and techniques detailed in the schedule to this document, and within the limits and parameters defined in **TMP1 Risk Management**.*

Schedule:

Approved treasury management activities	<p>The Council is permitted to undertake the following activities:</p> <ul style="list-style-type: none"> ▪ Managing cashflow ▪ Capital financing ▪ Borrowing including debt restructuring and debt repayment ▪ Lending including redemption of investments ▪ Banking ▪ Leasing ▪ Managing the underlying risk associated with the Council's capital financing and surplus funds activities. <p>The above list is not finite and the Council would, from time to time, consider and determine new financial instruments and treasury management techniques; however, the Council will consider carefully whether the officers have the skills and experience to identify and manage the advantages and risks associated with using the instruments/techniques before undertaking them, more so as some risks may not be wholly or immediately transparent.</p>
Approved capital financing methods and types/sources of funding	<p><u>On balance sheet</u></p> <ul style="list-style-type: none"> • Public Works Loans Board (PWLB) loans and loans from its successor body • long term money market loans including Lender Option Borrower Options (LOBOs) • temporary money market loans (up to 364 days). • bank overdraft • loans from bodies such as the European Investment Bank (EIB) • Stock issues • Finance Leases • Deferred Purchase • Government and EU Capital Grants • Lottery monies • Other Capital Grants and Contributions ▪ PFI ▪ Operating and finance leases ▪ Hire purchase ▪ Sale and leaseback <p><u>Internal Resources</u></p> <ul style="list-style-type: none"> • Capital Receipts • Revenue Balances • Use of Reserves <p><u>Off balance sheet</u></p> <ul style="list-style-type: none"> ▪ Operating Leases ▪ Structured Finance <p>The level of debt will be consistent with the Treasury Management Strategy and the Prudential Indicators.</p>

Approved investment instruments	<p>The Council will determine through its Annual Investment Strategy (AIS) which instruments it will use, giving priority to the security and liquidity (in that order) of its invested monies. The investments will be categorised as 'Specified' or 'Non Specified' based on the criteria set out by the ODPM (now CLG) in its Investment Guidance March 2004 (as amended).</p> <p>The Council will determine through the AIS which instruments will be used in-house and which will be used by the appointed external fund manager(s) including the maximum exposure for each category of non-specified investments. Where applicable, the Council's credit criteria will also apply.</p> <p>Banks Unsecured: Accounts, deposits, certificates of deposit and senior unsecured bonds with banks and building societies, other than multilateral development banks.</p> <p><u>Banks Secured:</u> Covered bonds, reverse repurchase agreements and other collateralised arrangements with banks and building societies.</p> <p><u>Government:</u> Loans, bonds and bills issued or guaranteed by national governments, regional and local authorities and multilateral development banks.</p> <p><u>Corporates:</u> Loans, bonds and commercial paper issued by companies other than banks and registered providers.</p> <p><u>Registered Providers:</u> Loans and bonds issued by, guaranteed by or secured on the assets of Registered Providers of Social Housing, formerly known as Housing Associations.</p> <p><u>Pooled Funds:</u> Shares in diversified investment vehicles consisting of the any of the above investment types, plus equity shares and property. Money Market Funds that offer same-day liquidity and aim for a constant net asset value.</p> <p><u>Bond, equity and Property Funds</u></p>
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TMP 5: ORGANISATION, CLARITY AND SEGREGATION OF RESPONSIBILITIES, AND DEALING ARRANGEMENTS

Principle: The Council considers it essential, for the purposes of the effective control and monitoring of its treasury management activities, for the reduction of the risk of fraud or error, and for the pursuit of optimum performance, that these activities are structured and managed in a fully integrated manner, and that there is at all times a clarity of treasury management responsibilities.

The principle on which this will be based is a clear distinction between those charged with setting treasury management policies and those charged with implementing and controlling these policies, particularly with regard to the execution and transmission of funds, the recording and administering of treasury management decisions, and the audit and review of the treasury management function.

If and when the Council intends, as a result of lack of resources or other circumstances, to depart from these principles, the Director of Resources will ensure that the reasons are properly reported in accordance with TMP6 Reporting requirements and management information arrangements, and the implications properly considered and evaluated.

The Director of Resources will ensure that there are clear written statements of the responsibilities for each post engaged in treasury management, and the arrangements for absence cover. The Director of Resources will also ensure that at all times those engaged in treasury management will follow the policies and procedures set out. The present arrangements are detailed in the schedule below.

The Director of Resources will ensure there is proper documentation for all deals and transactions, and that procedures exist for the effective transmission of funds. The present arrangements are detailed in the schedule below.

The delegations to the Senior Accountant in respect of treasury management are set out in the schedule below. The Senior Accountant will fulfil all such responsibilities in accordance with the organisation's policy statement and TMPs and, if a CIPFA member, the Standard of Professional Practice on Treasury Management.

Schedule:

Limits to responsibilities at Executive levels	<p>Full Council</p> <ul style="list-style-type: none"> • budget consideration and approval <p>Finance and Corporate Services committee:</p> <ul style="list-style-type: none"> • receiving and reviewing Prudential Indicators as part of the budget setting process • receiving and reviewing reports on treasury management policies, practices and activities • approval of amendments to adopted clauses, treasury management policy statement and treasury management practices • receiving and reviewing external audit reports and acting on recommendations • approving the selection of external service providers and agreeing terms of appointment
Principles and practices concerning segregation of duties	<p>The segregation of duties will be determined by the Director of Resources.</p> <p>Segregation of duties exists in that:</p> <ul style="list-style-type: none"> • the officer(s) responsible for negotiating and closing treasury management deals is separate from officer(s) authorising payments • all borrowing/investments decisions must be authorised by the Director of Resources.

Statement of duties/ responsibilities of each treasury post	<p>Examples:</p> <p>The Director of Resources :</p> <ul style="list-style-type: none"> • submitting budgets and budget variations • recommending clauses, treasury management policy, practices for approval, reviewing the same regularly and monitoring compliance • determining Prudential Indicators and Treasury Management Strategy including the Annual Investment Strategy • submitting regular treasury management policy reports • receiving and reviewing management information reports • reviewing the performance of the treasury management function and promoting best value reviews • ensuring the adequacy of treasury management resources and skills, and the effective division of responsibilities within the treasury management function • recommending the appointment of external service providers • determining long-term capital financing and investment decisions. • The Director of Resources has delegated powers to determine and undertake the most appropriate form of borrowing from the approved sources, and to make the most appropriate form of investments in approved instruments. • The Director of Resources may delegate their power to borrow and invest to members of his staff <p>Chief Executive</p> <ul style="list-style-type: none"> • ensuring the adequacy of internal audit and liaising with external audit <p>Senior Accountant</p> <ul style="list-style-type: none"> • execution of transactions • adherence to agreed policies and practices on a day to day basis • maintaining relationships with third parties and external service providers • monitoring performance on a day to day basis • submitting management information reports to the responsible officer • identifying and recommending opportunities for improved practices. • recording treasury management transactions, • reconciling treasury management transactions with the financial ledger • recording/reconciling counterparty documentation.
Absence cover arrangements	<p>In the absence of the Director of Resources the Chief Executive will assume their responsibilities.</p> <p>In the absence of the Senior Accountant the Finance Manager will provide cover.</p> <p>Cover is reviewed as necessary.</p> <p>Full procedure notes are available, detailing the processes required to enable the day to day operation of the treasury management function.</p>

Dealing

Authorised officers	<p>Responsible officer for borrowing/investment decisions :</p> <p>Borrowing activity: <i>Senior Accountants</i></p> <p>Lending activity : <i>Senior Accountants</i></p> <p>Authorising payments for borrowing/lending : <i>Directors</i></p> <p>Transaction recording : <i>Senior Accountants</i></p>
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Dealing limits	Internally Managed Investments: <ul style="list-style-type: none"> the maximum for any one investment deal is £3 million (subject to the lending limits detailed in the Council's Annual Investment Strategy.)
List of approved brokers	Brokers used by the Council are named in TMP 11 : External Service Providers
Policy on brokers' services	It is the Council's policy to utilise the services between at least two brokers. The Council will maintain a spread of business between them in order to avoid relying on the services of any one broker.
Policy on taping of conversations	Conversations with brokers may be taped by the brokers.
Direct dealing practices	Direct dealing is carried out with institutions and with external pooled funds identified in the Operational Schedule subject to counterparty and maturity limits and dealing limits. Prior to undertaking direct dealing, the Council will ensure that each counterparty/fund has been provided with the Council's list of authorised dealers and the Council's Standard Settlement Procedures.
Settlement transmission procedures	<ul style="list-style-type: none"> settlements are made by CHAPS. all CHAPS payments relating to settlement transactions require authorisation by a designated officer all CHAPS payments require 2 bank signatures the details are transmitted electronically to the Council's bankers.
Documentation requirements	<p>For each deal undertaken a record should be prepared giving details of dealer, amount, period, counterparty, interest rate, dealing date, payments date(s), broker.</p> <p>Investments</p> <ul style="list-style-type: none"> deal ticket authorising the investment confirmation from the broker confirmation from the counterparty Contract notes for purchase and sale of shares/units in pooled funds from the fund's manager/administrator Chaps payment transmission document <p>Loans:</p> <ul style="list-style-type: none"> deal ticket with signature to agree loan confirmation from the broker confirmation from PWLB/market counterparty Chaps payment transmission document for repayment of loan.

TMP 6: REPORTING REQUIREMENTS AND MANAGEMENT INFORMATION ARRANGEMENTS

Principle: *The Council will ensure that regular reports are prepared and considered on the implementation of its treasury management policies; on the effects of decisions taken and transactions executed in pursuit of those policies; on the implications of changes, particularly budgetary, resulting from regulatory, economic, market or other factors affecting its treasury management activities; and on the performance of the treasury management function.*

As a minimum, the Finance and Corporate Services Committee will receive:

- *An annual report on the strategy and plan to be pursued in the coming year*
- *An annual report on the performance of the treasury management function, on the effects of the decisions taken and the transactions executed in the past year, and on any circumstances of non-compliance with the organisation's treasury management policy statement and TMPs.*
- *A mid year review of Treasury activity*

The present arrangements and the form of these reports are outlined below.

