

# Unrestricted Document Pack

APOLOGIES Committee Services  
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HEAD OF PAID SERVICE'S OFFICE  
HEAD OF PAID SERVICE  
Richard Holmes

21 January 2019

Dear Councillor

You are summoned to attend the meeting of the;

## **FINANCE AND CORPORATE SERVICES COMMITTEE**

on **TUESDAY 29 JANUARY 2019** at 7.30 pm.

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

A copy of the agenda is attached.

Yours faithfully



Head of Paid Service

### 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  
B E Harker  
M S Heard  
Rev. A E J Shrimpton

#### *Ex-officio non-voting Members:*

Councillors B S Beale MBE  
and Mrs M E Thompson

Please note: Limited hard copies of this agenda and its related papers will be available at the meeting.  
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**AGENDA**  
**FINANCE AND CORPORATE SERVICES COMMITTEE**  
**TUESDAY 29 JANUARY 2019**

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

2. **Apologies for Absence**

3. **Minutes of the last meeting** (Pages 5 - 34)

To confirm the Minutes of the meeting of the Finance and Corporate Services Committee held on 27 November 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. **Corporate Health and Safety** (Pages 35 - 40)

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

7. **Supplementary Estimates, Virements and Use of Reserves: 31 October - 31 December 2018** (Pages 41 - 44)

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

8. **Capital and Investment Strategies for 2019 / 20** (Pages 45 - 54)

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

9. **Members' Allowances - Independent Members Remuneration Panel Update**  
(Pages 55 - 62)

To consider the report of the Independent Members Remuneration Panel, (copy enclosed).

10. **2018 / 19 - 2021 / 22 Capital Programme** (Pages 63 - 68)

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

11. **Discretionary Fees and Charges 2019 / 20** (Pages 69 - 92)

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

12. **Revised 2018 / 19 Estimates, Original 2019 / 20 Budget Estimates and Council Tax 2019 / 20** (Pages 93 - 120)

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

13. **Regulation of investigatory Powers Act (RIPA) Policy and Guidance on the Use of Covert Surveillance** (Pages 121 - 140)

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  
27 NOVEMBER 2018**

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**PRESENT**

Chairman	Councillor D M Sismey
Vice-Chairman	Councillor I E Dobson
Councillors	Mrs B F Acevedo, J P F Archer, A S Fluker, B E Harker, M S Heard and Rev. A E J Shrimpton
Ex-Officio Non- Voting Member	Councillor B S Beale MBE

**648. CHAIRMAN'S NOTICES**

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

**649. APOLOGIES FOR ABSENCE**

An apology for absence was received from Councillor Mrs M E Thompson.

**650. MINUTES OF THE LAST MEETING**

**RESOLVED**

- (i) that the Minutes of the meeting of the Committee held on 25 September 2018 be received.

**Minute 458 – Superfast Broadband in Maldon District**

It was noted that the penultimate paragraph should read "...the proposal in the name of Councillor Fluker which highlighted...".

**RESOLVED**

- (ii) that subject to the above amendment, the Minutes of the meeting of the Committee held on 25 September 2018 be confirmed.

**651. DISCLOSURE OF INTEREST**

Councillor D M Sismey disclosed a pecuniary interest in relation to Agenda Item 11 – Half Yearly Treasury Management Update, as he is a Managing Director at Goldman Sachs.

## **652. PUBLIC PARTICIPATION**

No requests had been received.

## **653. CORPORATE HEALTH AND SAFETY**

The Committee received the report of the Director of Resources detailing Corporate Health and Safety activity for Quarter Two (1 July to 30 September 2018). A summary by Directorate and a description of the reported incidents and near misses were set out in the report.

Appendix 1 to the report provided details of progress with the Health and Safety Action Plan for 2018 / 19.

It was noted that there had been five accidents and one near miss during quarter two and any follow up action was detailed in the report. There had been 13 incidents of unacceptable behaviour reported during this quarter which was a significant increase in reported numbers.

In response to a question regarding the 13 incidents of unacceptable behaviour, the Director of Resources advised that she would speak to the Council's Health and Safety Advisor, review the details surrounding the incidents and if she had any concerns would report these back to the next meeting of the Committee.

### **RESOVLED**

- (i) that the accident and incident statistics for quarter two be noted;
- (ii) that progress with the Health and Safety Action Plan for 2018 / 19 be noted.

## **654. HUMAN RESOURCES STATISTICS - QUARTER TWO 2018 / 19**

The Committee received and noted the report of the Director of Resources presenting Human Resources statistics for the period 1 July to 30 September 2018.

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

- Labour Turnover;
- Recruitment;
- Job Vacancies;
- Staff Sickness Levels;
- Attendance Management Compliance;
- Workforce Statistics – attached as Appendix 1 to the report.
- Exit Questionnaire Analysis.
- Future Model.

It was noted that as a consequence of the implementation of the Future Model, a hold had been placed on all non-essential recruitment and therefore there had been a low level of recruitment during Quarter Two. Human Resources (HR) continued to work with the Corporate Leadership Team and Ignite regarding implementation of the people, culture and change work streams under the Future Model.

Members noted that the overall staff sickness levels were 2.13 days per Full Time Equivalent and this was the lowest they had been since Quarter One 2014 / 15.

In response to a question regarding the Future Model and the levels of staff within this, the Director of Resources advised that this had been reported to Members at the last Council meeting. The key was to make sure that the Council had the right people in the right place with the right skills. It was noted that the Council's Programme Manager would be meeting with Members to discuss transformation. Members were advised that the Corporate Leadership Team regularly met with the Leader of the Council and other Members to discuss the Council's resilience to ensure that its performance indicators were met.

**RESOLVED** that the contents of the report be noted.

#### **655. HALF YEARLY REVIEW OF PERFORMANCE**

The Committee received the report of the Director of Resources supplying Members with details of performance against targets set for 2017 / 18. The report also outlined progress being achieved towards the corporate goals and the outcomes detailed in the Corporate Plan 2015 – 19 adopted by the Council in February 2015.

It was noted that the Corporate Leadership Team had held a quarterly performance and risk clinics to review and challenge performance, financial and risk information, where necessary. This report had also been considered by the Overview and Scrutiny Committee.

The position for each corporate goal was set out in Appendix 1 to the report and detailed key corporate activities and service priorities assessed as being "behind schedule" or "at risk of not being achieved". The appendix also showed those indicators which were at risk of not achieving the end of year target.

It was noted that good progress had been made on a number of activities which would contribute to the Council's corporate goals and objectives. There were some activities considered at risk / behind schedule and performance indicators which may not be achieved within the timescales set.

**RESOLVED** that Members comments and the contents of the report be noted.

#### **656. RURAL SETTLEMENT LIST**

The Committee considered the report of the Director of Resources presenting for approval the Rural Settlement List for 2019 / 20 (attached as Appendix A to the report) and consider Rural Rate Relief for eligible businesses.

It was noted that there had been no significant developments in the District and therefore no changes were proposed to the previously published Rural Settlement List.

**RESOLVED** that the Rural Settlement List for 2019 / 20 be approved.

**657. SUPPLEMENTARY ESTIMATES, VIREMENTS AND USE OF RESERVES: 1 SEPTEMBER - 30 OCTOBER 2018**

The Committee considered the report of the Director of Resources, reporting to the Committee virements and supplementary estimates agreed under delegated powers. The report also reported on procurement exemptions granted during the period.

Members were advised that as the Future Model progressed realised underspends needed to be removed from budgets to ensure projected savings targets were being met. It was noted that any savings would provide a fund for associated costs and support reserves in the funding of the overall transformation project. Members were requested to consider advanced approval for all underspends, including salary underspends, be vired to a central code. This code would be within the budget responsibility of the Director of Resources and any subsequent virements from this fund by services would be outside of this approval and actioned and reported to Members as appropriate.

Members noted that there had been two procurement exemptions for the upgrade of the Council's intranet network and procurement of Emergency Planning and Business Continuity Support. The report provided further detail in respect of these exemptions.

**RESOLVED**

- (i) that all underspends, including salary underspends, be vired to a central code under the budget responsibility of the Director of Resources;
- (ii) that the procurement exemptions granted during the period and detailed in the report be noted.

Following his earlier declaration Councillor D M Sismey left the meeting at this point.

IN THE CHAIR : COUNCILLOR I E DOBSON

**658. HALF YEARLY TREASURY MANAGEMENT UPDATE**

The Committee received the report of the Director of Resources reporting on the Council's investment activity for the first half of 2018 / 19 in accordance with the Chartered Institute of Public Finance and Accountancy (CIPFA) and Accountancy Treasury Management code and the Council's Treasury Management Policies and Practices (TMPs).

The report detailed the Council's investment activity for both investments and instant access reserve accounts. Security of capital had remained the Council's main investment objective, which had been maintained by following the Council's counterparty policy.



Appendix 1 to the report had been prepared by Arlingclose (who provide treasury management consultancy and advice to the Council) and provided an overview of the external economic environment. The report outlined investment activity for April – September 2018.

It was reported that the Prudential Indicators for 2018 / 19 which had been set on 30 January 2018 as part of the Treasury Management Strategy Statement had been complied with to date and shown in Appendix 2 to the report.

**RESOLVED** that the Treasury Management report be noted for compliance purposes.

Councillor Sismey returned to the chamber at this point.

IN THE CHAIR : COUNCILLOR D M SISMEY

#### **659. BUDGETARY CONTROL APRIL - SEPTEMBER 2018**

The Committee received the report of the Director of Resources providing Members with key financial information on the progress to date against the agreed budget. The report provided an update on the following areas and further details were set out in the related Appendices:

- Revenue budgets (Appendices 1 and 1A);
- Vacancy savings (Appendix 2);
- Agency expenditure;
- Major sources of income;
- Capital projects (Appendix 3)

It was noted that there were no concerns over current financial performance to budget. Income was performing as expected and expenditure vacancies were related to the timing of transactions and works. Members were advised that capital projects were progressing and the programme was expected to be completed within the financial year.

**RESOLVED** that the contents of the report be noted.

#### **660. CORPORATE DEBT RECOVERY STRATEGY**

The Committee considered the report of the Director of Resources seeking Members' approval of a Corporate Debt Recovery Strategy (attached at Appendix 1 to the report) to ensure efficiency, effectiveness, consistency, fairness and transparency in recovering debts owed to the Council.

It was noted that the aim of this Strategy was to ensure that all monies owed to the Council, including Council Tax, Non Domestic Rates, Sundry Debts, Penalty Charge Notices and fixed Penalty Notices were collected efficiently and effectively. This was to ensure that the Council was transparent, fair and consistent in its approach.

In response to a number of questions, Members were provided with the following information:

- External Collection Agencies were used by the Council for Council Tax and Domestic Rate non-payers along with some sundry debtors. Members were advised that in 2010 there had been a major change to fees by the Ministry of Justice meaning that they were now standard across all Councils.
- The Council went through stringent strategies along with working across other Local Authorities when appointing collection agencies. Within these agencies there were welfare teams who would investigate any issues regarding vulnerability. In addition, the Council held quarterly meetings with the agency when such cases were discussed.
- It was explained that there were a number of legislative requirements as well as internal case discussions that the Council had to go through before embarking on enforcement action. Stringent checks were also carried out and Members were advised of the other remedies which were available to the Council.

It was questioned whether the write-off procedure detailed in section 2.14 of the Strategy had been agreed by Committee and was contained within the Council's Constitution. The Director of Resources advised that she would clarify this and report back to the next meeting of the Committee.

#### **RESOLVED**

- (i) that the Corporate Debt Recovery Strategy be approved;
- (ii) that a report on debt write-off be brought to the next meeting of this Committee.

### **661. LOCAL COUNCIL TAX SUPPORT SCHEME 2019 / 20**

The Committee considered the report of the Director of Service Delivery seeking Members' approval for a substantially unchanged cost neutral scheme for 2019 / 20.

It was noted that in order to continue to deliver a cost neutral LCTS scheme within the budget proposed for 2019 / 20 the only changes recommended were for a cost of living increase in line with the rates proposed by the Department for Work and Pensions for pensioners and minor changes to mirror the national Housing Benefit scheme as in previous years.

#### **RECOMMENDED**

- (i) that a cost of living increase in line with the Department for Work and Pensions schemes be included in the Local Council Tax Support Scheme (LCTS) for 2019 / 20 for Pensioners only;
- (ii) that any legislative changes being introduced to the Housing Benefit Scheme for 2019 / 20 are mirrored in the Councils LCTS scheme to ensure consistency;
- (iii) that in all other respects the Local Council Tax Support Scheme and Hardship Scheme remain unchanged, and that this decision has been made following

Members' careful reading of, and regard to the Equality Impact Assessment at **APPENDIX 1** to these Minutes.

## **662. 2019 / 20 BUDGETARY PROPOSALS**

The Committee considered the report of the Director of Resources setting out the proposals put forward by Officers for revenue growth, fees and charges policy, capital projects and the use of the repairs and renewals reserve prior to approval of the 2019 / 20 budget. It was noted that for all service areas the relevant programme Committee had considered the report prior to being reported to this Committee.

The report provided detailed information in respect of the following areas:

- Medium Term Financial Strategy (MTFS):
  - Collection Fund;
  - investment income;
  - income;
  - pension
- Revenue budget growth – Appendix A to the report detailed budget growth proposals for consideration and agreement on which items would move forward and included in the budget process
- Fees and Charges – Appendix B showed the fees and charges policy for adoption and detailed any proposed amendments. It was noted that this appendix had been updated following consideration by the Community Services and Planning & Licensing Committees and the Finance Manager outlined the queries raised, which included:
  - proposed wharfage and mooring policies;
  - collection of mooring fees – it was clarified that the Council was not requesting any changes to collection arrangements only that the fee charged would no longer be set depending on the fees of local clubs.
  - inserting a clause into leases prohibiting sub-leasing – Members noted that existing leases could not be adjusted but Officers would discuss with legal if this was possible for future leases.
  - impact following removal of a 50% wharfage fees discount especially on Thames barges – the policy was to be retained with Officers carrying out further work as part of service reviews, during which options would be discussed with barge owners to consider removal of this discount over a phased period.
- Capital – Appendix C contained details of all 2019 / 20 project bids which had been categorised by Officers into three main groups.
- Repairs and Renewals – These were set out in Appendix D to the report.

It was noted that the Community Services Committee had considered this report at its recent meeting and made a number of recommendations to this Committee which were set out in the report.

A lengthy debate ensued and in particular the following items were discussed and further information provided by Officers:

- Budget Growth (Appendix A)
  - **Extension of additional 7.5 hours** – Members were advised the Waste Education Officer role involved ensuring that residents etc. understood what items were recyclable which assisted with the avoidance of waste being rejected at the kerb side. The Director of Service Delivery advised that this work would be carried out by caseworkers as part of Phase 2 of the Future Model and therefore this request for additional monies was only until October 2019. A variety of media was used to educate including the website, meeting with individual clients and working with contractors.
- Fees and Charges (Appendix B)
  - **Car Parking / Events** – The Director of Service Delivery reported that the Council was looking at Promenade Park to ensure it was run as efficiently as possible. This charge would be used at large events and the proposed single fee would simplify payment for customers along with cash collection. Other car parks available within the Maldon Town would be publicised as alternatives on such occasions.
- Capital Bids (Appendix C)
  - **Disposal of Council equipment** – It was requested that when the Council was looking to dispose of old IT equipment that all Parish / Town Councils be invited to tender for the equipment.
- Repairs and Renewals Projects (Appendix D)
  - **Splash Park Resurfacing** – The Director of Service Delivery provide detail on this project including the current life of the surface. He reported on the work being done to increase revenue which included longer opening hours in the summer evenings and hiring the splash park out.
  - **Prom Park entrance road repairs** – It was clarified that this project related to the main entrance to the Promenade Park, off Park Drive.

## RESOLVED

- (i) that the revenue growth items (Appendix A to the report) be included for consideration in the 2019 / 20 budget;
- (ii) that the updated fees and charges policy areas for 2019 / 20 as outlined in Appendix B to the report be adopted.
- (iii) that the Repairs and renewals projects set out in Appendix D to the report be funded from the Repairs and Renewals reserve.

## RECOMMENDED

- (iv) that the Capital project bids set out in **APPENDIX 2** to these Minutes, be considered and the items for inclusion in the 2019 / 20 Capital Programme be identified.

#### **663. COUNCIL TAX - PROPOSALS TO INCREASE EMPTY HOMES PREMIUM**

The Committee considered the report of the Director of Service Delivery seeking Members' consideration of an increase to the Council Tax Empty Homes Premium to the maximum permitted in accordance with Legislation.

The report provided background information regarding the Empty Homes Premium and Members were advised that on 1 November 2018 new legislation was approved enabling the council tax premium to gradually increase to a maximum of 300% by 2021 to act as a further disincentive for properties to be left empty. The report set out the maximum premiums to be charged. It was recommended that the Council adopt the maximum level of charge to minimise the numbers of long term empty homes in the District.

**RESOLVED** that the imposition of the maximum Empty Homes Premium permitted by Legislation, be approved.

#### **664. INTRODUCTION OF A CHARGE FOR A SECTION OF THE MALDON DISTRICT COUNCIL OFFICE CAR PARK**

The Committee considered the report of the Director of Service Delivery, seeking Members' consideration of a request to commence formal consultation on the introduction of a charge for a section of the Council's car park.

Appendix 1 to the report highlighted an area of 20 spaces within the Council's car park which was reserved for visitors to the Council. Members were requested to consider whether the Council should be charging for these spaces and enforcing any charge as in other public car parks within Maldon Town Centre. The introduction of any new charges would require an amendment to the Council's existing Traffic Regulation Order as set out in Appendix 2 to the report. Appendix 3 set out several implications arising from the proposed change.

In response to a number of questions, the Director of Service Delivery provided the Committee with the following information:

- Pay and display equipment would be introduced along with appropriate signage to accord with the proper order.
- The current location of the electric charging point and its inclusion in the proposed changes would be considered.
- Officers would be writing to both Doctors surgeries to advise them of the proposed change and consultation process.

At this point, Councillor M S Heard declared a non-pecuniary interest in this item of business.

- The Police as part of its lease had five marked spaces within the old St. Cedds car park and any spaces used in addition to these would require further permits for which a charge would be payable.

**RESOLVED**

- (i) that the principle to introduce car parking charges in the current visitor car park at Maldon District Council offices be agreed;
- (ii) that Officers undertake a formal consultation on the proposed amendment to the Traffic Regulation Orders for vehicles parking in the 20 visitor spaces at Maldon District Council offices and report back to a future meeting of this Committee.

There being no further items of business the Chairman closed the meeting at 8.20 pm.

D M SISMEY  
CHAIRMAN

# Maldon District Council Equality Analysis

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

<b>Title</b> Council Tax Support scheme for 2018 / 19	<b>Date</b> November 2018	<b>Officer Preparing</b> Sue Green
<b>1. Background</b>		
<p><b>1.1 Description of proposal / policy / service</b> (Including aims, outcomes and in the case of an existing service how long it has been delivered in its current format)</p> <p>Council Tax Support aims to help people with low incomes to meet their Council Tax obligations, covering payment of Council Tax and Discounting of Council Tax</p> <p>The aim of Council Tax Support is</p> <ul style="list-style-type: none"> <li>• To have a fair and equitable scheme</li> <li>• To maintain support for particularly vulnerable people within the constraints imposed by Government policy</li> </ul> <p>The service areas or partner agencies involved are</p> <ul style="list-style-type: none"> <li>• Maldon District Council</li> <li>• Any authority that can levy a charge to contribute to Council tax</li> <li>• Essex authorities who are sharing the scheme</li> <li>• All Essex precepting authorities</li> <li>• Department for Work and Pensions</li> <li>• Department for Communities and Local Government</li> </ul> <p><b><i>There are no proposals to change the current scheme, other than to mirror national scheme changes.</i></b></p>		
<p><b>1.2 Who are the users of the proposal / policy / service</b> (Refer to data held about the users of the service i.e. numbers of users, demographic breakdown. Having this information is important to understand which sectors of the community might be affected. If that is not available refer to the demographic data held on the intranet.)</p> <p>Broadly, this affects those liable for Council Tax within the District and adults on a low income with low savings</p> <p>There are 3292 Council Tax Support Claimants* of which 1507 are working age.</p>		

## Maldon District Council Equality Analysis

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

**1.3 Have users been consulted with?** (Have you carried out consultation with users or stakeholders while drawing up the proposal / policy / service? For example, have you carried out a formal consultation, discussed the issue with a Friends/User Group or consulted with stakeholders? If so, outline the results and how it has informed your plans. It's also important to show whether the target audience was reached during the consultation.)

There are no changes proposed to existing policy, which was consulted upon in 2017.

**1.4 If the analysis is regarding an existing Service, what are users' views of that Service?** (Base your view on evidence such as satisfaction surveys, levels of compliments and levels of complaints).

The Revenues and Benefits team is a high performing team that historically has met locally set performance targets. For the current financial year (2018-19) the team is striving to meet those targets, but as a result of high demands on the service, coupled with the impact of organisational change and resource challenges those targets are likely to remain a challenge,

The service is making good progress, and ensures that claims are prioritised to reduce impact on our most vulnerable customers.

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**Maldon District Council Equality Analysis**

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

<b>2. Equality Aims – consider how the proposal / policy / service meets the three Equality Aims listed in the Equality Act.</b>		
<b>Aim</b>	<b>How does the proposal / policy / service meet the equality aim?</b>	<b>Action or addition needed in order that the proposal / policy / service meets the aim?</b>
<b>2.1 To eliminate unlawful discrimination, harassment and victimisation</b>	<ul style="list-style-type: none"> <li>Higher Rate Disability benefits will continue to be disregarded thereby protecting those with specific long term conditions who fall within this group. Without such action to protect this group the policy could potentially be discriminatory. There is also an Exceptional Hardship Scheme which can assist customers with specific circumstances.</li> </ul>	<b>None required</b>
<b>2.2 To advance equality of opportunity between people who share a protected characteristic and those who do not</b>	<ul style="list-style-type: none"> <li>Older people are protected in the policy, which follows specific Government Regulations.</li> <li>Parents who receive a child benefit will continue to have this disregarded as part of the CTS calculation, which is consistent with the Council's duty to safeguard and promote the welfare of children.</li> <li>Higher rate Disability Benefits will continue to be disregarded thereby protecting those with specific long term conditions who fall within this group.</li> <li>In 2014 it was also agreed that Lone Parents receive a disregard of £15 per week from Child Maintenance payments</li> <li>A hardship fund exists to ensure provision for those residents who have exceptional circumstances.</li> </ul>	

## Maldon District Council Equality Analysis

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

2.3 To foster good relations between those who share a protected characteristic and those who do not	<ul style="list-style-type: none"> <li>The scheme remains means tested so the scope for discrimination is limited. All working age customers</li> </ul>	
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### 3. Equality Impacts – examine how the proposal / policy / service impacts on the community. Base the analysis on evidence. Attach additional documents if necessary.