Schedule:

Frequency of executive reporting requirements	<p>The Director of Resources will annually submit budgets and will report on budget variations as appropriate.</p> <p>The Director of Resources will submit the Prudential Indicators and the Treasury Strategy Statement (including Annual Investment Strategy) and report on the projected borrowing and investment strategy and activity for the forthcoming financial year to the Finance and Corporate Services committee before the start of the year.</p> <p>The Annual Treasury Report will be prepared as soon as practicable after the financial year end and, in all cases, before the end of September.</p> <p>A Mid-Year Treasury Report will be prepared by the Director of Resources, which will report on treasury management activities for the first part of the financial year. The Mid-Year Report will be submitted to Finance and Corporate Services during the year.</p>
Content of Reporting: 1. Prudential Indicators	<p>The Council will set the following Prudential Indicators, revise if necessary, and following the year end publish actual (where appropriate) in respect of :</p> <ul style="list-style-type: none"> ▪ Financing costs as a proportion of net revenue stream (estimate; actual) ▪ Capital expenditure (estimate; actual) ▪ Incremental impact of capital financing decisions (estimate) ▪ Capital Financing Requirement (estimates; actual) ▪ Authorised limit for external debt ▪ Operational boundary for external debt ▪ Actual external debt <p>The Prudential Indicators are approved and revised by Finance and corporate Services Committee and are integrated into the Council's overall financial planning and budget process.</p>

2. Treasury Strategy Statement including the Annual Investment Strategy	<p>The Treasury Strategy Statement integrates with the Prudential Indicators being set and will include the following:</p> <ul style="list-style-type: none"> • Link to Capital Financing and Treasury Management Prudential Indicators for the current and ensuing three years • Strategy for financing new borrowing requirements (if any) and refinancing maturing borrowing (if any) over the next three years and for restructuring of debt • the extent to which surplus funds are earmarked for short term requirements • the investment strategy for the forthcoming year(s) (<i>see below*</i>) • the minimum to be held in short term/specified investment during the coming year • the interest rate outlook against which the treasury activities are likely to be undertaken. <p>*Based on the ODPM's (now CLG's) Guidance on Investments, the Council will produce an Annual Investment Strategy (AIS) which sets out</p> <ul style="list-style-type: none"> ▪ the objectives, policies and strategy for managing its investments; ▪ the determination of which Specified and Non Specified Investments the Council will utilise during the forthcoming financial year(s) based on the Council's economic and investment outlook and the expected level of investment balances; ▪ the limits for the use of Non-Specified Investments. <p>The AIS will be integrated into the Treasury Strategy Statement.</p>
3. Annual Treasury Report	<p>The Director of Resources will produce an annual report for the Finance and Corporate Services Committee on all activities of the treasury management function (including the performance of fund managers) as soon as practicable after year end and in all cases no later than 30 September of the succeeding financial year.</p> <p>The main contents of the report will comprise :</p> <ul style="list-style-type: none"> ▪ confirmation that the Council calculated its budget requirements and set a balanced budget for the FY; ▪ the prevailing economic environment ▪ a commentary on treasury operations for the year, including their revenue effects; ▪ commentary on the risk implications of treasury activities undertaken and the future impact on treasury activities of the Council ▪ compliance with agreed policies/practices and statutory/regulatory requirements ▪ compliance with Prudential Indicators; ▪ performance measures.
Content and frequency of management information reports	<p>The Director of Resources will produce a half yearly monitoring report for the Finance and Corporate Services Committee</p> <p><i>Example :</i> This report includes details of :</p> <ul style="list-style-type: none"> • borrowing and investment activity undertaken including forward deals • performance of investments against benchmark • extent of compliance with the treasury strategy and reasons for variance (if any)
5. Scrutiny	<p>The Director of Resources will present the Treasury Strategy Statement to the Overview and Scrutiny committee prior to agreement by the Finance and Corporate Services Committee.</p> <p>The Overview and Scrutiny Committee will have responsibility for the scrutiny of treasury management policies and practices (TMP's)</p>

TMP 7: BUDGETING, ACCOUNTING AND AUDIT ARRANGEMENTS

Principle: *The Director of Resources will prepare, and the Council will approve and, if necessary, from time to time will amend, an annual budget for treasury management, which will bring together all of the costs involved in running the treasury management function, together with associated income. The matters to be included in the budget will at minimum be those required by statute or regulation, together with such information as will demonstrate compliance with **TMP1 Risk management**, **TMP2 Performance measurement**, and **TMP4 Approved instruments, methods and techniques**. The form which the Council's budget will take is set out in the schedule below.*

*The Director of Resources will exercise effective controls over this budget, and will report upon and recommend any changes required in accordance with **TMP6 Reporting requirements and management information arrangements**.*

The Council will account for its treasury management activities, for decisions made and transactions executed, in accordance with appropriate accounting practices and standards, and with statutory and regulatory requirements in force for the time being. The present form of the Council's accounts is set out in the schedule.

Schedule:

Statutory/regulatory requirements	<p>Balanced Budget Requirement: The provisions of S32 and S43 of the Local Government Finance Act 1992 require this Council to calculate its budget requirement for each financial year including, among other aspects,;</p> <p>(a) the expenditure which is estimated to be incurred in the year in performing its functions and which will be charged to a revenue account and</p> <p>(b) revenue costs which flow from capital financing decisions.</p> <p>S33 of the Act requires the Council to set a council tax sufficient to meet expenditure after taking into account other sources of income.</p>
Proper accounting practice	CIPFA's Code of Practice on Local Authority Accounting in the United Kingdom (the local authority code) constitutes "proper accounting practice under the terms of S21 (2) of the Local Government Act 2003".
Financial Statements	<p>The Financial Statements comprise:</p> <ul style="list-style-type: none"> ▪ A Narrative Statement ▪ Accounting policies, changes in accounting estimates and errors ▪ Presentation of financial statements ▪ Movement in reserves statement ▪ Comprehensive income and expenditure statement ▪ Balance sheet ▪ Cash flow statement ▪ Collection Fund (England) ▪ Statement of Responsibilities ▪ The Accounting Statements ▪ Notes to the financial statements ▪ Statements reporting reviews of internal controls or internal financial controls ▪ Events after the reporting period ▪ Related party disclosures
Format of the Council's accounts	The current form of the Council's accounts is available within the Finance department.

Disclosures relating to treasury management	Due regard will be given to the disclosure requirements under CIPFA's Accounting Code of Practice.
Treasury-related information requirements of external auditors	<p>The following information is specifically requested by the external auditor and should be considered an initial request for information. It is usually followed by more detailed audit testing work which often requires further information and/or explanations from the Council's officers.</p> <p>Information in this context includes internally generated documents, externally generated documents, observation of treasury management practices which support and explain the operation and activities of the treasury management function.</p> <ul style="list-style-type: none"> ▪ Determination of Affordable Borrowing Limit under Section 3 of the Local Government Act 2003. ▪ Prudential Indicators. ▪ Treasury Management Strategy including Annual Investment Strategy. <p><u>External borrowing:</u></p> <ul style="list-style-type: none"> • New loans borrowed during the year : PWLB certificates / documentation in relation to market loans borrowed (including copy of agreements, schedule of commitments) • Loan maturities. • Compliance with proper accounting practice, regulations and determinations for the amortisation of premiums and discounts arising on loans restructured during the year and previous years. • Analysis of loans outstanding at year end including maturity analysis. • Analysis of borrowing between long- and short-term • Debt management and financing costs <ul style="list-style-type: none"> ▪ calculation of (i) interest paid (ii) accrued interest ▪ interest paid • MRP calculation and analysis of movement in the CFR. • Bank overdraft position. • Brokerage/commissions/transaction related costs. <p><u>Investments:</u></p> <ul style="list-style-type: none"> • Investment transactions during the year including any transaction-related costs • cash and bank balances at year end • Short-term investments at year end • Long-term investments at year end (including investments in associates and joint ventures) by asset type, including unrealised gains or losses at year end • calculation of (i) interest received (ii) accrued interest • actual interest received • External fund manager valuations including investment income schedule and movement in capital values, transaction confirmations received (if any) • Basis of valuation of investments • Evidence of existence and title to investments (e.g. Custodian's Reports • Schedule of any investments in companies together with their latest financial statements); statement of transactions between the company and the Council.

	<p><u>Cash Flow</u></p> <ul style="list-style-type: none"> ▪ Reconciliation of the movement in cash to the movement in net debt ▪ Cash inflows and outflows (in respect of long-term financing) ▪ Cash inflows and outflows (in respect of purchase/sale of long-term investments) ▪ Net increase/decrease in (i) short-term loans (ii) short-term deposits (iii) other liquid resources <p><u>Other</u></p> <p>Details of (treasury-related) material events after balance sheet date not reflected in the financial statements.</p> <ul style="list-style-type: none"> ▪ External advisors'/consultants' charges
Internal Audit	<p>Internal Audit generally conducts an annual review of the treasury management function and probity testing.</p> <p>The internal auditors will be given access to treasury management information/documentation as required by them.</p>
Compliance with CIPFA Treasury Management and Prudential Codes	<p>Auditors may require evidence/demonstration of compliance with external and internal treasury management policies and strategy.</p> <p>Any serious breach of the TM Code's recommendations or Prudential Indicators should be brought to the attention of the external auditor.</p>
Costs for treasury management	<p>The budget for treasury management forms part of the Financial Services budget.</p>

TMP 8: CASH AND CASH FLOW MANAGEMENT

Principle: Unless statutory or regulatory requirements demand otherwise, all monies in the hands of the Council will be under the control of the Director of Resources, and will be aggregated for cash flow and investment management purposes. Cash flow projections will be prepared on a regular and timely basis, and the Director of Resources will ensure that these are adequate for the purposes of monitoring compliance with **TMP1 [2] liquidity risk management**. The present arrangements for preparing cash flow projections and their form are set out in the schedule below.

Schedule:

Arrangements for preparing /submitting cash flow statements	<p>A Cash flow forecasts will be used to formulate the Council's borrowing and investment strategy by identifying periods of surplus or shortfall of cash balances during the year.</p> <p>The cash flow forecasts and statements are held at operational level.</p> <p>The accuracy and effectiveness of the Council's cash flows are dependent on the accuracy of estimating expenditure, income and their corresponding time periods.</p> <p>Daily cash flows show forecast and planned movements of cash on a daily basis, including the matching of known inflows and payments. This is recorded in the Investments spreadsheet (IOSF yyyy-yyyy)</p>
Content and frequency of cash flow projections	<p>The detailed annual cash flow model includes the following:</p> <ul style="list-style-type: none"> • revenue income and expenditure based on the budget. • profiled capital income and expenditure as per the capital programme. <p>Revenue activities:</p> <p><u>Inflows:</u></p> <ul style="list-style-type: none"> ▪ Revenue Support Grant ▪ Precepts received ▪ Non domestic rates receipts ▪ Council tax receipts ▪ Housing subsidy ▪ DSS / other government grants ▪ Cash for goods and services ▪ Other operating cash receipts <p><u>Outflows:</u></p> <ul style="list-style-type: none"> ▪ Salaries and payments on behalf of employees ▪ Operating cash payments ▪ Housing Benefit paid ▪ Precepts paid ▪ NDR payments <p>Capital activities including financing</p> <p><u>Inflows:</u></p> <ul style="list-style-type: none"> ▪ Capital grants received ▪ Sale of fixed assets ▪ Other capital cash receipts <p><u>Outflows:</u></p> <ul style="list-style-type: none"> ▪ Purchase of fixed assets ▪ Purchase of long-term investments ▪ Other capital cash payments

Monitoring, frequency of cash flow updates	<p>The annual cash flow statement is updated periodically with the actual cash inflows and outflows after taking account of any revisions including those relating to grant income and capital expenditure and will be reconciled with :</p> <ul style="list-style-type: none"> • net RSG and NNDR payments as notified; • county council and police authority precepts as notified; • actual salaries and other employee costs paid from account bank statements; • actual payments to Inland Revenue from general account bank statements; • actual council tax received from general account bank statement; • actual rent allowances paid from payments account bank statement; • actual housing benefit and housing subsidy grant received from CLG; • actual capital programme expenditure and receipts.
Bank statements procedures	<p>The Council accesses its bank statements online and these are downloaded on a daily basis. The statements are processed and posted independently to the treasury function and are reconciled to the general ledger on a monthly basis.</p>
Payment scheduling	<p>The Council has a policy of paying suppliers in line with agreed terms of trade and the following service standards:</p> <ul style="list-style-type: none"> • <i>Undisputed invoices are to be paid within 30 days.</i>
Monitoring debtor/ creditor levels	<p>Debtor levels are monitored by a monthly Sundry Debtors Monitoring Report to the Finance Manager which will include an analysis of debt by age and details and details of recovery status.</p>
Banking of funds	<p>Instructions for the banking of income are set out in the Financial Regulations. Cheques received in the customer services section are banked daily. Generally the council does not take cash payments.</p> <p>All the Council's sections are advised of the requirement to bank on a regular basis in order to comply with recommended best practice and also remain within the particular insurance limits for the Council's premises.</p>

TMP 9: MONEY LAUNDERING

Background: The Proceeds of Crime Act (POCA) 2002 consolidated, updated and reformed criminal law in the UK in relation to money laundering. The principal offences relating to money laundering are:

- Concealing, disguising, converting, transferring or removing criminal property from England and Wales, from Scotland or from Northern Ireland
- Being concerned in an arrangement which a person knows or suspects facilitates the acquisition, retention use or control of criminal property
- Acquiring, using or possessing criminal property.

Other offences include failure to disclose money laundering offences, tipping off a suspect either directly or indirectly, and doing something that might prejudice an investigation.

Organisations pursuing relevant businesses were required to appoint a nominated officer and implement internal reporting procedures; train relevant staff in the subject; establish internal procedures with respect to money laundering; obtain, verify and maintain evidence and records of the identity of new clients and transactions undertaken and report their suspicions.

In December 2007, the UK Government published the Money Laundering Regulations 2007, which replaced the 2003 Regulations.

CIPFA believes that public sector organisations should “embrace the underlying principles behind the money laundering legislation and regulations and put in place anti money laundering policies, procedures and reporting arrangements appropriate and proportionate to their activities”.

Principle: *The Council is alert to the possibility that it may become the subject of an attempt to involve it in a transaction involving the laundering of money. Accordingly, it will maintain procedures for verifying and recording the identity of counterparties and reporting suspicions, and will ensure that staff involved in this are properly trained. The present arrangements, including the name of the officer to whom reports should be made, are detailed in the schedule below.*

Schedule:

Anti money laundering policy	<p>This Council’s policy is to prevent, wherever possible, the organisation and its staff being exposed to money laundering, to identify the potential areas where it may occur and to comply with all legal and regulatory requirements, especially with regard to the reporting of actual or suspected cases.</p> <p>The Council has accepted responsibility to ensure that those of its staff who are most likely to be exposed to money laundering can make themselves fully aware of the law and, where necessary, are suitably trained.</p>
Nomination of Responsible Officer(s)	<p>(a) The Council nominates Internal Audit function to be the responsible body to whom any suspicions relating to transactions involving the Council will be communicated.</p> <p>(b) The responsible officer will be conversant with the requirements of the Proceeds of Crime Act 2002 and will ensure relevant staff are appropriately trained and informed so they are alert for suspicious transactions.</p> <p>(c) The responsible officer will make arrangements to receive and manage the concerns of staff about money laundering and their suspicion of it, to make internal enquiries and to make reports, where necessary, to National Criminal Intelligence Services (NCIS).</p>

<p>Procedures for establishing the Identity of Lenders and Borrowers</p>	<ul style="list-style-type: none"> (a) In the course of its treasury activities, the Council will only borrow from permitted sources identified in TMP 4. (b) The Council will not accept loans from individuals. (c) In the course of its treasury activities, the Council will only invest with those counterparties which are on its approved lending list. (d) The identity and authenticity of commercial institutions (banks, building societies and other financial institutions) authorised to carry out borrowing and lending activity in the UK will be checked via the Bank of England/ Prudential Regulation Authority's website. (e) All receipts/disbursements of funds will be undertaken by <u>BACS or CHAPS</u> settlement. (f) Direct Dealing mandates: The Council will provide (in the case of lending) / obtain (in the case of borrowing) and maintain on file dealing mandates with any new money market counterparty. The mandates should be on letter-headed paper, dated and signed. (g) All banking transactions will only be undertaken by the personnel authorised to operate the Council's banks accounts. (h) When receiving requests for change of payment details, due care will be exercised to ascertain the bona fide of the request and avoid potential fraud. Additional checks will be made through <u>pre-existing</u> contact details for the payee before altering payment details.
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TMP 10: TRAINING AND QUALIFICATIONS

***Principle:** The Council recognises the importance of ensuring that all staff involved in the treasury management function are fully equipped to undertake the duties and responsibilities allocated to them. It will therefore seek to appoint individuals who are both capable and experienced and will provide training for staff to enable them to acquire and maintain an appropriate level of expertise, knowledge and skills. The Director of Resources will recommend and implement the necessary arrangements.*

The Director of Resources will ensure that council members tasked with treasury management responsibilities, including those responsible for scrutiny, have access to training relevant to their needs and responsibilities.

Those charged with governance recognise their individual responsibility to ensure that they have the necessary skills to complete their role effectively.

The present arrangements are detailed in the schedule below.

Schedule:

Qualifications/ experience for treasury staff	<i>Treasury Staff should have the AAT qualification as a minimum and preferably prior experience in Treasury management.</i>
Details of approved training courses	<p>The courses/events the Council would expect its treasury personnel to consider are (examples below):</p> <ul style="list-style-type: none"> • Certificate in International Treasury Management - Public Finance (<i>this is the new CIPFA TM qualification run by the Association of Corporate Treasurers</i>) • Training courses for Accounting, Auditing, Best Value/Competition, Budgeting, Capital Finance & Borrowing, Financial Management run by CIPFA and IPF • Any courses/seminars run by Treasury Management Consultants. • Attending CIPFA Conference • Training provided by those responsible for scrutiny of the treasury function

TMP 11: USE OF EXTERNAL SERVICE PROVIDERS

Principle: *The Council recognises that responsibility for the treasury management decisions remains with the organisation at all times. It recognises the potential value of employing external providers of treasury management services, in order to acquire access to specialist skills and resources. When it employs such service providers, it will ensure it does so for reasons which will have been submitted to a full evaluation of the costs and benefits. It will also ensure that the terms of their appointment and the methods by which their value will be assessed are properly agreed and documented, and subjected to regular review. And it will ensure, where feasible and necessary, that a spread of service providers is used, to avoid over reliance on one or a small number of companies. Where services are subject to formal tender or re-tender arrangements, legislative requirements will always be observed. The monitoring of such arrangements rests with the Director of Resources, and details of the current arrangements are set out in the schedule below.*

Schedule:

Contract threshold	The Council's Financial Regulations require that a formal written contract is in place with external service providers where the contract value exceeds £50,000 over the term. The contract will clearly state the services to be provided and the terms on which they will be provided.
Details of service providers and procedures and frequency for tendering services	<p>(a) Bankers to the Council: Nat West, Po Box 333, Silbury House 300 Silbury Boulevard , Central Milton Keynes, MK9 2ZF</p> <p>0845 308 8969</p> <p>Contract period : 1 April 2016 - March 2019</p> <p>Formal agreement in place : yes</p> <p>This service will be re-tendered every 3 years</p> <p>(b) Treasury advisor Arlingclose 35 Chiswell Street London EC1Y 4SE 08448 808201</p> <p>Contract period : 1 April 2015-31 March 2018</p> <p>Formal agreement in place : yes</p> <p>This service may be re-tendered every 3 years</p> <p>(d) Brokers: It is considered good practice for the Council to have at least two brokers and to spread business between them.</p> <p>BGC Partners Sterling Products 1 Churchill Place, Canary Wharf, London, E14 5RD</p>

	<p>0207 894 7742</p> <p>Formal agreement in place : no</p> <p>R P Martin Brokers 1 Churchill Place, Canary Wharf , London, E14 5RD 0207 894 8987</p> <p>Formal agreement in place : no</p>

TMP 12: CORPORATE GOVERNANCE

Principle: The Council is committed to the pursuit of proper corporate governance throughout its businesses and services, and to establishing the principles and practices by which this can be achieved. Accordingly, the treasury management function and its activities will be undertaken with openness and transparency, honesty, integrity and accountability.

The Council has adopted and has implemented the key recommendations of the Code. This, together with the other arrangements detailed in the schedule below, are considered vital to the achievement of proper corporate governance in treasury management, and the Director of Resources will monitor and, if and when necessary, report upon the effectiveness of these arrangements.

Schedule:

Stewardship responsibilities	The Chief Executive ensures that systems exist to deliver proper financial administration and control and maintaining a framework for overseeing and reviewing the treasury management function.
List of documents to be made available for public inspection.	<p>The following documents are freely available for public inspection:</p> <p><i>Examples</i></p> <ul style="list-style-type: none"> ▪ Annual Statement of Accounts ▪ Revenue and Capital Estimates Book ▪ Treasury Management Policy ▪ Treasury Management Strategy ▪ Budget Monitoring Reports ▪ Annual Treasury Report
Council's website.	Financial information is additionally available on the Council's website.
Procedures for consultation with stakeholders.	Members and senior officers of the Council are consulted via reports to the Finance and Corporate Services Committee and officer/member briefing sessions.

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Prudential Indicators and MRP Statement 2018/19

Prudential Indicators 2018/19

The Local Government Act 2003 requires the council to have regard to the Chartered Institute of Public Finance and Accountancy's *Prudential Code for Capital Finance in Local Authorities* (the Prudential Code) when determining how much money it can afford to borrow. The objectives of the Prudential Code are to ensure, within a clear framework, that the capital investment plans of local authorities are affordable, prudent and sustainable, and that treasury management decisions are taken in accordance with good professional practice. To demonstrate that the council has fulfilled these objectives, the Prudential Code sets out the following indicators that must be set and monitored each year.

Estimates of Capital Expenditure: The councils planned capital expenditure and financing may be summarised as follows.

Capital Expenditure and Financing	2017/18 Revised £000's	2018/19 Estimate £000's	2019/20 Estimate £000's	2020/21 Estimate £000's
Total Expenditure	964	682	487	487
Capital Receipts	544	262	67	67
Government Grants	420	420	420	420
Total Financing	964	682	487	487

Estimates of Capital Financing Requirement:

The Capital Financing Requirement (CFR) measures the councils underlying need to borrow for a capital purpose.