Impacts	Positive impact (X)	Could adversely impact (X)	No impact (X)	How different groups could be affected: Summary of impacts	Actions to reduce negative or increase positive impact
3.1 Age (What will the impact be on different age groups such as younger or older people?)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Older People (60+) are specifically protected under Government Regulations	
3.1 Age (What will the impact be on different age groups such as younger or older people?)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Due to the protection afforded to those of pensionable age, customers of working age are impacted directly by any changes to the scheme.</p> <p>People over 18 of working age will potentially be required to pay more.</p>	<p>Parents will continue to have Child Benefit disregarded in the CTS calculation which is consistent with the Council's duty to safeguard and promote the welfare of children.</p> <p>The Council will continue to provide information and advice on income maximisation.</p>
3.2 Disability (Consider all disabilities such as hearing loss, dyslexia etc as well as access issues for wheelchair users where appropriate)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	People with disabilities who are below pensionable age may need to pay more.	<p>Higher Rate Disability Benefits continue to be disregarded (i.e. Disability Living Allowance) thereby protecting those with specific long term conditions.</p> <p>A hardship fund exists to ensure provision for those residents who have exceptional circumstances.</p>

### Maldon District Council Equality Analysis

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

Impacts	Positive impact (X)	Could adversely impact (X)	No impact (X)	How different groups could be affected: Summary of impacts	Actions to reduce negative or increase positive impact
<b>3.3 Pregnancy and Maternity</b> (Think about pregnancy, new and breastfeeding Mums)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<p>Removal of the family premium (currently an allowance of £17.45 per week) in line with the Government's changes for Housing Benefit will only affect those families who are working age and not claiming "passported" benefits such as Universal Credit and Income Support.</p> <p>New working age residents may see a reduction in support and some households with children will pay more.</p> <p>With regard to limiting the number of dependent children in the CTS calculation, households who have a third or subsequent child after 1 April 2017 may receive less support than claimants who have more children born before that date. This amounts to an additional premium of £66.90 per week (for a child of any age).</p> <p>This would bring the scheme in line with the Government's changes for Housing Benefit.</p>	
<b>3.4 Sex</b> (is the service used more by one gender and are the sexes given equal opportunity?)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<p>CTS is means tested and therefore gender is not a factor in the calculation of support.</p>	

### Maldon District Council Equality Analysis

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

Impacts	Positive impact (X)	Could adversely impact (X)	No impact (X)	How different groups could be affected: Summary of impacts	Actions to reduce negative or increase positive impact
3.5 Gender Reassignment (Is there an impact on people who are going through or who have completed Gender Reassignment?)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CTS is means tested and therefore gender is not a factor in the calculation of support	
3.6 Religion or belief (Includes not having a religion or belief)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CTS is means tested and therefore religion is not a factor in the calculation of support	
3.7 Sexual Orientation (What is the impact on heterosexual, lesbian, gay or bisexual people?)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CTS is means tested and therefore this characteristic is not a factor in the calculation of support	
3.8 Race (Includes ethnic or national origins including Gypsies and Travellers)	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	CTS is means tested and therefore this characteristic is not a factor in the calculation of support.	
3.9 Socio-Economic Group (Will people of any particular socio-economic group be particularly affected?)	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Council Tax Support is designed to help people who have restricted incomes. Any additional changes to the proposed scheme will therefore have an impact on those who claim support – particularly those of working age.	

## Maldon District Council Equality Analysis

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

**4. Is there a Cumulative Impact?** (If the same group is the subject of many changes or reductions the overall impact is much greater. Consider what else is happening within Maldon District Council that may have an impact and also what we know is happening elsewhere (such as Essex County Council). See Guidance for further advice.)

The requirement to introduce a local Council Tax scheme and to make savings has been introduced via Government policy so each year our scheme must be reviewed and a proposal must be pursued following a public consultation.

Whilst the authority may choose to allocate funding to ensure full protection for all customers, to date this has not been considered to be financially sustainable. Furthermore, the results from public consultations would appear to agree that customers claiming support should pay towards their Council Tax.

### 5. Outcome

#### 5.1 Consider all the analysis and evidence above and indicate

(1) No change needed ☐ (2) Adjust ☐ (3) Adverse impact but continue ☒ (4) Stop, remove the proposal / policy / service ☐

#### 5.2 Adjustments

If option (2) above is selected please detail what adjustments are needed, who is responsible and how that will be reviewed. Also outline how that will be agreed (i.e. Committee, CMT).

**5.3 Decision Making** (How will this equality analysis be taken into account during the decision making process? For example will it be included with a report to Committee/CMT? Will it be considered at department level or by a Head of Service? How will community/stakeholders views be taken into account?)

The Equality analysis will be included within the decision making process which includes consideration at

- Finance and Corporate Services Committee on 27 November 2018
- Full Council on 20 December 2018

**Maldon District Council Equality Analysis**

Please complete the questions below as fully as possible - the boxes will expand to accommodate your text. Please include the document version in the footer below.

<b>6.0 Next Steps</b>
<b>6.1 If there was a lack of evidence or data held on which to base this assessment, how will that gap be addressed for the future?</b>  Not applicable
<b>6.2 Summary of actions highlighted within this analysis</b> (Include how this will be picked up within service/work plans)  None
<b>6.3 Arrangements for future monitoring of equality impact of this proposal / policy / service</b>  To be reviewed at least annually, or where relevant changes occur which may have an impact.
<b>6.4 Approved by (Manager or Head of Service signature and date)</b>  Sue Green (Group Manager: Customers)



Capital Bids for 2019/20

Ref	Project Category	Project Title & Description	Original	Original	Original	Basis of bid
			2019 / 20	2020 / 21	2021 / 21	
			£	£	£	
<a href="#">286</a>	Essential	Replace 3 mowers - two ride on and one tractor mounted - to continue grounds maintenance functions within Parks & Open Spaces. 1x Hustler Fastrak SDX Super duty 48" 1 x Hustler Super Z Diesel 60" 1 x Trimax Pegasus	41,500			Market value
<a href="#">287</a>	Essential	Replacement parks team vehicle- 2 x 2004 Transit Vans	56,000			Market value
<a href="#">288</a>	Commercial	Additional Tractor Mounted side arm flail	20,700			Market value
<a href="#">290</a>	Essential	Maldon Cemetery Chapel foundation work - Provisional figure, survey currently being undertaken	25,000			Estimate. The more detailed estimate will not be available until January, (this is when the movement monitoring has been completed and be will better position to estimate the costs).
		Total	143,200	-	-	

Essential E  
 Service Failure SF  
 Service Improvement SI  
 Commercial C

## 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.**

<b>Project Name &amp; Location</b> <i>(Enter a meaningful title for the project and provide details of)</i>	Renewal of Parks & Countryside Mower fleet
<b>Project Category</b>	Essential
<b>Project Lead Officer</b>	Matt Wilson
<b>Project Description</b> <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	Replace 3 mowers - two ride on and one tractor mounted - to continue grounds maintenance functions within Parks & Open Spaces. 1x Hustler Fastrak SDX Super duty 48" 1 x Hustler Super Z Diesel 60" 1 x Trimax Pegasus
<b>Project Start Date</b> <i>(Month and year)</i>	Apr-19
<b>Project Completion Date</b> <i>(Month)</i>	Aug-19
<b>Resource Implications</b> <i>(Identify what)</i>	
<b>Picture</b> <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
	£	£	£	£	
2019/20	41,500				
2020/21					
2021/22					
2022/23					
<b>TOTAL</b>	41,500	0	0	0	0


## CAPITAL PROJECT SHEET



<p><b>Describe links to Corporate Goals</b></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><b>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</b></p>	<p>potential to purchase refurbished Trimax Pegasus at £13,950, providing a saving of £7680</p>
<p><b>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc)</b></p>	
<p><b>Are there Health &amp; Safety implications? If so, please state</b></p>	<p>Current mower fleet is ageing and reaching end of useful life. Current Pegasus mower deck has been nursed through the last summer season. All are going to become an increasing burden on revenue budgets for ongoing maintenance and repair</p>
<p><b>Is this part of a statutory obligation? If so, state how</b></p>	
<p><b>Is the project contractually committed to in any way? If so, please describe</b></p>	
<p><b>Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details</b></p>	<p>updating of mower fleet will increase productivity and efficiency, reduce downtime. Will allow increased capability for commercial contracts and income generation</p>

## 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.**

<b>Project Name &amp; Location</b> <small>(Enter a meaningful title for the project and provide details of)</small>	Replacement Parks team vehicle
<b>Project Category</b>	Essential
<b>Project Lead Officer</b>	Matt Wilson
<b>Project Description</b> <small>(Clearly set out what the overall purpose and main aims of the project are)</small>	Replace ageing fleet vehicles. Vehicles most in need/identified are 2 x 2004 Transit van. Costs for the old vehicles in 2018/19 to date is £700.
<b>Project Start Date</b> <small>(Month and year)</small>	Apr-19
<b>Project Completion Date</b> <small>(Month)</small>	Mar-20
<b>Resource Implications</b> <small>(Identify what)</small>	Procurement Framework & tender
<p><b>Picture</b> <small>(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))</small></p> 	


	Capital Expense	Revenue Implications		External Funding	
	£	One-off £	On-going £	Amount £	Source of costs
2019/20	56,000				
2020/21					
2021/22					
2022/23					
<b>TOTAL</b>	56,000	0	0	0	0

## CAPITAL PROJECT SHEET

<p><b>Describe links to Corporate Goals</b></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>Protecting &amp; shaping the district and Delivering good quality, cost effective, and valued services</p>
<p><b>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</b></p>	<p>each vehicle approximately £28,00 to purchase as new. Parks &amp; Countryside Supervisor has identified options to purchase suitable second-hand vehicles at 50% of this cost.</p>
<p><b>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc)</b></p>	
<p><b>Are there Health &amp; Safety implications? If so, please state</b></p>	<p>Ageing fleet vehicles, likelihood of further mechanical breakdown.</p>
<p><b>Is this part of a statutory obligation? If so, state how</b></p>	
<p><b>Is the project contractually committed to in any way? If so, please describe</b></p>	
<p><b>Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details</b></p>	<p>L.C,T and Countryside &amp; Coast Business Plans. Future development of Commercial activity through Parks/Grounds Maintenance services.</p>

## 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.**

<b>Project Name &amp; Location</b> <i>(Enter a meaningful title for the project and provide details of)</i>	Additional Tractor mounted Side Arm flail
<b>Project Category</b>	Commercial
<b>Project Lead Officer</b>	Matt Wilson
<b>Project Description</b> <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	Additional flail arm so that 2x tractor & operators can carry out works at same time across the district. Greatly increase capacity for works and opportunities for commercial contracts & internal economies of scale
<b>Project Start Date</b> <i>(Month and year)</i>	Apr-19
<b>Project Completion Date</b> <i>(Month)</i>	Mar-20
<b>Resource Implications</b> <i>(Identify what)</i>	Tendering process for supply
<b>Picture</b> <i>(Insert a picture in relation to the project (i.e. the defective site, the area for improvement, the asset due for replacement))</i>	

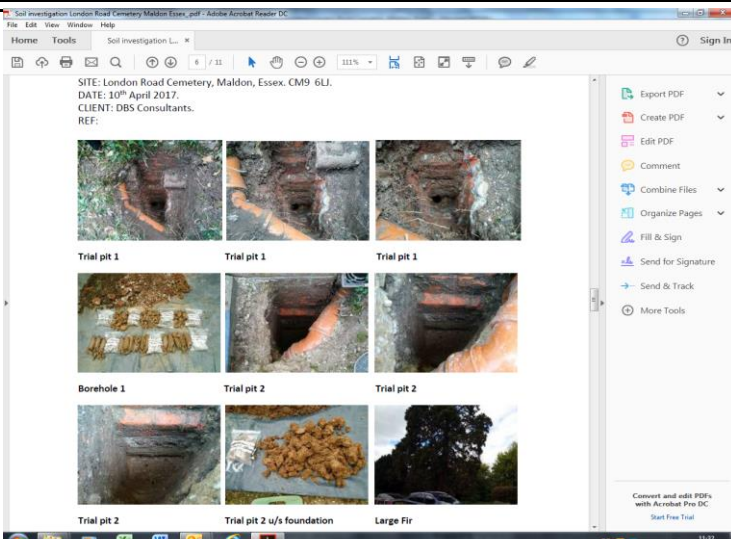
	Capital Expense	Revenue Implications		External Funding	
		One-off	On-going	Amount	Source of costs
	£	£	£	£	
2019/20	20,700				
2020/21					
2021/22					
2022/23					
<b>TOTAL</b>	20,700		0	0	0

## CAPITAL PROJECT SHEET

<p><b>Describe links to Corporate Goals</b></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>Protecting &amp; shaping the district and Delivering good quality, cost effective, and valued services</p>
<p><b>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</b></p>	<p>no risks, version pictured is Wessex T500-G, potential delay in supply &amp; delivery but very minor risk. Additional side arm present income &amp; economy opportunities for Parks team &amp; opportunity for growth at no extra cost to MDC. AS an example, current Verge mowing contract value is £26,500 which is currently outsourced. A second Flail would enable this to be brought in-house.</p>
<p><b>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc)</b></p>	
<p><b>Are there Health &amp; Safety implications? If so, please state</b></p>	
<p><b>Is this part of a statutory obligation? If so, state how</b></p>	
<p><b>Is the project contractually committed to in any way? If so, please describe</b></p>	
<p><b>Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details</b></p>	<p>L.C,T and Countryside &amp; Coast Business Plans. Future development of Commercial activity through Parks/Grounds Maintenance services.</p>

## 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.**

<b>Project Name &amp; Location</b> <i>(Enter a meaningful title for the project and provide details of)</i>	Maldon Cemetery Chapel Foundations Works
<b>Project Category</b>	Essential
<b>Project Lead Officer</b>	Richard Heard & Esme McCambridge
<b>Project Description</b> <i>(Clearly set out what the overall purpose and main aims of the project are)</i>	A report has identified that the foundations of the chapel need works to prevent movement of the building. This project is for the necessary foundations works. A full report with estimates costings is prepared for the Council. The figure is a provisional one due to survey works on-going until January 2019
<b>Project Start Date</b> <i>(Month and year)</i>	Apr-19
<b>Project Completion Date</b> <i>(Month)</i>	Mar-20
<b>Resource Implications</b> <i>(Identify what)</i>	Maintenance Officer & Leisure Manager Time.
<b>Picture</b> <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
	£	£	£	£	
2019/20	25,000	0	0	0	0
2020/21					
2021/22					
2022/23					
<b>TOTAL</b>	25,000	0	0	0	0

## CAPITAL PROJECT SHEET

<p><b>Describe links to Corporate Goals</b></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>Delivering good quality, cost effective and valued services</p>
<p><b>Are there any risks to the delivery of this project in the timeframe and/or costs detailed above. (Please provide details).</b></p>	<p>No</p>
<p><b>Are any statutory consents required as part of this project? If so, please state (i.e. planning consent, MMO licence etc)</b></p>	<p>No</p>
<p><b>Are there Health &amp; Safety implications? If so, please state</b></p>	<p>If the works are required to support the chapel's foundations.</p>
<p><b>Is this part of a statutory obligation? If so, state how</b></p>	<p>No.</p>
<p><b>Is the project contractually committed to in any way? If so, please describe</b></p>	<p>No</p>
<p><b>Is there any linkage to other plans (i.e. business plan objectives)? If so, please provide details</b></p>	<p>No</p>

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**POST MEETING UPDATE:**

Please note Officer response to the Committee's request at its last meeting (see Minute extract below):

**Minute 660 – Corporate Debt Recovery Strategy**

“It was questioned whether the write-off procedure detailed in section 2.14 of the Strategy had been agreed by Committee and was contained within the Council's Constitution. The Director of Resources advised that she would clarify this and report back to the next meeting of the Committee. “

**Officer response:**

The Finance and Corporate Services Committee Terms of Reference along with the Council's Financial Regulations Appendix F (approved by the Finance and Corporate Services Committee) contain the delegation and limits for Write Offs. The Director of Resources can approve up to £10,000 (£20,000 for Business Rates).

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## **REPORT of DIRECTOR OF RESOURCES**

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**to  
FINANCE AND CORPORATE SERVICES COMMITTEE  
29 JANUARY 2019**

### **CORPORATE HEALTH AND SAFETY**

#### **1. PURPOSE OF THE REPORT**

- 1.1 To provide an update on corporate health and safety activity from 1 October to 31 December 2018 (quarter three).
- 1.2 To show progress with the health and safety action plan for 2018 / 19.
- 1.3 To identify health and safety requirements as phase one and two of the future model restructure are implemented.

#### **2. RECOMMENDATIONS**

- (i) that the accident and incident statistics for the quarter be noted;
- (ii) that progress with the health and safety action plan be noted;
- (iii) that the action required to replace staff with health and safety responsibilities as they leave the organisation be noted.

#### **3. SUMMARY OF KEY ISSUES**

- 3.1 There were seven reported accident during the quarter.
  - Staff (x two) – cuts and stings whilst off site: protective footwear has been purchased.
  - Staff (x three) – falls from steps, two occurred on site, the other off site.
  - Member – fall from faulty chair: facilities checked chairs, removed defective ones and are now monitoring chairs on a regular basis.
  - Staff – bruising to back following collision with door lock: door lock has been removed as not required.
- 3.2 There have been five incidents of unacceptable behaviour. This is less than the last quarter, but still higher than normal. The number of incidents in each service area is as follows:
  - Two in Customers and Community

- One in waste (contractor)
  - One in Housing
  - One referred by external agency
- 3.2.1 This upward trend is being monitored and action taken following reports. The trade union, UNISON, is publicising its [End Violence at work charter](#). The Council currently meets all the requirements of the charter and will look at the opportunities for including this as part of any future procured / commissioned service.
- 3.3 Progress with the health and safety action plan for 2018 / 19 can be seen in **APPENDIX 1**. Items that have been progressed during this quarter are highlighted in **bold** type.
- 3.4 Following the implementation of phase one, several staff with health and safety responsibilities have left or will be leaving the organisation and replacements will need to be nominated and trained. Staff will need to be appointed to the following roles:
- first aiders;
  - fire marshals;
  - display screen equipment assessors; and
  - legionella duty holders.
- 3.5 As further staff with health and safety responsibilities leave or take up new roles within the organisation, including during phase two of the restructure, any gaps will need to be identified and new staff appointed as necessary.

#### **4. CONCLUSION**

- 4.1 The number of unacceptable behaviour reports remains high, this upward trend is being monitored and procedures followed when incidents are reported.
- 4.2 Work on the action plan for 2018 / 19 is progressing. Procedures have been reviewed to ensure that they are up to date and as a reminder to staff.
- 4.3 Replacements will need to be identified and trained to replace staff with health and safety responsibilities as they leave the organisation.

#### **5. IMPACT ON CORPORATE GOALS**

- 5.1 Managing health and safety well helps protect the workforce and wider community who may be affected by the Council's activities ensuring that communities stay safe and healthy.

## 6. IMPLICATIONS

- (i) **Impact on Customers** – Good health and safety management reduces the number of accidents and injuries to both customers and employees alike. Reduced staff absence resulting from work related injuries or ill health ensures a better service is provided to customers.
- (ii) **Impact on Equalities** – None.
- (iii) **Impact on Risk** – Poor management of health and safety can lead to accidents, injuries, occupational ill health or dangerous occurrences. This may result in avoidable sickness absence and these incidents may be investigated by the Health and Safety Executive (HSE). This could result in prosecution with fines or custodial sentences and an award of costs if found guilty by the courts. In addition, the HSE has adopted a “Fee for Fault” policy in which it recharges the cost of investigations if liability is identified. Civil claims by individuals could lead to significant pay outs which in turn could lead to increased insurance premiums. It can also lead to poor publicity, reputational damage and impacts on staff morale.
- (iv) **Impact on Resources (financial)** – No additional resources required, however, by managing health and safety, there should be less impact on financial resources as identified in (iii) above.
- (v) **Impact of Resources (human)** – No additional resources are required, however, by preventing accidents and ill health, there should be less impact on human resources.
- (vi) **Impact on the Environment** – Good health and safety management of the workplace, for example, management of asbestos and legionella, helps provide a safer and healthier environment in which to live and work.

Background Papers: None.

Enquiries to: Gill Gibson, Health and Safety Adviser, (Tel: 01621 875813).

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## HEALTH AND SAFETY ACTION PLAN 2018 / 19

Subject	Action Required	Timescale	Progress
Health and Safety Arrangements	To review all the corporate health and safety procedures falling due during 2018-19	June 2018	<ul style="list-style-type: none"> <li>• Sun exposure procedure has been reviewed and amended, providing more information</li> <li>• Fire arrangements have been circulated to all relevant managers so that they can be reviewed, updated and staff informed of the arrangements</li> <li>• Accident and Near Miss Reporting and Consultation Arrangements have been reviewed and updated. Health and safety representatives have been asked to comment on these procedures by then end of July 2018.</li> <li>• Asbestos arrangements have been reviewed and updated</li> </ul>
	<ul style="list-style-type: none"> <li>• Accident and Near Miss Reporting</li> <li>• Asbestos Arrangements</li> <li>• Consultation Arrangements</li> <li>• Care of Substances Hazardous to Health (COSHH)</li> <li>• Fire</li> <li>• First Aid Arrangements</li> </ul>	September 2018	<ul style="list-style-type: none"> <li>• COSHH procedure reviewed</li> <li>• Workplace Transport Procedure reviewed</li> <li>• Slips and Trips Procedure reviewed</li> <li>• Fire procedure reviewed</li> <li>• First aid arrangements are under review: 2 first aiders have recently left the organisation. 2 new first aiders will be required to replace them, however, will await organisational change to identify personnel who could fulfil this role.</li> </ul>
	<ul style="list-style-type: none"> <li>• Bomb and Terrorism</li> <li>• Slips, Trips and Falls</li> <li>• Sun Exposure</li> <li>• Unacceptable Behaviour</li> <li>• Work Place Transport</li> </ul>	December 2018	<ul style="list-style-type: none"> <li>• Display Screen Equipment</li> <li>• Lone Working</li> <li>• New and Expectant Mothers</li> <li>• Person Protective Equipment (PPE)</li> <li>• Risk Assessment</li> <li>• Workplace Arrangements</li> </ul>

Subject	Action Required	Timescale	Progress
Risk Assessments	<p>To review all service risk assessments</p> <ul style="list-style-type: none"> <li>• Community Protection Officers</li> <li>• Customer Services</li> <li>• Environmental Health</li> <li>• Facilities</li> <li>• Finance</li> <li>• Housing</li> <li>• IT</li> <li>• Legal and Democratic Services</li> <li>• Parks</li> <li>• Planning and Building Control</li> <li>• People, Policy and Performance</li> <li>• Revenues and Benefits</li> </ul>	Throughout the year and all by the end March 2019	<ul style="list-style-type: none"> <li>• Environmental Health risk assessment reviewed</li> <li>• <b>Risk assessments to be reviewed following the restructure and implementation of the new teams under the future model.</b></li> </ul>
Risk Assessment Audit	To review risk assessments to assess whether they are suitable and sufficient	December 2018	<ul style="list-style-type: none"> <li>• <b>Work postponed until the new structure has been implemented and the risk assessments reviewed and amended to reflect the new teams.</b></li> </ul>
Training	<p>To deliver health and safety training where required, to include:</p> <ul style="list-style-type: none"> <li>• Lone working</li> <li>• Refresher first aid training</li> <li>• Developing an e-learning module for manual handling (carried forward from last year's work plan)</li> <li>• To complete development of an e-learning module for Display Screen Equipment (DSE)</li> </ul>	<p>November 2018</p> <p>As and when required</p> <p>December 2018</p> <p>October 2018</p>	<ul style="list-style-type: none"> <li>• Two designated first aiders have left the organisation, however, waiting for completion of phase one of the restructure before training and appointing new first aiders.</li> <li>• <b>A further first aider has left the organisation and will need to be replaced.</b></li> <li>• <b>As three of the trained display screen equipment assessors have left/will be leaving the organisation, replacements will need to be found.</b></li> </ul>





## **REPORT of DIRECTOR OF RESOURCES**

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**to  
FINANCE AND CORPORATE SERVICES COMMITTEE  
29 JANUARY 2019**

### **SUPPLEMENTARY ESTIMATES, VIREMENTS AND USE OF RESERVES: 31 OCTOBER – 31 DECEMBER 2018**

#### **1. PURPOSE OF THE REPORT**

- 1.1 To report virements and supplementary estimates agreed under delegated powers as they are below the levels requiring approval by this Committee.
- 1.2 To inform Members of procurement exemptions that have been granted in the period.
- 1.3 To report on the use of the Repairs and Maintenance reserve during the year.