	2018/19 £000	2019/20 £000
Capital Financing Requirement	-186	-£186

A negative CFR indicates the council has capital funds available, and that it has no need to borrow.

Incremental Impact of Capital Investment Decisions: This is an indicator of affordability that shows the impact of capital investment decisions on Council Tax levels. The incremental impact is the difference between the total revenue budget requirement of the current approved capital programme and the revenue budget requirement arising from the capital programme .

Incremental Impact of Capital Investment Decisions	2018/19 Estimate £	2019/20 Estimate £	2020/21 Estimate £
General Fund - increase in annual band D Council Tax	0.01	-0.01	0.01

Adoption of the CIPFA Treasury Management Code: The council adopted the Chartered Institute of Public Finance and Accountancy's *Treasury Management in the Public Services: Code of Practice 2011 Edition*. It fully complies with the Codes recommendations.

Annual Minimum Revenue Provision Statement 2018/19

Where the council finances capital expenditure by debt, it must put aside resources to repay that debt in later years. The amount charged to the revenue budget for the repayment of debt is known as Minimum Revenue Provision (MRP), although there has been no statutory minimum since 2008. The Local Government Act 2003 requires the council to have regard to the Department for Communities and Local Government's *Guidance on Minimum Revenue Provision* (the CLG Guidance) most recently issued in 2012.

The broad aim of the CLG Guidance is to ensure that debt is repaid over a period that is either reasonably commensurate with that over which the capital expenditure provides benefits, or, in the case of borrowing supported by Government Revenue Support Grant, reasonably commensurate with the period implicit in the determination of that grant.

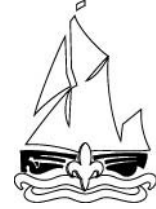
The CLG Guidance requires the council to approve an Annual MRP Statement each year, and recommends a number of options for calculating a prudent amount of MRP. The following statement incorporates options recommended in the Guidance

The council expects that its Capital Financing Requirement will be negative on 31st March 2018 and in line with the CLG Guidance it will therefore charge no MRP in 2018/19.

The Commercialisation Strategy and associated projects may require borrowing, in which case the Capital Financing Requirement will be altered and an MRP charge will be required. If this is the case then the following statement will be applicable and will be reported as part of the approval request for the relevant expenditure.

For capital expenditure incurred after 31st March 2008, MRP will be determined by charging the expenditure over the expected useful life of the relevant asset in equal instalments, starting in the year after the asset becomes operational. MRP on purchases of freehold land will be charged over 50 years. MRP on expenditure not related to fixed assets but which has been capitalised by regulation or direction will be charged over 20 years.

Capital expenditure incurred during 2018/19 will not be subject to a MRP charge until 2019/20. Therefore there is no budget for MRP.



REPORT of DIRECTOR OF RESOURCES

**to
FINANCE AND CORPORATE SERVICES COMMITTEE
6 MARCH 2018**

FINANCIAL SERVICES POLICY - MILEAGE AND EXPENSES

1. PURPOSE OF THE REPORT

- 1.1 To obtain approval for a revision to the Council's Mileage and Expenses policy.

2. RECOMMENDATION

To the Council:

- 2.1 That the Mileage and Expenses Policy attached at **APPENDIX 1** be approved and adopted.

3. SUMMARY OF KEY ISSUES

- 3.1 The current mileage and expenses policy was subject to a major update in January 2014. It has been reviewed and updated where necessary and a table of the amendments has been included on the second page of **APPENDIX 1**.
- 3.2 The following are the main changes in the revised policy:
- Subsistence amounts for meals away have been amended to reflect the HMRC subsistence rate scales.
 - Details on parking costs have been expanded to emphasise that the best value parking option should be chosen.
 - Reference to fuel cards has been removed.
 - Job title references have been amended to reflect the current staffing structure.

4. CONCLUSION

- 4.1 The Committee is asked to approve the revised Mileage and Expenses Policy.

5. IMPACT ON CORPORATE GOALS

- 5.1 Effective and up to date Financial Policies assists with the corporate goal of “delivering good quality, cost effective and valued service”.

6. IMPLICATIONS

- (i) **Impact on Customers** – None.
- (ii) **Impact on Equalities** – All revisions to Finance Policies will include ensuring that staff are treated fairly and equally in accordance with their statutory rights.
- (iii) **Impact on Risk** – Keeping Financial Policies up to date helps ensure that the Council complies with employment law and controls the financial and reputational risks associated with employment issues.
- (iv) **Impact on Resources (financial)** – None.
- (v) **Impact on Resources (human)** – None.
- (vi) **Impact on the Environment** – None.

Background Papers: None.

Enquiries to: Emma Foy, Director of Resources, (Tel: 01621 875762).

Maldon District Council

Mileage and Expenses Policy



Document Control Sheet

Document title	Mileage and Expenses Policy
Summary of purpose	Set out the framework for claiming and approval of business related travel and expenses.
Prepared by	Updated by Carrie Cox
Status	Draft
Version number	Version 2
Approved by	Finance and Corporate Services
Approval date	March 2018
Date of implementation	As soon as approved
Review frequency	3 Yearly or as required.
Next review date	March 2021
Circulation	All Members and Staff. Intranet.
Published on the Council's website	No

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.

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UPDATES

1.2 (V)	Replaced Head of Finance with Finance Manager
1.2 (vii)	Wording slightly changed to read better
1.2 (x)	Removed apart from travel direct to site
1.2 (xii)	Removed pay for fuel on Council fuel card as there is no generic card for the Council, all cards are vehicle specific. Inserted instead fuel costs will be paid via the expenses system. Changed round mileage trip for hire car to 90 miles.
2.6	Amend reference to fuel card, to expense claim, and change Head of Finance to Director of Resources. Changed round mileage trip for hire car to 90 miles.
3.1	Added that car parks should be chosen based on value not convenience.
Section 5	Amended wording to include wording from HMRC, and change wording for the food allowance limits.
5.2	Changed Head of Finance to Finance Manager
8.4.1	Inserted some wording to indicate that these are the maximum limits and limits amended to reflect the current HMRC rates.

1 Guiding Principles

- 1.1 Travelling and subsistence expenses will be reimbursed by the Council when they have been incurred by employees in performance of their official duties. Special rates and arrangements apply to travelling and subsistence claims relating to post entry training as described in the notes of guidance for post entry training.
- 1.2 The claiming and payment of travelling and subsistence expenses is based on the following principles:
- (i) That the official journeys are necessary to enable the employee to perform his/her duties properly and, undertaken with the approval of the manager who will authorise claims when submitted. These duties may include training or conferences.
 - (ii) That claims are substantiated by receipts or evidence of expenditure, except where this is not possible.
 - (iii) Subsistence allowances are reimbursed on the basis that additional expenditure has been actually and necessarily incurred by the employee upon the meals and beverages for which the allowances are claimed. Subsistence will only be paid where expenditure can be demonstrated by a VAT receipt.
 - (iv) The general principle of reasonableness underlies the claiming and payment of travelling and subsistence allowances. Employees have a responsibility to ensure that the cost to the Council is kept to a minimum without unduly reducing the efficiency with which they carry out their duties.
 - (v) In normal circumstances claims can only be made up to the maximum amounts included in this policy. Where it is not possible to keep within these limits, for example meals in hotels where location makes choice limited, then claims must be approved by the Finance Manager.
 - (vi) In accordance with the Council's commitment to reduce carbon emissions, travel should be by public transport wherever this is possible and practical. It is however recognised that journey times by public transport may at times be lengthy and present problems to staff. In such situations the employee should discuss the journey with their manager and agree the most appropriate method of travel.
 - (vii) Employees should ensure wherever possible that they organise travel arrangements to take advantage of cheap day returns, if using public transport. Where several employees are travelling to the same function by car they should endeavour to travel together.
 - (viii) The difficulties of travelling to and parking in London are acknowledged and, employees should travel to London by rail. Wherever possible rail tickets should be obtained in advance.
 - (ix) For travel directly from home to site, the Council follows HM Revenue & Customs (HMRC) principles for business mileage which is tax free. An employee can only claim the mileage for any miles incurred that are in addition to their normal home to work journey. Staff must deduct home to work mileage from all mileage claims made.
 - (x) As per above, home to office mileage will **not** be reimbursed. In addition the mileage to be claimed must always be using the most direct route and lowest mileage.
 - (xi) Where an overtime claim has been submitted, travel and subsistence claims will not be paid.

- (xii) Where there is no alternative transport to car use and mileage claimed will be in excess of 90 miles round trip, officers should ensure value for money by booking a hire car through the Council's dedicated supplier and reclaiming petrol costs through the expenses system. Exemption from this clause can only be provided by the Director of Resources.

- 1.3 As with all expenditure, travelling and subsistence allowances will from time to time, be subject to inspection and analysis by the Council's Auditors. Falsification of claims for expenses is regarded as an act of attempted fraud and gross misconduct and will be dealt with in accordance with the Council's Disciplinary Policy and Procedure.

2. Car and Motor Cycle Allowances

- 2.1 The Council has only one classification of car and motor cycle allowance, 'casual user'. The Council will reimburse any business mileage at the published HM Revenue and Customs authorised non-taxable rates.
- 2.2 Any employee who uses their own vehicle for business purposes (including travel to courses / seminars) must ensure it is insured for business travel prior to the journey undertaken and that the vehicle is roadworthy. Insurance documentation must be available for inspection by line management at any time, at least annually, and the failure to have the correct insurance arrangements can be subject to disciplinary action. Any costs of business insurance are the responsibility of the employee and will not be reimbursed. In many cases insurers will not charge the individual for business travel cover.
- 2.3 All claims for vehicle mileage must be submitted promptly at the end of each month. Claims which are more than 3 months old will be rejected.
- 2.4 In accordance with HM Revenue and Customs rules all vehicle mileage claims must be supported by a VAT receipt for fuel. This receipt can apply to either the fuel receipt before or after the journey and staff who regularly claim mileage should habitually obtain VAT receipts for fuel.
- 2.5 Any speeding fines, parking fines or other road traffic infringements are the responsibility of the employee and will not be paid for by the Council..
- 2.6 Where a hire car is used, no mileage claim will be paid, only the actual cost of fuel on production of a valid VAT receipt.

3. Car Parking

- 3.1 Parking fees will be reimbursed when it has been necessary for an employee to use a car park as a result of undertaking travel on official business, i.e. not for normal home to work travel. Car parking should be based on the best value (i.e. a park and ride scheme) and not automatically the most convenient. Car parking fines are the responsibility of the individual employee.

4. Public Transport

- 4.1 Public transport should be used where it is practicable and/or cheaper. If an officer wishes to drive to a venue which is accessible by public transport the maximum amount claimable for mileage expenses will be capped at the cost of a standard class public transport fare.
- 4.2 Rail travel should be made by standard class unless an employee should arrange to take advantage of "special offers" and cheap day returns.