#### **2. RECOMMENDATION**

Members are invited to review and comment on the procurement exemption set out in section 3.4 and the drawdown of Reserves in section 3.5 of this report.

#### **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 budget head:

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

##### Virements between different budget heads:

- 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 There were no virement requests to report.

### **3.3 Supplementary Estimates**

3.3.1 There were no supplementary estimates to report.

### **3.4 Procurement Exemptions**

3.4.1 A procurement exemption was granted to continue with the current banking arrangements. A benchmarking exercise was carried out of the banking rates currently being offered. This showed that there was a small saving that could be achieved, however this was outweighed by the costs associated with changing provider. The annual cost of the contract for 2018/19 is £13,200.

### **3.5 Drawdowns from Reserves**

3.5.1 The following requests for funding from the Repairs and Renewals reserve were approved;

- £9,500 was requested to repair and replace faulty cabling and subsequent surface repairs to the splash park.
- £16,000 was requested for resurfacing of the Galleon play site after structural repairs to the equipment were required.
- £3,500 was requested for repairs to the leaking roof at the main toilet block at the Promenade Park.
- £4,500 was requested to replace a faulty fountain pump at the prom lake.
- A request had been made and approved to be put forward in the 2019 / 20 budget process for £9,000 funding from the Repairs and Renewals reserve; for works to replace urinals in the gent's toilets in Promenade Park. To enable the work to be completed before the start of the summer season; funding has been approved this financial year to start the project early. This will therefore be

removed from the 2019 / 20 repairs and renewals projects list being reported to Council on 14 February 2019.

#### **4. CONCLUSION**

- 4.1 There are no supplementary estimates or virements to report. Members are to note the procurement exemption and the drawdown from reserves.

#### **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’.

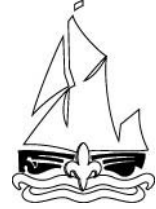
#### **6. IMPLICATIONS**

- (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**

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**to  
FINANCE AND CORPORATE SERVICES COMMITTEE  
29 JANUARY 2019**

### **CAPITAL AND INVESTMENT STRATEGIES FOR 2019 / 20**

#### **1. PURPOSE OF THE REPORT**

- 1.1 The Council is required to approve an annual Capital Strategy and Investment Strategy before the start of the financial year to which they relate.

#### **2. RECOMMENDATIONS**

To the Council:

That the Capital Strategy (**APPENDIX 1**) and Investment Strategy (**APPENDIX 2**) for 2019 / 20 be approved.

#### **3. SUMMARY OF KEY ISSUES**

- 3.1 The Prudential Code was updated in 2017 with a requirement for a new Capital Strategy. This details the intended Capital expenditure plans and funding arrangements and sets Prudential Indicators against which actual expenditure and borrowing should be monitored. The draft Capital Strategy for 2019/20 is **APPENDIX 1**.
- 3.2 The Ministry of Housing, Communities and Local Government issued guidance on investments in January 2018, the Investment Strategy has been reviewed considering this and is at **APPENDIX 2**.
- 3.3 The Treasury Management Strategy and Practices were reviewed by the Overview and Scrutiny Committee on 9 January 2019, but are no longer required to be approved by the Council.
- 3.4 The Strategies have been compiled using a template provided by the Council's treasury advisor, Arlingclose Ltd with outlooks at the time the strategies were drafted in December 2018.

#### **4. CONCLUSION**

- 4.1 The Capital Strategy has been prepared considering the future plans of the Council, ensuring that they are affordable and prudent. It links with the Council's Investment Strategy.
- 4.2 The 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 Strategies support 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** –Any new investment decision will be entered 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: Treasury Management Strategy.

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

## Capital Strategy Report 2019 / 20

### Introduction

This capital strategy is a new report for 2019 / 20, giving a high-level overview of how capital expenditure, capital financing and treasury management activity contribute to the provision of local public services along with an overview of how associated risk is managed and the implications for future financial sustainability. It has been written in an accessible style to enhance members' understanding of these sometimes technical areas.

### Capital Expenditure and Financing

Capital expenditure is where the Council spends money on assets, such as property or vehicles, that will be used for more than one year. In local government this includes spending on assets owned by other bodies, and loans and grants to other bodies enabling them to buy assets. The Council has some limited discretion on what counts as capital expenditure, for example assets costing below £10,000 are not capitalised and are charged to revenue in year.

In 2019 / 20, the Council is planning capital expenditure of £618,000, with a potential additional £6.2m for commercial projects as summarised below:

*Table 1: Prudential Indicator: Estimates of Capital Expenditure in £ 000s*

	2017/18 actual £000	2018/19 forecast £000	2019 / 20 budget £000	2020/21 budget £000	2021/22 budget £000
General Fund services	1,021	1,771	618	487	477
Proposed Commercial Projects	-	-	6,283	-	-
<b>TOTAL</b>	1,021	1,789	6,901	487	477

The main General Fund capital projects include the replacement of equipment and vehicles in the Parks Team, which totals £118,200.

**Governance:** Service managers bid annually in September to include projects in the Council's capital programme. Bids are collated by the finance team who calculate the financing cost (which can be nil if the project is fully externally financed). The Corporate Leadership Team (CLT) and the relevant service committees appraise all bids based on a comparison of service priorities against financing costs and makes recommendations to Finance and Corporate Services. The final capital programme is then presented to Council in February each year.

- For full details of the Council's proposed capital programme for 2019 / 20, including the project appraisals undertaken, see the Finance and Corporate Services Minutes for 24 November 2018.

Projects that generate savings or income may be progressed in year subject to a valid Business Case and Committee Approval.

All capital expenditure must be financed, either from external sources (government grants and other contributions), the Council's own resources (revenue, reserves and capital receipts) or debt

(borrowing, leasing and Private Finance Initiative). The planned financing of the above expenditure is as follows:

*Table 2: Capital financing in £ 000's*

	2017 / 18 actual £000s	2018 / 19 forecast £000s	2019 / 20 budget £000s	2020 / 21 budget £000s	2021 / 22 budget £000s
External sources	449	420	420	420	420
Own resources	572	1,369	198	67	57
Debt	-	-	6,283	-	-
<b>TOTAL</b>	<b>1,021</b>	<b>1,789</b>	<b>6,901</b>	<b>487</b>	<b>477</b>

Debt is only a temporary source of finance, since loans and leases must be repaid, and this is therefore replaced over time by other financing, usually from revenue which is known as Minimum Revenue Provision (MRP). Alternatively, proceeds from selling capital assets (known as capital receipts) may be used to replace debt finance. Planned MRP and use of capital receipts are as follows:

*Table 3: Replacement of debt finance in £ 000's*

	2017 / 18 actual £000's	2018 / 19 forecast £000's	2019 / 20 budget £000's	2020 / 21 budget £000's	2021 / 22 budget £000's	2022 / 23 Budget £000's
Own resources	-	-	-	126	126	126

- The Council's full minimum revenue provision statement is available here in the reports for Finance and Corporate Service Committee in January 2019.
- The figures above will not be included into the Medium Term Financial Statement until the projects have been fully approved.

The Council's cumulative outstanding amount of debt finance is measured by the Capital Financing Requirement (CFR). This increases with new debt-financed capital expenditure and reduces with MRP and capital receipts used to replace debt. The CFR is expected to increase by £6.3m during 2019 / 20. Based on the above figures for expenditure and financing, the Council's estimated CFR is as follows:

*Table 4: Prudential Indicator: Estimates of Capital Financing Requirement in £000's*

	31.3.2018 actual £000's	31.3.2019 forecast £000's	31.3.2020 budget £000's	31.3.2021 budget £000's	31.3.2022 budget £000's
General Fund services	1,109	850	6,874	6,489	6,104
<b>TOTAL CFR</b>	<b>1,109</b>	<b>850</b>	<b>6,874</b>	<b>6,489</b>	<b>6,104</b>

- The in year movement above does not total Table 2 less Table 3 due to MRP relating to embedded finance leases that are not true capital debt repayments.



**Asset management:** To ensure that capital assets continue to be of long-term use, the Council is developing the 2019 / 20 asset management strategy.

**Asset disposals:** When a capital asset is no longer needed, it may be sold so that the proceeds, known as capital receipts, can be spent on new assets or to repay debt. The Council is currently also permitted to spend capital receipts on service transformation projects until 2021 / 22. Repayments of capital grants, loans and investments also generate capital receipts. The Council could potentially receive £4m of capital receipts in the coming financial year as follows:

*Table 5: Capital receipts in £ 000's*

	2017 / 18 actual £000's	2018 / 19 forecast £000's	2019 / 20 budget £000's	2020 / 21 budget £000's	2021 / 22 budget £000's
Asset sales	-	-	-	4,000	-
Loans repaid	-	-	-	-	-
<b>TOTAL</b>	-	-	-	<b>4,000</b>	-

- The Assets sales relate to potential income from the sale of the Council offices if this project is taken forwards, however this is still at planning stage.
- The Council may also receive Capital receipts from Right to Buys of Council Houses, however it is not possible to estimate how much may be received in any one year.

### **Treasury Management**

Treasury management is concerned with keeping sufficient but not excessive cash available to meet the Council's spending needs, while managing the risks involved. Surplus cash is invested until required, while a shortage of cash will be met by borrowing, to avoid excessive credit balances or overdrafts in the bank current account. The Council is typically cash rich in the short-term as revenue income is received before it is spent, but cash poor in the long-term as capital expenditure is incurred before being financed. The revenue cash surpluses are offset against capital cash shortfalls to reduce overall borrowing.

Due to decisions taken in the past, the Council currently has £0m borrowing and £22m treasury investments at an average rate of 1.6%.

**Borrowing strategy:** The Council is currently debt free, however as there is a future intention to borrow to fund projects, then the main objectives when borrowing will be to achieve a low but certain cost of finance while retaining flexibility should plans change in future. These objectives are often conflicting, and the Council therefore seeks to strike a balance between cheap short-term loans (currently available at around 0.75%) and long-term fixed rate loans where the future cost is known but higher (currently 2.0 to 3.0%).

Projected levels of the Council's total outstanding debt (which comprises borrowing, PFI liabilities and leases) are shown below, compared with the capital financing requirement (see above).

*Table 6: Prudential Indicator: Gross Debt and the Capital Financing Requirement in £000's*

	31.3.2018 actual £000's	31.3.2019 forecast £000's	31.3.2020 budget £000's	31.3.2021 budget £000's	31.3.2022 budget £000's
Debt	-	-	6,283	6,157	6,031
Capital Financing Requirement	1,109	850	6,874	6,489	6,104

Statutory guidance is that debt should remain below the capital financing requirement, except in the short-term. As can be seen from table 6, the Council expects to comply with this in the medium term.

**Liability benchmark:** To compare the Council's actual borrowing against an alternative strategy, a liability benchmark has been calculated showing the lowest risk level of borrowing. This assumes that cash and investment balances are kept to a minimum level of £10m at each year-end. This benchmark is currently -£2.8 and is forecast to rise to £8.6m over the next three years.

*Table 7: Borrowing and the Liability Benchmark in £000's*

	31.3.2018 actual £000's	31.3.2019 forecast £000's	31.3.2020 budget £000's	31.3.2021 budget £000's	31.3.2022 budget £000's
Outstanding borrowing	-	-	6,300	6,174	6,048
Liability benchmark	(2,800)	800	7,200	8,500	8,600

The table shows that the Council expects to remain borrowed below its liability benchmark.

**Affordable borrowing limit:** The Council is legally obliged to set an affordable borrowing limit (also termed the authorised limit for external debt) each year and to keep it under review. In line with statutory guidance, a lower "operational boundary" is also set as a warning level should debt approach the limit.

*Table 7: Prudential Indicators: Authorised limit and operational boundary for external debt in £m*

	2018 / 19 limit	2019 / 20 limit	2020 / 21 limit	2021 / 22 limit
Authorised limit - borrowing	10	16.5	16.5	16.5
Operational boundary - borrowing	7	7	7	7

- Further details on borrowing are on page 4 of the treasury management strategy

**Investment strategy:** Treasury investments arise from receiving cash before it is paid out again. Investments made for service reasons or for pure financial gain are not generally considered to be part of treasury management.

The Council's policy on treasury investments is to maximise investment return where satisfactory results of due diligence are found and risk mitigated, although security and liquidity are still considerations. Cash that is likely to be spent in the near term is invested securely, for example with the government, other local authorities or selected high-quality banks, to minimise the risk of loss. Money that will be held for longer terms is invested more widely, including in bonds, shares

and property, to balance the risk of loss against the risk of receiving returns below inflation. Both near-term and longer-term investments may be held in pooled funds, where an external fund manager makes decisions on which particular investments to buy and the Council may request its money back at short notice.

*Table 8: Treasury management investments in £000's*

	31.3.2018 actual £000's	31.3.2019 forecast £000's	31.3.2020 budget £000's	31.3.2021 budget £000's	31.3.2022 budget £000's
Near-term investments	6,500	5,000	5,000	5,000	5,000
Longer-term investments	4,888	5,000	5,000	5,000	5,000
<b>TOTAL</b>	<b>11,388</b>	<b>10,000</b>	<b>10,000</b>	<b>10,000</b>	<b>10,000</b>

- Further details on treasury investments can be found on page 5 of the treasury management strategy

**Governance:** Decisions on treasury management investment and borrowing are made daily and are therefore delegated to the Director of Resources and staff, who must act in line with the treasury management strategy approved by Council. Half yearly reports on treasury management activity are presented to Overview & Scrutiny Committee. The audit committee is responsible for scrutinising treasury management decisions.

#### Investments for Service Purposes

The Council do not makes investments to assist local public services.

#### Commercial Activities

The Council currently do not have any commercial activities, however with the continuing pressures on external funding, and the implementation of the future model, consideration is being given to potential projects, which, when evaluated, will follow the governance for approval outlined on page 1 of this strategy. The potential requirement for borrowing has been considered in the relevant indicators within this strategy, and the investment and treasury strategies.

#### Liabilities

The Council is committed to making future payments to cover its pension fund deficit (valued at £26.5 m). It has also set aside £0.75 m to cover risks of Business Rates and Planning appeals.

**Governance:** Decisions on incurring new discretionary liabilities are taken by managers in consultation with the Director of Resources. The risk of liabilities crystallising and requiring payment is monitored by departments in conjunction with the finance team and are reported to committee/management as appropriate.

#### Revenue Budget Implications

Although capital expenditure is not charged directly to the revenue budget, interest payable on loans and MRP are charged to revenue, offset by any investment income receivable. The net

annual charge is known as financing costs; this is compared to the net revenue stream i.e. the amount funded from Council Tax, business rates and general government grants.

*Table 9: Prudential Indicator: Proportion of financing costs to net revenue stream*

	2017 / 18 actual	2018 / 19 forecast	2019 / 20 budget	2020 / 21 budget	2021 / 22 budget
Financing costs (£m)	-	-	-	-	-
Proportion of net revenue stream	%	%	%	%	%

- The borrowing referred to in this strategy relates to proposals that are still in planning stages, therefore these haven't been included in the table above due to wider implications of potential new revenue streams that would impact on the revenue stream. This table will be updated once there is more detail on the proposed projects.

**Sustainability:** Due to the very long-term nature of capital expenditure and financing, the revenue budget implications of expenditure incurred in the next few years will extend for the duration of any borrowing arrangements. The Director of Resources is satisfied that the proposed capital programme is prudent, affordable and sustainable because for the main General Fund programme, there are existing reserves to fund the expenditure. For new Commercial projects, borrowing costs have been included within the financial models to then assess overall project viability. Projects will only be progressed where they prove to generate savings or an income stream to the Authority, and the Business Case will assess the risks and mitigations of the projects.

### **Knowledge and Skills**

The Council employs professionally qualified and experienced staff in senior positions with responsibility for making capital expenditure, borrowing and investment decisions. For example, the Director of Resources is a qualified accountant with over 10 years' experience. The Council pays for junior staff to study towards relevant professional qualifications including Association of Chartered Certified Accountants (ACCA).

Where Council staff do not have the knowledge and skills required, use is made of external advisers and consultants that are specialists in their field. The Council currently employs Arlingclose Limited as treasury management advisors and the Valuation Office as property advisors. This approach is more cost effective than employing such staff directly, and ensures that the Council has access to knowledge and skills commensurate with its risk appetite.

- The Council's Treasury Management policy on the use of external advisers is available on request from the Council Offices.

## Investment Strategy Report 2019 / 20

### Introduction

The Council invests its money for two main reasons:-

- because it has surplus cash as a result of its day-to-day activities, for example when income is received in advance of expenditure (known as **treasury management investments**).
- to earn investment income (known as **commercial investments** where this is the main purpose).

This investment strategy is a new report for 2019 / 20, meeting the requirements of statutory guidance issued by the government in January 2018.

### Treasury Management Investments

The Council typically receives its income in cash (e.g. from taxes and grants) before it pays for its expenditure in cash (e.g. through payroll and invoices). It also holds reserves for future expenditure and collects local taxes on behalf of other local authorities and central government. These activities, plus the timing of borrowing decisions, lead to a cash surplus which is invested in accordance with guidance from the Chartered Institute of Public Finance and Accountancy. The balance of treasury management investments is expected to fluctuate between £12m and £20m during the 2019 / 20 financial year.

**Contribution:** The contribution that these investments make to the objectives of the Council is to support effective treasury management activities.

**Further details:** Full details of the Council's policies and its plan for 2019 / 20 for treasury management investments are covered in a separate document, the treasury management strategy.

### Capacity, Skills and Culture

**Elected members and statutory officers:** The team involved in investment decision making have a number of years experience in treasury management. They attend sessions run by our treasury management advisors in relation to investments and treatment. The Treasury Management advisors are consulted on potential changes to portfolio. Members are also provided with treasury management training, the frequency is dependent on requirements and changes.

**Commercial deals:** The Finance Manager and Section 151 officers are involved in projects with a financial impact and therefore communicate with those negotiating commercial deals the principles of the prudential framework and regulatory regime.

**Corporate governance:** The annual strategies are reviewed by the Overview and Scrutiny Committees before presented to the Finance and Corporate Services Committee and the Council for approval.

### Investment Indicators

The Authority has set the following quantitative indicators to allow elected members and the public to assess the Authority's total risk exposure as a result of its investment decisions.

**Total risk exposure:** The first indicator shows the Authority's total exposure to potential investment losses. This includes amounts the Authority is contractually committed to lend but have yet to be drawn down and guarantees the Authority has issued over third party loans.

*Table 5: Total investment exposure in £millions*

Total investment exposure	31.03.2018 Actual	31.03.2019 Forecast	31.03.2020 Forecast
Treasury management investments	11,436	12,805	10,351
TOTAL INVESTMENTS	11,436	12,805	10,351
TOTAL EXPOSURE	11,436	12,805	10,351

**How investments are funded:** The Council's investments are funded by usable reserves and income received in advance of expenditure.

**Rate of return received:** This indicator shows the investment income received less the associated costs, including the cost of borrowing where appropriate, as a proportion of the sum initially invested. Note that due to the complex local government accounting framework, not all recorded gains and losses affect the revenue account in the year they are incurred.

*Table 7: Investment rate of return (net of all costs)*

Investments net rate of return	2017/18 Actual	2018/19 Forecast	2019 / 20 Forecast
Treasury management investments	1.4%	1.6%	1.6%
ALL INVESTMENTS	1.4%	1.6%	1.6%

There are not currently any other investment indicators, however as the Authority moves towards more commercial service provision, then suitable indicators will be adopted. The Capital Strategy details £6.28m of expenditure intended for Commercial projects in 2019 / 20.



## **REPORT of INDEPENDENT MEMBERS REMUNERATION PANEL**

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**to  
FINANCE AND CORPORATE SERVICES COMMITTEE  
29 JANUARY 2018**

### **MEMBERS' ALLOWANCES - INDEPENDENT MEMBERS REMUNERATION PANEL UPDATE**

#### **1. PURPOSE OF THE REPORT**

- 1.1 To consider the recommendations put forward by the Independent Members Remuneration Panel (IMRP) (the Panel), having held three meetings on 5 November, 19 November and 26 November 2018.

#### **2. RECOMMENDATIONS**

##### To the Council:

- (i) That a Members' Mileage and Expenses Policy be introduced;
- (ii) That the allowance currently paid to Area Committee Chairmen be reduced to 50% of the existing rate.

#### **3. SUMMARY OF KEY ISSUES**

- 3.1 The Council is required to establish and maintain an independent remuneration panel. The purpose of the Panel is to make recommendations to the Council about the allowances to be paid to Members. The Panel will make recommendations about the level of basic allowance for all Members, the level of Special Responsibility Allowances (SRA) and to whom they should be paid, and on whether dependants' carers' allowance, travel and subsistence allowances should be paid and the level of these allowances.
- 3.2 The IMRP met three times in November 2018 to consider the introduction of a Members' Mileage and Expenses policy and to consider the level of allowance which is currently paid as a Special Responsibility Allowance to Area Planning Committee Chairmen. During these meetings the Panel met with all Area Planning Committee Chairmen and the Leader of the Council. The recommendations of the panel are set out in **APPENDIX A** and the minutes of the first meeting which was attended by officers are set out in **APPENDIX B**.
- 3.3 The rationale for the above recommendations is clearly stated by the panel in **APPENDIX A** alongside the detailed evidence that the panel considered in forming their views.

#### **4. CONCLUSION**

- 4.1 The recommendations of the IMRP should be put forward for consideration by the Council.

#### **5. IMPACT ON CORPORATE GOALS**

- 5.1 Making decisions about Member allowances in this way relates to the core value of being transparent and accountable.