5. Subsistence

- 5.1 Subsistence allowance will be payable to employees who are prevented by their official duties from taking a meal at their home, duty base/office or establishment where they normally take their meals (and more than three miles [single journey] from their work base) **and** thereby incur **additional expenditure**. These allowances may only be claimed with prior approval of the authorising manager and a valid receipt evidencing expenditure. A meal is defined as a combination of food and drink and would take a normal dictionary meaning. Where employees are required to start early or finish late on a regular basis, the over 5 hour and 10 hour rate, whichever is applicable, can be paid provided that all the other qualifying conditions are satisfied. An employee can only be reimbursed for a meal once. If the cost of an evening meal or breakfast is reimbursed on an actual basis, because it is included in the cost of an overnight stay, the employee would not also be entitled to a benchmark rate in respect of those meals.

There are some accepted time limits which apply to the payment of subsistence allowances. These are:

- The over 5 hour rate would be restricted to employees who are necessarily absent from their duty base/office when a meal can't reasonably be taken in standard times.
- The over 10 and 15 hour rates would only be payable where it is necessary to stay overnight.

In no circumstances should any costs of alcohol be borne by the tax payer.

- 5.2 Where an employee in the course of his/her official duties, has to stay overnight, he/she is entitled, subject to the prior agreement of the authorising manager, to reclaim meal expenses in line with the limits in 8.4.1. VAT receipts must be attached to the claim form and the Council will reimburse any reasonable expenditure. Items such as morning papers and personal telephone calls will be excluded. All hotel reservations must be agreed with the Finance Manager.
- 5.3 Claims for alcohol consumed by employees will not be reimbursed under any circumstances.
- 5.4 Where an employee is required by the Council to work outside their normal working hours and this work results in additional childcare costs, with prior consultation and approval with the line manager, Maldon District Council shall reimburse the cost of additional child care only on production of a receipt from a registered provider. It should be noted that the reimbursement is taxable under HMRC rules. Claims cannot be made where the employee is claiming overtime for the additional hours worked. This provision is intended to ensure that staff who are required to attend courses and training are not financially disadvantaged.

6. Out of Pocket Expenses

- 6.1 There is an allowance per night in respect of necessary out of pocket expenses incurred at residential courses where they form part of an approved post entry training course. The allowance is subject to weekly limit and to a limit of six weeks in respect of any course. It is subject to further review thereafter (see Travelling and Subsistence Rates).
- 6.2 This allowance does not apply to other courses/seminars/conferences it is only for approved post entry training courses.

7. Journeys Outside Normal Working Hours

- 7.1 Where a journey in the course of duty starts from and finishes at an employee's home because he/she is required to go out again having returned home after a normal day's work, as for example, a duty or standby officer, or at a weekend or bank holiday because he/she is

required to work (outside of his/her normal work pattern), then he/she may claim the fares incurred.

- 7.2 If the journey is to the normal place of work, then any mileage paid will be taxable and the claim form **must** be marked to indicate the special nature of the claim.
- 7.3 If employees have been reimbursed in any way for the out of hours work then no claims may be made. This includes flex or time off in lieu.

8. Travelling and Subsistence Rates

8.1 Car Allowances

Casual Users All ccs and all grades

Mileage rates:

Up to 10,000 miles 45p

Over 10,000 miles 25p

Cars within the Council approved Car Benefit Scheme

11p per mile.

8.2 Motorcycle Allowance

All ccs and all grades

Any miles 24p

8.3 Bicycle Allowance

Any level of miles 20p

8.4 Maximum Subsistence Allowances

- 8.4.1 Any claims for subsistence must be supported by receipts and authorised by the line manager before they can be paid. The maximum that can be claimed unless prior approval has been obtained is:-

Journey time away from office in excess of:-	Maximum payable.
5 hours -	£5
10 hours -	£10
15 hours (and ongoing at 8pm) -	£25

Benchmark Scale rates can only be used where these following qualifying conditions have been met:-

- The travel must be in the performance of an employee's duties or to a temporary workplace, on a journey that is not substantially ordinary commuting.
- The employee must be absent from his normal place of work or home for a continuous period in excess of 5 or 10 hours
- The employee must incur a cost on a meal (i.e. food and drink) after starting the journey and retained appropriate evidence of their expenditure.

Where a scale rate of £5 or £10 is paid and the qualifying journey in respect of which it is paid lasts beyond 8pm a supplementary rate of £10 can be paid to cover the additional expenses necessarily incurred as a result of working late.

If employees spend more on expenses than the amount that is reimbursed, they can still claim a deduction from HMRC for the difference between what they actually spent on the expense and the amount reimbursed by their employer in the normal manner, subject to their having retained appropriate evidence.

Overnight subsistence rate - The over 15 hour rate for subsistence will almost always apply where an employee is required to stay away overnight, provided the cost of any meals is not also included in an accommodation payment.

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REPORT of DIRECTOR OF RESOURCES

**to
FINANCE AND CORPORATE SERVICES COMMITTEE
6 MARCH 2018**

INFORMATION AND DATA SECURITY POLICIES

1. PURPOSE OF THE REPORT

- 1.1 To present new, updated information and data security policies for review and approval.

2. RECOMMENDATION

To the Council:

That Officers and Members adopt the new, updated Information and Data security policies.

3. SUMMARY OF KEY ISSUES

- 3.1 The current policies are out of date and have not been reviewed for a number of years. If the organisation wants to start working more effectively with the information and data it collects, stores and processes then these policies need to be adopted.
- 3.2 The following policies have been issued by the Essex Online Partnership and adapted to be appropriate for Maldon District Council. They require approval and adoption.
- 3.3 See **APPENDIX A** for each policy.
- Conditions of Acceptable Use V7.1 2018
 - Corporate Information Security Policy V2.1 2018
 - Using Email and Digital Communications V1.0 2018

4. CONCLUSION

- 4.1 To meet audit recommendations and keep our information and data security policies up to date the new versions of these 3 policies require approval and adoption by Staff and Members.

5. IMPACT ON CORPORATE GOALS

- 5.1 The publication of updated Information and Data Security policies aids transparency in line with the corporate goal of “Delivering good quality, cost effective and valued services”.

6. IMPLICATIONS

- (i) **Impact on Customers** – None
- (ii) **Impact on Equalities** – None
- (iii) **Impact on Risk** – Reduction via awareness and education
- (iv) **Impact on Resources (financial)** – None
- (v) **Impact on Resources (human)** – None
- (vi) **Impact on the Environment** – None
- (vii) **Impact on Strengthening Communities** - None

Background Papers: None

Enquiries to:

Chris Wall – ICT Manager (chris.wall@maldon.gov.uk)

Acceptable Use Policy

CONTEXT

We must act appropriately with the information we obtain and hold, and with the systems we use and access. How you use our systems, telephony, email and intranet is important for our reputation and the trust of our customers.

APPLICATION OF POLICY

Everyone who uses information and communications technology this organisation provides (or technology under any ownership used in the course of the business of this organisation) must be aware of these policy statements and the obligations it places upon them.

Maldon District Council commits to informing all employees, members, voluntary workers, agency staff, contractors and other third parties of their obligations before they are authorised to access systems and information and subsequently at regular intervals. Other organisations, and their users, granted access to technology managed by our organisation must abide by this policy.

All those who access information and communications technology may be held personally responsible for any loss or misuse.

OBLIGATIONS

- You must not install, access or modify applications, systems or data without the correct authorisation from IT.
- You must maintain the security of information as defined in the Information Security Policy.
- You must not access or interfere with other people's email without their permission, or in their absence, the authorisation of their line manager.
- You must not participate in unlawful, libellous, immoral or offensive activities, including accessing, downloading, storing, creating, copying or disseminating offensive material. This includes, but is not limited to, material of a pornographic, sexual, violent, criminal, racist, sexist or otherwise discriminatory nature. Further, you must not use our systems to perpetrate any form of fraud or piracy.
- You must not publish a website, or any content on a website or social media platform, that could bring the organisation into disrepute. This includes publishing defamatory or knowingly false material about the organisation, colleagues or customers in any online publishing format.
- You must not disclose your password to anyone or ask anyone else for their password. If you suspect your password has become known to anyone else, change it immediately and report it to the Information Security Manager.
- Only subscribe to services with your professional email address when representing the organisation.
- Our facilities and identity must not be used for commercial purposes outside the authority or remit of this organisation, or for personal financial gain.



- You must not attempt to disable or bypass anti-virus, malware or other security protection, and you should take care not to introduce viruses or malware. If you discover a virus or malware, you must notify ICT immediately.
- You must only use software that is appropriately licensed and materials which are not copyrighted, or for which you have been granted use.
- You must only use council data for the purpose it was obtained and not to benefit yourself, a family member or friend
- If you receive or view email or other content not intended for you, protect its confidentiality.
- Take care when replying or forwarding to ensure that only relevant parties are included.
- Report faults with information and communications technology and co-operate with fault diagnosis and resolution.
- If you use our technology or our internet provision for personal use, the organisation takes no responsibility for the security of your personal information. It is recommended you do not carry out personal financial transactions.

MONITORING

The organisation maintains the right to examine any system or device used in the course of our business, and to inspect any data held there.

To ensure compliance with this policy, the volume of internet and network traffic, and the use and content of emails and visited internet sites, may be monitored. Specific content will not be monitored unless there is suspicion of improper use.

FURTHER INFORMATION

Also see

Information Security Policy

Contact

Chris Wall, ICT Manager

To report faults, contact

The ICT team on 875795 or 875770

To report a virus or malware, contact

The ICT team on 875795 or 875770

In the event of a password breach, or suspected breach, contact Chris Wall, ICT Manager, who acts as the Information Security Manager.

Information Security Policy

CONTEXT

Information is essential to delivering services to citizens and businesses. Information security refers to the defence of information or information systems from unauthorised or unintended access, destruction, disruption or tampering. It is important our organisation acts appropriately with the information we obtain and hold. Confidentiality, integrity and availability of information must be proportionate and appropriate to maintain services, comply with the law and provide trust to our customers and partners.

APPLICATION OF POLICY

Everyone who accesses information this organisation holds must be aware of these policy statements and their responsibilities in relation to information security.

Maldon District Council commits to informing all employees, members, voluntary workers, agency staff, contractors and other third parties of their obligations before they are authorised to access systems and information and subsequently at regular intervals. Other organisations, and their users, granted access to information held by our organisation must abide by this policy.

All those who access information may be held personally responsible for any breach or misuse.

OBLIGATIONS

- Only access systems and information for which you are authorised.
- Only use systems and information for the purposes authorised.
- Comply with all applicable legislation and regulation.
- Comply with controls communicated by the Information Asset Owner.
- Do not disclose confidential or sensitive information to anyone without the permission of the Information Asset Owner.
- Ensure confidential or sensitive information is protected from view by unauthorised individuals.
- Do not copy, transmit or store information to devices or locations (physical or digital) where unauthorised individuals may gain access to it; the security of devices and locations you use are your responsibility.
- Protect information from unauthorised access, disclosure, modification, destruction or interference.
- Keep passwords secret and do not allow anyone else to use your access to systems and accounts (unless Maldon IT team require it to make updates)
- Notify the Information Security Manager of any actual or suspected breach of information security policy and assist with resolution
- Co-operate with compliance, monitoring, investigatory or audit activities in relation to information.