#### **6. IMPLICATIONS**

- (i) **Impact on Customers** – None.
- (ii) **Impact on Equalities** – None.
- (iii) **Impact on Risk** – None.
- (iv) **Impact on Resources (financial)** – If these recommendations are approved then there would be an annual saving of up to £3,625 depending on whether any of the Area Planning Committee Chairmen held the role of Leader or Deputy Leader of the Council.
- (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 Members' Remuneration Panel Report**

Report Date: Tuesday 27<sup>th</sup> November 2018  
Report Authors: Ann Esplen, Andrew Mugford & Russell G Everard

### **Brief:**

Review limits for Member out of pocket expenditure, travel and subsistence expenses

### **Panel Recommendation:**

To introduce a Members' Mileage and Expenses Policy.

### **Rationale:**

The Panel understands that there is currently no clarity or written policy regarding the type and level of subsistence which Members can claim in respect of expenses incurred in performance of their official duties. The Panel also understands that Member mileage claims are not required to specify the actual activity being undertaken by the Member to support the journey undertaken. A policy will give transparency to the type and level of expense payments funded from the public purse, and could also provide an opportunity to bring clarity to the range of activities which Members are expected to undertake in pursuance of their role.

### **Putting the recommendation into practice:**

The Panel respectfully suggests that the new Members Mileage and Expenses Policy should use the same 'framework' as that currently in place for Officers in their Mileage and Expenses Policy. The maximum subsistence allowances should also be no better than those afforded to Officers. All travel claims should show the specific reason for the journey and the mileage of the journey undertaken. To complete the audit trail for Members claiming vehicle expenses to and from the Council Offices, the Panel suggests that committee meeting attendance registers and entries to the Member In-Out register located in the Princes Road reception area be compared with actual claims, but only on a sample basis. The policy should be subject to an annual review, as, we assume, is the current practice for the Officers' policy.

There are a number of Member allowance policy best practice models which the Panel feels worthy of mention, for example Blaby District Council, Stevenage Borough Council, Maidstone Borough Council (which also lists approved duties for which travel expenses can

be claimed), and Epping Forest District Council. These policies can also be adapted to meet the District's needs.

**Brief:**

Review levels of remuneration to Chairs of Area Planning Committees

**Recommendation:**

To review the allowance currently paid to Area Committee Chairmen to 50% of the existing rate.

**Rationale:**

Officers provided the Panel with data sets relating to the work of the three Planning Committees. These detailed the frequencies of meetings, the number of applications being determined, and meeting duration. Four Members made representations to the Panel at informal meetings held on the 26<sup>th</sup> November 2018 at the council offices. Members made mention of the complexity of current applications and also the declining number of applications now being determined by Area Committees which they felt was as a result of the Local Plan. One Member referred to a normal committee 'workload' of some 20-30 applications in previous years, to just 10% of that figure today.

In consideration of the representations made to the Panel by Members, the actual time being spent by these committees in comparison to previous years, and the number of applications being submitted for determination, it is the view of the Panel that the current allowance should be reviewed to 50% of the existing rate. The Panel is of the opinion that the new allowance would more reflect the value of the work being undertaken by the Chairmen.

**Putting the recommendation into practice:**

The Panel is aware of the complexity of the planning process and the need for Members and chairman to be competent in determining planning applications. The chairman role should primarily focus on bringing structure and order to meetings. The role and duties of the chairman, in addition to their knowledge and familiarity of the applications under consideration, should not be confused with those of a general committee Member, hence the payment of an additional allowance to reflect the workload and added responsibilities of the chairman. All committee chairs and vice chairs should demonstrate competence in managing meetings. Personal development opportunities, where deemed appropriate, should be made available to all chairman and vice chairman.

**General observations:**

1. Considering the number of applications now being presented to the Area Committees for determination, the Panel is of the opinion that the Council should consider combining the work of three committees into one Maldon District Planning Committee which would be responsible to Full Council. This could present Members with opportunities for financial savings in terms of staffing and other practical resources.
2. The Panel is keen to encourage car sharing between Members for all official duties, as and when deemed practical, as is the current practice with Officers.

**Remuneration Panel resources:**

1. Members Remuneration Panel - Programme of Work 2018/19
2. Maldon DC Members Allowances April 2018
3. Panel Meeting with Members, 26th November 2018
4. Restructure of Planning Committees report, 14th September 2018
5. Area Committee numeric data on meeting duration and number of planning applications considered
6. HMRC guidance for Members' allowances
7. Council Meeting Minutes of 13th September 2018
8. Maldon DC Officers' subsistence rates
9. LGA Scheme of Members' Allowances
10. Member Allowances Schemes for Stevenage Borough Council, Maidstone Borough Council, Epping Forest District Council, Blaby District Council, Elmbridge Borough Council, Malvern Hills District Council, and Waverley Borough Council.

Maldon District Council  
Members' Remuneration Panel:

Anne Esplen  
Andrew Mugford  
Russell G Everard

27<sup>th</sup> November 2018

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**MINUTES of  
INDEPENDENT MEMBERS' RENUMERATION PANEL  
5 NOVEMBER 2018**

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**PRESENT**

Russell Everard (RE)  
Andrew Mungford (AM)  
Anne Esplen (AE)  
Emma Foy, Director of Resources (EF)  
Tara Bird, Committee Services Officer

**1. INTRODUCTIONS**

Introductions were made prior to the start of the meeting.

**2. PROGRAMME OF WORK FOR 2018 / 19**

EF outlined the reasons behind the calling of the Panel meeting. There were two items for consideration, whether:

- there should be guidelines regarding the acceptable level of out of pocket expenditure which is reclaimable from the Council when Members are travelling or attending events and conferences.
- the current Members' allowance scheme continues to provide value for money to the tax payer and whether it should be recognised and at what level.

The Panel Members were provided with additional information at the meeting which included the current Members' allowance and examples of documentation from other Local Authorities and the Local Governance Authority.

The Panel were informed of the report recently considered by the Council regarding the future operation of Area Planning Committees (APCs) and its decision to continue with three APCs. Director of Resources advised that the recording of the meeting could be made available to the Panel, if required.

It was requested and agreed that the Panel would be provided with a copy of the current Members' Allowances Scheme along with the Officer policy.

The Panel were advised that as part of their considerations meetings with Members' could be arranged and once they had drawn their conclusions these would be taken to the Finance and Corporate Services Committee for consideration.

## **APPENDIX B**

AE referred the Panel to a document which had been used by the Panel at a previous meeting. It was titled “Members remuneration – Models, issues, incentives and barriers” and published by the Councillors Commission in 2007. EF advised that she would try to locate a current version of this document and circulate it to Members.

The Panel agreed that it would be available to meet with Members of the Council on Monday 19 and Monday 26 November 2018 in the afternoon.

At this point EF left the meeting.

The Panel discussed the documents that were circulated by EF, and particular reference was made to documents from Epping Forest and Stevenage Councils and the policies they had in place in respect of Member allowances.

The data regarding APCs contained in the report to the Council was discussed and the Panel felt it would be useful to have additional data to provide further clarification on how the number of applications considered by APCs had reduced.

Following further discussions the Panel requested the following:

- information from the HMRC in respect of Members’ allowances;
- additional data regarding APCs, the number of applications received and length of meetings – the Panel requested data going back as far as possible, ideally ten years;
- the Minutes of the Council meeting held on 13 September 2018;
- an extract of the sound recording from the Council meeting held on 13 September 2018;
- the policy that details Officers’ subsistence rates;
- contemporaneous notes from the Council meeting held on 13 September 2018 (subject to EF approval).

Further to agreement of the next two dates for meetings of the Panel, it was agreed that Members should be advised that they could meet privately with the panel and either as an individual or in groups. The Panel suggested that it met at 2pm with Member meetings starting from 3pm.

The meeting closed at 3:30pm.



## **REPORT of DIRECTOR OF RESOURCES**

**to  
FINANCE AND CORPORATE SERVICES COMMITTEE  
29 JANUARY 2019**

### **2018 / 19 - 2021 / 22 CAPITAL PROGRAMME**

#### **1. PURPOSE OF THE REPORT**

- 1.1 To provide Members with detailed information in relation to the current status of Capital projects as at the end of Quarter Three (Q3) 2018 / 19.
- 1.2 To provide Members with information regarding proposed Capital projects for the 2019 / 20 financial year.

#### **2. RECOMMENDATION**

That Members note the contents of the Quarter Three 2018 / 19 Capital Outturn Table (**APPENDIX A**).

#### **3. SUMMARY OF KEY ISSUES**

##### **3.1 Q3 Capital Outturn**

- 3.1.1 **APPENDIX A** provides details of capital projects being undertaken during the 2018/19 financial year. The information provided shows the status of each project at the end of Quarter Three. This shows that 47.58% of the capital programme is currently completed, however all projects other than those detailed in section 3.1.2 below are anticipated on being completed before the end of the financial year.
- 3.1.2 The following projects have been approved but delayed meaning completion will not happen until the 2019 / 20 financial year. The budget will therefore be required to be carried forward into the next financial year.

Project	Year	£'000	Reason for delay
New Accessible play site at Prom Park	2017 / 18	48	The proposals for this site are currently out for public consultation, inviting the public to comment on the proposals. Once the period of consultation is closed, the project will then be out for procurement. Start date to be early 2019 / 20 financial year.

Project	Year	£'000	Reason for delay
Provision of Superfast Broadband	2016 - 19	45	Members agreed to delay payment until the end of the project subject to the performance criteria being met.

### 3.2 2019 / 20 Capital Programme

- 3.2.1 Minute No. 662 of the Council meeting on 20 December 2018, shows approval for the Capital projects for inclusion in the Capital programme for 2019 / 20. There have been no changes to these, other than the roll forward of the projects in section 3.1 above. The full programme will be approved by the Council on 14 February 2019.

## 4. CONCLUSION

- 4.1 The 2018 / 19 programme has been amended to take into consideration the known activity from the Q3 outturn and expected spend in Quarter Four (Q4).
- 4.2 Members are invited to comment on the capital project proposals prior to their inclusion in the 2019 / 20 budget and Capital programme.

## 5. IMPACT ON CORPORATE GOALS

- 5.1 The Strategic and Financial Planning process contributes towards our Corporate Goal “Delivering good quality, cost effective and valuable services”.
- 5.2 Each of the capital projects is also linked to the corporate goals.

## 6. IMPLICATIONS

- (i) **Impact on Customers** – None.
- (ii) **Impact on Equalities** – None.
- (iii) **Impact on Risk** – None.
- (iv) **Impact on Resources (Financial)** – Variances from the budget will impact upon the level of balances and/or capital reserves available in the future.
- (v) **Impact on Resources (human)** – None.
- (vi) **Impact on the Environment** – None.

Background Papers: None.

Enquiries to: Carrie Cox, Finance Manager, (Tel: 01621 875799).