APPENDIX A (2)

**ESSEX
ONLINE
PARTNERSHIP**

DONE ONCE, SHARED BY MANY

ROLES AND RESPONSIBILITIES

The Organisation

- Ensures compliance with law governing the processing and use of information.

The Chief Executive

- Acts as Accountable Officer ensuring that all information is appropriately protected.

Senior Information Risk Owner

- Assures information security within the organisation.
- Promotes information security at executive management level.
- Provides an annual statement about the security of information assets.

Information Security Manager

- Manages the investigation and mitigation of information breaches.
- Supports Information Asset Owners to assess risks and implement controls.

Information Asset Owners

- Assess the risks to the information they are responsible for.
- Define the protection measures of the information they are responsible for, taking consideration of the sensitivity and value of the information.
- Communicate the protection controls to authorised users and ensure controls are followed.

Directors, Managers and Line Managers

- Ensure their employees are fully conversant with this policy and all associated standards, procedures, guidelines and relevant legislation; and are aware of the consequences of non-compliance.
- Develop procedures, processes and practices which comply with this policy for use in their business areas.
- Ensure all contractors and other third parties to which this policy may apply are aware of their requirement to comply.

Employees

- Conduct their business in accordance with this policy.
- Take responsibility for familiarising themselves with this policy and understanding the obligations it places on them.

FURTHER INFORMATION

Contact

The ICT team on 875795 or 875770

In the event of an information breach, or suspected breach, contact Chris Wall, ICT Manager, who acts as the Information Security Manager.

Using Email and Digital Communications

CONTEXT

Email and digital communications are essential channels for our organisation, enabling us to work productively and flexibly.

How you communicate through email, instant messaging or audio-visual conferencing and what you publish on the internet is important for our reputation and the trust of our customers and partners.

Read the Information Security Policy and Acceptable Use Policy to understand your obligations.

AUDIENCE

This guidance is relevant for everyone who uses corporate email or digital communication channels in the name of Maldon District Council or acts as a representative of the organisation. It contains good practice and advice, describing the organisation's expectations as you use these channels.

All those who access email and digital communications may be held personally responsible for any abuse or inappropriate use.

CONTENTS

Choosing the best channel	2
Email etiquette	2
Managing email	3
Sensitivity	3
Digital communications and the law	4
Reporting email or digital communications	5
Further information	5



APPENDIX A (3)
**ESSEX
 ONLINE
 PARTNERSHIP**
 DONE ONCE, SHARED BY MANY

CHOOSING THE BEST CHANNEL

What do I need to communicate?

If information needs to be recorded or saved, or if you want to get a consistent message to a group of people, email is the answer. Short and insignificant conversation with somebody remote is ideal over instant messaging. Delivering an important, immediate and memorable message is best face to face, either in person or through video conferencing. For instant response combined with two-way dialogue, telephone remains a useful channel.

Channels for sensitive or complex subjects

If you are communicating about these matters, talk to somebody directly, or contact them using telephone or audio-video conferencing rather than email or instant messaging.

Performance appraisal or review issues | Job, salary or career progression
Topics which require discussion or dialogue | Private or privileged materials
Complex issues needing input from multiple people | Venting frustration

This ensures that aural or visual cues are evident in the conversation. Of course, you may need to follow up dialogue with documented notes or information, at which time email becomes an acceptable channel.

EMAIL ETIQUETTE

Keep emails short and to the point. The people receiving your email want to quickly understand how they should prioritise your message. Long emails may not be read to the end.

Use the subject field for a brief and concise description or reference. This helps the recipient organise and manage their email and will help you retrieve it if needed.

Read your email back to yourself before you send it, as it lets you check you are conveying the message you want, as well as correcting spelling or grammar mistakes which shows respect for the intended audience.

Do you need to attach something? When referring to other information or documents, think about whether the recipient can access a link rather than sending an attachment. This reduces the strain on your mailbox storage and theirs. It also reduces duplication as it discourages multiple copies being saved, and ensures the original information remains the key reference location.

Say Hello, Goodbye and who you are. Use a salutation appropriate for your audience. It is common practice to use Hi or Hello in professional emails, or to use Dear in particularly formal emails. Finishing your email with "Kind regards" or "Thanks" above your signature helps to stop communication feeling abruptly closed. Include a signature that provides enough information about who you are without making it unreasonably long. A corporately agreed disclaimer is automatically added to external emails therefore do not add your own version of a disclaimer to your signature.

Avoid snap responses. Never send an email in anger. Email can be very impersonal so it may encourage people to feel bolder in making criticism or pointing out things they are dissatisfied with than they would be in communicating it verbally. Whilst it may be tempting to respond in kind, it is always better to wait until your initial irritation is gone and then either speak to them in person or construct a considered response.

MANAGING EMAIL

Don't let email overwhelm you by setting a little time aside each day to deal with it. Consider whether senders need you to respond, retain or just read then delete. Use flags and reminders for emails which require a response you cannot immediately provide. Empty the deleted items folder intermittently and archive old items in your mailbox regularly to prevent it becoming unusable.

If you are able to work flexibly or remotely, you may collect email on your mobile phone or online. As technology enables us to work from almost anywhere with an internet or phone connection, it can be difficult to know where to draw the line. The relaxation of traditional work boundaries can cause feelings of pressure on your work life balance and difficulty switching off from work.

You are not expected to read and answer emails outside your normal working hours. Urgent matters can be communicated by telephone. There is no expectation you are always available just because you have connectivity.

Avoid peer pressure and do not get involved in competitive situations over email responses.

Be considerate of the time and day when sending emails. If you manage others, you should avoid setting an expectation that your team need to work when you work.

Set an out-of-office response when you are unable to read your emails for at least one working day or more. This helps to manage the expectations of those contacting you.

You do not need to check emails when you are off sick, on holiday or non-working days, but you should ensure they are managed on your behalf or that senders have an alternative point of contact.

You are responsible for managing your work time. Look for early signs of email invasion into your personal time and act quickly.

SENSITIVITY

Give some thought to whether a message needs to be marked differently to usual. Most messages and their attachments don't need to be marked as confidential or private, and when they aren't, the assumption is that the message can be forwarded and the attachment changed as required. Please do not use auto-forward rules on your emails as this restricts your ability to manage them according to their sensitivity.

Most email applications make it easy to mark emails with a sensitivity level. If in doubt, start your subject line with the appropriate word to indicate sensitivity. Be aware that marking with a sensitivity level does not prevent recipients distributing the content.

Remember privacy and confidentiality cannot be assured on most digital channels. Secure email should be used for sensitive information about individuals, or is sensitive due to quantity (e.g. large datasets of personal details) or content which is commercial in confidence.

Confidential messages and attachments should not be freely copied or forwarded. Distribution should be limited to those who need to be informed.

Private indicates the content is only to be shared between the sender and recipient. The recipient should seek the sender's permission before distributing or sharing the information.

Marking digital correspondence with **Personal** tells the recipient that the content is about the sender. The recipient should seek the sender's permission before distributing or sharing.

DIGITAL COMMUNICATIONS AND THE LAW

The law applies to email and digital communications in the same way as it does to the written or spoken word, regardless of intent or ignorance. Think carefully about what you say and how you say it. The organisation will assist law enforcement agencies when requested, including passing on all data held on email.

The law of copyright applies to electronic and digital forms in the same way as it does to traditional publications. Take care not to infringe copyright when reproducing any material in email, attachments or digital communications. Seek advice from Legal Services if you are unsure.

Everything contained in the email system is the organisation's intellectual property.

Data Protection and Freedom of Information

It is a criminal offence to collect, hold and process personal data on computers unless the Information Commissioner's Office is notified. This organisation is registered as a data processor. Information held in emails about a person may have to be revealed if they request it. Be mindful that email is included in the information subject to disclosure under the Freedom of Information Act 2000. It is also a legal requirement that information held is accurate and is only kept for as long as it is needed.

Human Rights Act 1998

Article 8 of this Act applies to emails and digital correspondence sent at work and gives individuals the right to privacy over such communications. However, monitoring individuals' email and digital correspondence at work may be justified if it is in accordance with the law and is necessary in a democratic society in the interests of national security, public safety, for the economic wellbeing of the country, for the prevention of disorder or crime, for protection of health or morals or for the protection of the rights and freedoms of others.

Obscene Publications Act 1959 and 1964

Material sent through the email system or shared digitally during working time or from the organisation's equipment could contravene this act, and information will be passed to appropriate authorities if requested.

Defamation

Critical comments or defamatory remarks about individuals, groups or organisations must not be included in corporate email or shared through digital channels when acting as a representative of the organisation. You must not reproduce any critical comments or defamatory remarks made by third parties as the law may interpret this as libel and you may be held liable for the contents.

Harassment and Discrimination

Comments or remarks sent by email or shared digitally may amount to harassment under anti-discrimination laws. Because there are no visual or tonal signals in digital communications, it is possible to cause offence to the recipient or reader where none was intended.

Contracts

It is possible to inadvertently form a contract through an exchange of email. A contract does not necessarily need a signature to come into force, and in any event, your email signature has the same weight in law as your manuscript signature. If you do not have the authority to create or vary a contract, take care in your email correspondence, and seek advice from Legal Services if needed.

Hacking

Unauthorised access to our network or systems, including email, can lead to theft, destruction or alternation of essential data. It is a criminal offence to access any computer system you are not authorised to use, or to delete or amend data or systems to the detriment of the organisation.

REPORTING EMAIL OR DIGITAL COMMUNICATIONS

Abusive or Obscene Content

Make sure you know and understand your obligations around inappropriate and unacceptable communications: see the Acceptable Use Policy. If you are unsure as to whether email or digital communication content could be offensive, do not send or share it. Remember you represent our organisation in all communications and should not do anything to bring it into disrepute.

Abusive or obscene content is not defined by what you consider abusive or obscene; it is what anyone could find to be abusive or obscene.

If you receive offensive material by email from an unknown source, do not reply or participate in any way as this may confirm to the sender that your email address exists and lead to further unwanted email. Inform your line manager and ICT.

If you receive offensive material from a known source, request they stop this in future and please tell your manager. You may notify ICT if you choose.

Viruses and Malware

Anti-virus and anti-malware tools are used throughout our network. Nonetheless some suspicious communications may find their way to you by masking themselves as a trusted correspondent or domain, or by being inconspicuous enough to avoid detection. Think carefully before opening attachments or following links you weren't expecting. Delete suspicious emails straight away, notifying the sender by separate email (not by replying) if you think there was a chance of authenticity. If you mistakenly open an attachment or follow a link which proves to be bogus, notify ICT immediately who will try to limit any issues; stop working on your PC or mobile device and do not attempt to remove any virus or malware yourself.

FURTHER INFORMATION

Also see [Information Security Policy](#), [Acceptable Use Policy](#)

Contact Chris Wall, ICT Manager

To report concerns, contact the ICT team on 875795 or 875770

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REPORT of DIRECTOR OF RESOURCES

**to
FINANCE AND CORPORATE SERVICES
6 MARCH 2018**

DATA PROTECTION POLICY 2018

1. PURPOSE OF THE REPORT

- 1.1 To consider the draft Data Protection Policy, attached as **APPENDIX 1** to this report, and recommend the adoption of this policy to the Council.

2. RECOMMENDATION

- 2.1 To the Council

That the Data Protection Policy, attached at **APPENDIX 1**, be approved.

3. SUMMARY OF KEY ISSUES

- 3.1 The Introduction of the General Data Protection Regulations (GDPR) as part of the Data Protection Act 2018 bring with it additional requirements on organisations to protect the data which they hold and process. It further enhances the rights of the citizen to access, restrict and withdraw their permission for their data to be processed.
- 3.2 The maximum financial penalty which the Regulator (Information Commissioner's Office) can impose for breaches of data protection law under GDPR have been raised from £500,000 to £17m.
- 3.3 This policy has been created to reflect the changes in the legislation and ensure the Council's compliance with its obligations.
- 3.4 The Policy seeks to:
- Provide clear guidance for staff and Members in understanding their responsibilities in ensuring the privacy of our customers is protected.
 - Minimise the likelihood of a data breach;
 - Further embed good data protection working practices as part of day-to-day work.

4. CONCLUSION

- 4.1 To approve this policy ensuring the Council's data protection policies are compliant with new legislation.

5. IMPACT ON CORPORATE GOALS

- 5.1 Whilst this is an internal procedural policy, by having such arrangements in place, it helps support the aims to deliver good quality, cost effective and valued services.

6. IMPLICATIONS

- (i) **Impact on Customers** – This policy will ensure our customers data is well protected and managed.
- (ii) **Impact on Equalities** – This policy has no effect on equality issues.
- (iii) **Impact on Risk** – This policy should reduce and mitigate against risks associated with MDC's data handling processes.
- (iv) **Impact on Resources (financial)** – No direct impact on resources. By utilising the protocols within this policy, any potential sanctions for the Council by the Regulator would be minimised if there were to be a data or security breach.
- (v) **Impact on Resources (human)** – No negative impact on resources.
- (vi) **Impact on the Environment** – No negative impact on the environment.

Background Papers:

Appendix 1: Data Protection Policy

Enquiries to: Emma Foy, Director of Resources, (Tel: 01621 875762).

Document Control Sheet

Document title	Data Protection Policy
Summary of purpose	To review and update the Council's Data Protection procedures in line with the requirements of the General Data Protection Regulations which come into force on 25 th May 2018.
Prepared by	Ian Phillipson
Status	Draft
Version number	
Approved by	F&CS – 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	March 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.



MALDON DISTRICT
COUNCIL

MALDON DISTRICT COUNCIL

DATA PROTECTION POLICY

Maldon District Council ('the Council') aims to ensure that personal information/data is treated lawfully and correctly.

The lawful and correct treatment of personal information is extremely important in maintaining the confidence of those with whom the Council deals and in achieving its objectives.

This policy applies to all officers, Members and those engaged undertaking business with or on behalf of the Council.

The Council fully endorses and adheres to the Data Protection principles set out below:-

DATA PROTECTION PRINCIPLES

Personal Information shall be:

- Processed fairly, lawfully and in a transparent manner;
- Collected for specific, explicit and legitimate purposes;
- Adequate, relevant and limited to what is necessary to meet the purpose;
- Accurate and up to date;
- Kept for no longer than is necessary;
- Kept secure to maintain integrity and confidentiality;
- Processed in an accountable manner;

Policy Aim

To ensure the Council continuously complies with all relevant legislation and good practice in order to successfully protect the data it holds and processes.

Policy Objectives

To achieve the overall aim the Council will:

- Provide adequate resources to support an effective corporate approach to Data Protection;
- Ensure all staff are appropriately trained to perform their roles;
- Comply with all relevant statutory obligations;
- Respect the confidentiality of all personal data, irrespective of source;
- Publicise the Council's commitment to Data Protection;
- Compile and maintain appropriate policies, procedures and documentation;

- Promote general awareness and provide specific training, advice and guidance at all levels to ensure standards are met;
- Monitor and review compliance with legislation and introduce changes where necessary;
- Assist the Regulator and auditors as necessary

Processing of Information:

The Council, through appropriate management controls will, when processing personal information on any individual:

- Observe fully conditions regarding the collection and use of information meet the Council's legal obligations under Data Protection legislation;
- Collect, process and retain data only to the extent that it is needed to fulfil operational needs or to comply with any legal requirement;
- Ensure that the rights of people about whom information is held can be fully exercised including:-
 - The right to be informed that processing is being undertaken;
 - The right of access to personal information;
 - The right to withdraw or amend consent for processing*;
 - The right to correct, amend or erase information*;
 - The right to be forgotten*.
- Ensure staff are reminded that data covered by Data Protection legislation is exempt from disclosure under the Freedom of Information Act 2000.
- *Ensure where an individual exercises their right to be forgotten or withdraws permission for their data to be processed, the Council will inform the subject of the potential impact of this decision, as it may prevent the Council being able to provide a service which the subject has requested.
- **Note:** The right to be forgotten or withdraw permission for processing does not apply where there the Council has a statutory obligation or requirement to process that information.

Fair Obtaining/Processing

Individuals whose data is collected by the Council must be made aware at the time of collection of all the processes that data may be subject to. No manual or automatic processing of an individual's data can take place unless reasonable steps have been taken to make that individual aware of that processing.

Individuals must also be informed of likely recipients of their information, both internal and external, and also be given details of who to contact in order to query the use or content of their information (Data Protection Officer).

When consent is used as the lawful basis for processing data, it must be explicit and granular to allow the subject to 'opt-in' to any processing activity. The Privacy Notice where this data is collected should also explain how a subject's data will be used, how they can amend or withdraw their consent, and to whom they should contact to do so.

Data Uses and Purposes

- All processing performed must only be for the purpose that is necessary to enable the Council to perform its duties and services, and which has been notified by the Council to the Information Commissioner. Personal data can only be processed in line with notified purposes.
- No new processing may take place UNTIL the Information Commissioner has been notified of the relevant purpose AND the data subjects have been informed and, their consent obtained. All new occurrences of, or future developments for, processing of personal data must therefore be reported to the Data Protection Officer, who is responsible for maintaining Council's Data Protection registrations.
- All personal data should be regarded as confidential and only disclosed to persons (internal and external) who are listed for the purpose concerned in the Council's current notification AND whose authority to receive it has been explicitly established.
- Information owned by the Council must not be used for non-Council purposes. This applies when Council data is being processed at employees' homes. Employees may only remove personal data from a Council office with the authority of their Chief Officer or the Chief Executive and will be held responsible for any misuse or unauthorised disclosures while the data is in their control.

What counts as Personal Data?

The term 'personal data' applies to any information relating to an identifiable person who can be directly or indirectly identified in particular by reference to an identifier.

This definition provides for a wide range of personal identifiers to constitute personal data, including name, identification number, location data or online identifier, reflecting changes in technology and the way organisations collect information about people.

The regulations apply to both automated personal data and to manual filing systems where personal data are accessible according to specific criteria. This could include chronologically ordered sets of manual records containing personal data.

Personal data that has been pseudonymised – e.g. key-coded – can fall within the scope of the regulations depending on how difficult it is to attribute the pseudonym to a particular individual. Likewise, anonymised data that can be 'reverse engineered', or manipulated on its own or in conjunction with other data sources to identify an individual, will also be classified as personal data.

A name and address, or information attached to a reference number that we can use to look someone up, are both personal data. So is a company e-mail address if it includes a person's name.

Data Quality

Information processed shall not be excessive or irrelevant to the notified purposes.

Information will be held only for as long as is necessary for the notified purposes, after which it shall be deleted or destroyed in accordance with the Council's Document Retention Policy.

Whenever information is processed, reasonable measures shall be taken to ensure that it is up-to-date and accurate.

Organisational Responsibilities and Security

All personal data should be kept secure, in a manner appropriate to its sensitivity and the likely harm should a breach occur. Security shall be applied to all stages of processing to prevent unauthorised access or disclosure (internal or external), damage (accidental or deliberate) or loss.

Personal data must not be left on display or unsecured when unattended. Computer software shall be kept secure when not in use. System entry passwords should be known only to the holder and be changed regularly.

Everyone managing and handling personal information is appropriately trained to do so.

Everyone managing and handling personal information is appropriately supervised.

Anybody wanting to make enquiries about handling personal information knows what to do.

Queries about handling personal information are promptly and courteously dealt with.

Methods of handling personal information are clearly described.

A regular review and audit is made of the way personal information is managed.

Methods of handling personal information are regularly assessed and evaluated.

Performance with handling personal information is regularly assessed and evaluated.

All Council employees and Members will be provided with a copy of the Policy as adopted by the Council together with appropriate training. Employees and Managers have a duty to follow the Policy and procedures and to co-operate with the Council to ensure this Policy is effective.

Action may be taken against any employee/Member who fails to comply or commits breach of the Policy.

It is the duty of individual employees and Members to ensure that personal information held by them is dealt with in accordance with the Data Protection legislation.

Processing carried out by a third party on behalf of the Council shall be subject to a contract, which stipulates compliance with Data Protection regulations and this policy.

Similarly, when the Council is processing personal data on behalf of a third party it will need to demonstrate that the data is subject to the same standards of care.

Any breaches of security shall be reported to the Executive Director - Legal and Democratic Services for investigation and subsequent remedial action.

Complaints & Queries

Queries regarding this policy should be addressed to the Data Protection Officer:

dpo@maldon.gov.uk

If you are not happy with the Council's response to a Data Protection request you can complain using the Council's complaints system.

You can speak to your local Councillor(s) to see if they can resolve the issue for you.

If you are unclear who this is telephone the Council Officers 01621 875790 or visit our website www.maldon.gov.uk

You can complain to the Information Commissioner at:

Wycliffe House
Water Lane
Wilmslow
Cheshire
SK9 5AF

Tel: 01625 545 700

Web: www.ico.gov.uk

Large print and other versions of this guidance

If you require a large print or Braille version of this leaflet or need it translated into another language, please ask at our reception at the Council Offices or telephone 01621 875790.



REPORT of DIRECTOR OF RESOURCES

**to
FINANCE AND CORPORATE SERVICES COMMITTEE
6 MARCH 2018**

INFORMATION SECURITY INCIDENT REPORTING & DATA BREACH MANAGEMENT POLICY

1. PURPOSE OF THE REPORT

- 1.1 To consider the draft Information Security Incident Reporting & Data Breach Management Policy, attached as **APPENDIX 1** to this report, and recommend the adoption of this policy to the Council.

2. RECOMMENDATIONS

To the Council

That the Information Security Incident Reporting & Data Breach Management Policy, attached at **APPENDIX 1**, be approved.

3. SUMMARY OF KEY ISSUES

- 3.1 The Introduction of the General Data Protection Regulations (GDPR) bring with it requirements to ensure that all organisations have appropriate security procedures in place, along with policies and practices to deal with any data breaches.
- 3.2 This policy has been created as an integrated document that deals with both Information & Communications Technology (ICT) incidents and physical data breaches via a single methodology.
- 3.3 GDPR introduces new timeframes in which a security breach must be report to the Regulator – the Information Commissioner’s Office (ICO). Incidents must now be reported (where applicable) with 72 hours of becoming aware of such an incident.
- 3.4 The Policy seeks to ensure:
- A consistent approach to all security incidents and/or data breaches across the Council;
 - The ability to respond quickly and minimise the impact of any such events;
 - Compliance with our obligations to report incidents to the Regulator within 72 hours;
 - Create a documented record of such incidents for investigation of the circumstances and creating recommendations for future improvement activity;

4. CONCLUSION

- 4.1 To approve this policy which creates a single policy for dealing with all data security matters, by adopting it the Council will have a robust procedure for dealing with all such events.

5. IMPACT ON CORPORATE GOALS

- 5.1 Whilst this is an internal procedural policy, by having such arrangements in place it helps support the aims to deliver good quality, cost effective and valued services.

6. IMPLICATIONS

- (i) **Impact on Customers** – This policy has no effect on customers. It is an internal procedural policy only. By having good arrangements in place, our customers data should be well protected and managed.
- (ii) **Impact on Equalities** – This policy has no effect on equality issues.
- (iii) **Impact on Risk** – This policy should reduce and mitigate against risks associated with MDC's data handling processes, and minimise any potential impacts of any such security incidents or breaches.
- (iv) **Impact on Resources (financial)** – No direct impact on resources. By utilising the protocols within this policy, any potential sanctions for the Council by the Regulator would be minimised if there were to be a data or security breach.
- (v) **Impact on Resources (human)** – No negative impact on resources.
- (vi) **Impact on the Environment** – No negative impact on the environment.

Background Papers:

Appendix A: Information Security Incident reporting & Data Breach Management Policy

Enquiries to: Emma Foy, Director of Resources, (Tel: 01621 875762).

Information Security Incident Reporting & Data Breach Management Policy



**ESSEX
ONLINE
PARTNERSHIP**
DONE ONCE, SHARED BY MANY

CONTEXT

This policy defines the requirements for reporting and managing information security incidents and/or data breaches at Maldon District Council. It supports the Corporate Information Security Policy.

Definitions

- An Information Security Incident is any event which has resulted, or could result, in:
 - the disclosure of confidential information to any unauthorised individual
 - the integrity of any system or information being put at risk
 - the availability of any system or information being put at risk
 - an adverse impact, for example:
 - embarrassment to the organisation
 - threat to personal safety or privacy
 - legal obligation or penalty
 - financial loss
 - disruption of activities
- An Information Security Problem is a weakness or vulnerability which could be exploited to cause an incident.
- A Data Breach is any event which has resulted in, or could result in:
 - The disclosure of physical records or papers containing personal information
 - The unauthorised removal of data in a physical form (i.e. printouts, letters, etc.)
 - The sharing or distribution of personal data with unauthorised persons
 - Loss or theft of data

AUDIENCE

This guidance is relevant for everyone who uses any of the Maldon District Council ICT systems and/or networks, records, archives and other physical assets where personal data may be held, or acts as a representative of the organisation.

All those who access Maldon District Council ICT systems, networks and physical records may be held personally responsible for any abuse or inappropriate use.

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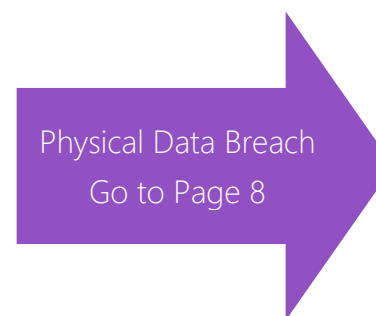
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Incident Response

- All users must report any actual or perceived Information Security Incidents or Data Breach Issues as well as those set out in the Acceptable Use Policy in accordance with the Incident Management Procedures.
- All reported incidents must be assessed and responded to in accordance with Council procedures as quickly as possible.
- Management responsibilities must be established to ensure a quick, effective and orderly response to Information Security incidents.
- A security incident response plan must be formally documented and disseminated to the appropriate responsible parties.
- In case of cardholder data compromise an incident response team must be ready to be deployed.
- Any external organisations or individuals must be notified where appropriate.
- The Council should have a risk recovery policy including a plan covering the Council's media and legal response to an information security incident.
- Significant actual or potential loss of personal information should be reported to the Information Commissioners Office.
- Where the Security Incident is deemed to have either originated from or had a significant impact on the PSN, the Incident Response Team shall report the incident to the relevant bodies as detailed within the PSN Technical Standard document titled "Common Standard for Protective Monitoring, Security Incident Management and Situational Awareness".

Are you responding to an ICT or Physical Data Breach Incident?



ICT Security Breach Protocol

Reporting and Management of ICT Security Incidents

The following procedure has been derived from best practice as defined in the BERR Incident Reporting and Management guidelines.

The Incident Response Team consists of the ICT Manager, Data Protection Officer (DPO) and Head of Resources (SIRO), plus additional organisational resources as required.

A Security Incident is a situation where the security of a device, a server, a system, an application or the network itself has or may have been compromised, and may be from either an internal or external source. It could also be the introduction of a virus to a device or server and/or the network, or access to the network by an unauthorised user.

Incident Reporting

Incidents should be reported by telephone to a member of the ICT Team as soon as they happen.

ICT will record the incident in the ICT Helpdesk to track and monitor the incident and kept a record of what happened, the steps taken and the resolution.

The DPO & SIRO will be notified of the incident and kept up to date.

If the impact and severity warrants it the ICO will be notified within 72 hours. This will be decided on by the incident management team including the SIRO who has ultimate responsibility to decide to report or not.

Informing data subjects

The ICO has produced guidance on when a data subject(s) should be informed of a data breach. The Security Incident Team will establish the likelihood and severity of the resulting risk to people's rights and freedoms.

The GDPR guidance states: "A personal data breach may, if not addressed in an appropriate and timely manner, result in physical, material or non-material damage to natural persons such as loss of control over their personal data or limitation of their rights, discrimination, identity theft or fraud, financial loss, unauthorised reversal of pseudonymisation, damage to reputation, loss of confidentiality of personal data protected by professional secrecy or any other significant economic or social disadvantage to the natural person concerned."

The individual(s) concerned only need to be informed if there is a 'high risk' that they may be adversely affected, therefore the threshold for informing individuals is higher than that for informing the ICO of a breach. However, the decision and reasons not to inform an individual should be documented.

Incident Management

Having received an Information Security Report, the Incident Response Team will initially qualify the incident – i.e.: determine whether the event is actually a Security Incident that needs to be managed. The key determinant will be whether there has been (or is now) a threat to the organisations business assets or a breach of regulatory requirements or organisational policy. If there has then the full incident response process will commence.

Virus and Malware incidents will be managed in accordance with the BERR five stage response process detailed below:

The BERR Five Stage Process

Containment

- Record the time, duration and location of the incident.
- Isolate systems and logons to the affected system. For example, introduce new passwords and review system access rights
- Determine whether the system should be isolated or access paths removed to prevent further damage
- Preserve the scene. For example, take photographs, save logs, record evidence, take notes of system connectivity, etc.
- Create a forensic backup of relevant data or systems. For example, imaging of computer systems
- Identify what records or logs exist for the incident
- Identify other evidence. For example, witnesses, CCTV, manual systems
- Determine who should be notified internally
- Determine who should be notified externally

Assessment

- Determine the extent of damage or penetration
- If an attempt was unsuccessful, establish why it failed
- Establish the value and relevance of evidence
- Interview witnesses or relevant parties
- Perform crime scene analysis
- Gather supporting evidence. For example, carry out penetration tests, network reviews, and risk assessments
- Gather staff evidence. For example, Human Resources records
- Perform a business impact assessment

Countermeasures

- Perform appropriate technical upgrades, patches and a configuration review
- Harden network protection
- Review intrusion detection devices and policy
- Adjust server loads and access
- Revise policy and review staff training
- Determine HR and contractual issues (to include external suppliers)
- Review outsourcing agreements (as appropriate) and revise or negotiate liability clauses and warranties
- Manage PR and publicity issues. For example, inform Members
- Involve appropriate external parties. For example, the local police force.
- Does the incident need to be reported to the police?

Appraisal

- Ask "should we disclose to statutory bodies?"
- Review assessment and countermeasures
- Determine whether we have had an internal or external attack
- Address disciplinary issues
- Consider legal proceedings
- Address contractual issues

Physical Data Breach Protocol

Reporting and Management of Physical Data Breach Incidents

Where physical records may have been breached, the DPO should be informed immediately in order for the matter to be investigated and the ICO to be informed if required.

An Incident Response Team will be convened if necessary consisting of the DPO, SIRO, Head of the Service for the incident, plus additional organisational resources as required.

Incident Reporting

Incidents should be reported by telephone to the DPO as soon as they happen.

The DPO will record the incident in the Data Breach Log to track and monitor the incident and kept a record of what happened, the steps taken and the resolution.

The SIRO will be notified of the incident and kept up to date.

If the impact and severity warrants it the ICO will be notified within 72 hours. This will be decided on by the Incident Response Team.

Incident Management

Having received an Information Breach Report, the Incident Response Team will initially qualify the incident – i.e.: determine whether the event is actually a Data Breach that needs to be managed. The key determinant will be whether there has been (or is now) a threat to the organisation's business assets, an individual's personal data, a breach of regulatory requirements or organisational policy.

Informing data subjects

The ICO has produced guidance on when a data subject(s) should be informed of a data breach. The Security Incident Team will establish the likelihood and severity of the resulting risk to people's rights and freedoms.

The GDPR guidance states: "A personal data breach may, if not addressed in an appropriate and timely manner, result in physical, material or non-material damage to natural persons such as loss of control over their personal data or limitation of their rights, discrimination, identity theft or fraud, financial loss, unauthorised reversal of pseudonymisation, damage to reputation, loss of confidentiality of personal data protected by professional secrecy or any other significant economic or social disadvantage to the natural person concerned."

The individual(s) concerned only need to be informed if there is a 'high risk' that they may be adversely affected, therefore the threshold for informing individuals is higher than that for informing the ICO of a breach. However, the decision and reasons not to inform an individual should be documented.

Further information

Also see [Information Security Policy](#), [Acceptable Use Policy](#)

Contact Chris Wall, ICT Manager

To report concerns, contact the ICT team on 875795 or 875770