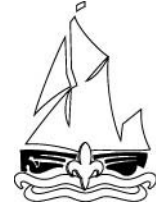


Capital Programme 2018 / 19	2017 / 18 (£000)	2018 / 19 (£000)	Supplementary Estimates & Virements	Total Budget (£000)	Expenditure to (£000)	Project Status	Due start date	Due completion date	Narrative
					31/12/2018				
<b>Vehicle &amp; Plant Replacement</b>									
Replacement Parks Vehicle 2018 / 19			27	27	0	Not started	Dec-18	Mar-19	Review of specification 30/7/2018 to PJ required, then due for distribution through Purchasing Framework.
New Rangers Vehicle 2018 / 19		12		12	0	Procurement process	Oct-18	Jan-19	With procurement ready to be purchased
<b>Information &amp; Communication Technology</b>									
PC and Printer Replacement Programme 2018 / 19		45		45	14	In progress	Apr-18	Feb-19	
Telephony Review / Upgrade 2018 / 19		5		5	0	Not started	Oct-18	Mar-19	
County Superfast Broadband Contribution	30	15		0	0	Not started	Aug-18	Mar-19	To be rolled forward to 2019/20 for payment on completion of project.
E-Mail replacement - Upgrade of Exchange and Enterprise Vault	18			18	-9	In progress	Apr-18	Mar-19	
<b>Maldon Promenade</b>									
All weather Car Parking improvements	99			99	82	In progress	Apr-18	Jul-18	SK to identify minor materials purchase for additional works (gridding & in-fill)
New accessible play site 2018 / 19		48		0	5	In progress	Jul-18	Mar-19	Approval for Public consultation granted by committee. Consultation planning & dates to be set January 2019
CCTV (Closed Circuit Television) Upgrade Prom	9	0		9	0	Procurement process	Apr-18	Mar-19	Installation due in Quarter 4
New Splash Park Elements 2018 / 19	0	10		10	0	Not started	Nov-18	Mar-19	Quotations sought & received. Orders for new elements progressing with suppliers.
Tip Road 2018 / 19	0	80		80	0	Procurement process	Jul-18	Mar-19	Confirmation of Essex County Council (ECC) funding contribution received 19/12/18. Tenders being sought w/e 21/12/18
<b>Parks &amp; Open Spaces</b>									
CCTV - Burnham-on-Crouch (B-O-C), BHF,WMCC		30		30		Procurement process	Apr-18	Mar-19	Installation due in Quarter 4

Capital Programme 2018 / 19	2017 / 18 (£000)	2018 / 19 (£000)	Supplementary Estimates & Virements	Total Budget (£000)	Expenditure to (£000)	Project Status	Due start date	Due completion date	Narrative
					31/12/2018				
Riverside Park information boards and signage	20	0		20	9	In progress	Apr-18	Oct-18	Welcome signage' delivered & installed. Awaiting delivery date for Information signage (due January 2019) and then internal refurb installation.

Capital Programme 2018 / 19	2017 / 18 (£000)	2018 / 19 (£000)	Supplementary Estimates & Virements	Total Budget (£000)	Expenditure to (£000)	Project Status	Due start date	Due completion date	Narrative
					31/12/2018				
<b>Elections</b>									
Replacement of Polling booths	25			25	7	In progress	Apr-18	Jul-18	
<b>Car Parks</b>									
Car Park Machines Prom & Maldon Town Centre 2018 / 19		115		115	0	In progress	Apr-18	Feb-19	Initial meeting with Sagoss held, Mobilisation meeting to be held in December. Timeline indicates machines installed by end Feb.
CCTV High Street & Car Park System Upgrade	30	0		30	0	Procurement process	Apr-18	Mar-19	Installation due in Quarter 4
<b>Cemeteries</b>									
Heybridge Cemetery Chapel Roof 2018 / 19		24		24	0	In progress	Apr-18	Mar-19	No further works undertaken since September 2018. Inspection Report & recommendations received (Rhea/SK) .
<b>Environmental Waste</b>									
Purchase of bins	22			22	22	Completed	Apr-18	Jul-18	completed
<b>Housing</b>									
Disabled Facility Grants		420		420	341	In progress	Apr-18	Mar-19	Grant applications being assessed and processed - ongoing through the year.
	253	804	27	991	471				

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## **REPORT of DIRECTOR OF RESOURCES**

to  
**FINANCE AND CORPORATE SERVICES COMMITTEE**  
**29 JANUARY 2019**

### **DISCRETIONARY FEES AND CHARGES 2019 / 20**

#### **1. PURPOSE OF REPORT**

- 1.1 To review the fees and charges set at the discretion of the Council that individually generate greater than £2,000 income per annum.
- 1.2 Fees and charges that generate less than £2,000 are reviewed and set by the Director of Resources under delegated powers.

#### **2. RECOMMENDATION**

To the Council:

- (i) The detailed Fees and charges for 2019 / 20 as set out in **APPENDIX A** be agreed.
- (ii) That the revision to the fees and charges policies shown in **APPENDIX B** be agreed.

#### **3. SUMMARY OF KEY ISSUES**

- 3.1 The proposed fees and charges for 2019 / 20 are set out in **APPENDIX A** and are based on the policy decisions recently updated and agreed by this Committee on 27 November 2018. There are a few changes proposed taking into account inflation, and changes to charging bands. Some charges have been deleted in relation to Events equipment rentals where the equipment is no longer held by the Authority.
- 3.2 The 2018 / 19 and 2019 / 20 budgets for income generated from these fees and charges are detailed in the following table:

Service	2018 / 19 Budget £'000	2018 / 19 Forecast £'000	2019 / 20 Budget £'000
Environmental Protection	7	9	7
Food Safety, and hygiene	2	2	2
Taxis and Private Hire Licensing	33	34	34

Agenda Item no. **11**

Our Vision: To make Maldon District a better place to live, work and enjoy

Service	2018 / 19 Budget £'000	2018 / 19 Forecast £'000	2019 / 20 Budget £'000
Premises Licensing	52	52	52
Animal Licensing	10	13	13
Gambling Licensing	3	3	3
Pest Control	32	32	32
Green Waste Bin Service	437	469	479
Cemeteries	126	152	135
Off Street Parking	1,044	1,054	1,054
Funfairs and Circuses	16	31	31
Parks Sports Pitches	8	6	8
River Moorings	14	14	14
River Wharfage	26	29	29
Splash Park	110	127	110
Building Control - Chargeable Services	135	135	141
Land Charges - Full Searches	122	122	122
Pre-Application Advice	44	64	44

NB – Forecast 2018 / 19 and Budget 2019 / 20 are provisional figures.

3.2.1 This total table excludes income generated from statutory fees and charges.

### 3.3 Building Control fees

3.3.1 Fees for the Building Control service are currently subject to a detailed review.

3.3.2 These will be brought to a future meeting of the Finance and Corporate Services Committee if the review suggests changes are required. Until that time, the existing fees will be used.

### 3.4 Clinical Waste

3.4.1 The Fees and Charges policies for 2019/20 were agreed at the Finance and Corporate Services Committee on 27 November 2018. The NHS decided in November 2018 to stop clinical waste collection, and therefore the Council reacted by changing its policy to remove free collection and to signpost to commercial collection companies.

3.4.2 Officers have discussed with other Local Authorities in the County the potential options; and further work is required to assess the financial impact on relevant households and to this Authority. Therefore, it is recommended that the original policy of free collection is retained, until Officers are able to fully consider the options and impacts.

## 4. CONCLUSIONS

4.1 Fees and Charges should be updated in accordance with the agreed policies.

## 5. IMPACT ON CORPORATE GOALS

- 5.1 Income from fees and charges is a key financial resource that enables the delivery of all Council goals.

## 6. IMPLICATIONS

- (i) **Impact on Customers** – This has been considered when setting fees and charges policies.
- (ii) **Impacts on Equalities** – There are not considered to be any issues.
- (iii) **Impact on Risk** – The actual income generated from fees and charges is subject to fluctuation based on changes in demand. This risk is managed by factoring potential losses into the calculation of the minimum general fund balance used in the budget setting process.
- (iii) **Impact on Resources (Financial)** – Fees and charges are a major financial resource of the Council. The financial implications of the changes to fees and charges have been incorporated into the 2019 / 20 budget proposals.
- (iv) **Impact on Resources (human)** – None.
- (v) **Impact on the Environment** – Sustainability has been considered, as far as possible, when setting Fees and Charges policies.

Background Papers: Fees and Charges Policies.

Enquiries To: Carrie Cox, Finance Manager, (Tel: 01621 875799).

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# APPENDIX A

PLANNING AND ENVIRONMENTAL SERVICES	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
<b>ENVIRONMENTAL HEALTH</b>					
<b>ENVIRONMENTAL PROTECTION</b>					
<b>Anti Social Behaviour Act 2003</b>					
Fixed Penalty for Graffiti and Fly Posting S43	No	80.00	-	80.00	80.00
<b>Clean Neighbourhoods and Environment Act 2005</b>					
Fixed Penalty for failure to nominate key holder (within an alarm notification area) or failure to notify local authority in writing of nominated key holders details	No	80.00	-	80.00	80.00
Fixed Penalty for offences under dog control orders S59(2)	No	80.00	-	80.00	80.00
<b>Environmental Protection Act 1990</b>					
Copy of contaminated land register entry per A4 sheet	Yes	0.08	0.02	0.10	0.10
Copy of the contaminated land strategy: bound paper copy	No	43.00	-	43.00	43.00
emailed copy			Free		
Copy of radioactive substances notification per A4 sheet	Yes	0.08	0.02	0.10	0.10
Copy of radioactive substances register : bound paper copy	No	43.00	-	43.00	43.00
emailed copy			Free		
per A4 sheet	Yes	0.08	0.02	0.10	0.10
Copy of other EPA statutory register entries (per A4 sheet)	Yes	0.08	0.02	0.10	0.10
downloaded from website			Free		
Environmental searches / professional reports (per enquiry)	Yes	95.00	19.00	114.00	114.00
Charge for Housing Act Enforcement (per hour)	No	48.00	-	48.00	48.00
Licensing of houses in multiple occupation: standard fee for 5 room house	No	696.00	-	696.00	696.00
charge per each additional room	No	36.00	-	36.00	36.00
Request for housing inspection for immigration purposes	No	168.00	-	168.00	168.00
Fixed Penalty for Litter S88 (1)	No	82.00	-	82.00	82.00
Fixed Penalty for offences in relation to waste receptacles S47ZA(2)	No	62.00	-	62.00	62.00
Fixed Penalty for breach of street litter control notices and clearing notices S94A(2)	No	113.00	-	113.00	113.00
Fixed Penalty for unauthorised distribution of literature on designated land S3A para.7(2)	No	82.00	-	82.00	82.00
<b>Noise Act 1996</b>					
Fixed Penalty for noise from dwellings S8	No	103.00	-	103.00	103.00
<b>FOOD SAFETY, &amp; HYGIENE</b>					
Export certificate: one off	No	47.00	-	47.00	47.00
Food Safety revisit	no	166.00	-	166.00	166.00
Replacement FHRS sticker	no	8.00	-	8.00	8.00
Sale of SFBB packs	no	22.00	-	22.00	22.00
<b>Private Water Supplies</b>					
Risk assessment (per hour of officer time maximum £500)	No	47.00	-	47.00	47.00
Private water supply sampling			Recovery of costs		
<b>Skin Piercing Activities</b>					
Ear piercing, electrolysis, tattooing, acupuncture: per practitioner	No	58.00	-	58.00	58.00
per premises	No	271.00	-	271.00	271.00
<b>GAMBLING ACT 2005</b>					
<b>Annual Fee</b>					
Adult Gaming Centre	No	867.00	-	867.00	867.00
Betting premises (other)	No	520.00	-	520.00	520.00
Betting Premises (track)	No	867.00	-	867.00	867.00
Bingo premises	No	867.00	-	867.00	867.00
Casino premises (converted)	No	2,600.00	-	2,600.00	2,600.00
Casino premises (large)	No	8,667.00	-	8,667.00	8,667.00
Casino premises (regional)	No	13,000.00	-	13,000.00	13,000.00
Casino premises (small)	No	4,333.00	-	4,333.00	4,333.00
Family entertainment centre	No	653.00	-	653.00	653.00
<b>Application Fees for Premises and Application for Provisional Statements</b>					
Adult gaming centre	No	1,733.00	-	1,733.00	1,733.00
Betting premises (other)	No	2,600.00	-	2,600.00	2,600.00
Betting premises (track)	No	2,167.00	-	2,167.00	2,167.00
Bingo premises	No	3,033.00	-	3,033.00	3,033.00
Casino premises (large)	No	8,667.00	-	8,667.00	8,667.00
Casino premises (regional)	No	13,000.00	-	13,000.00	13,000.00
Casino premises (small)	No	6,933.00	-	6,933.00	6,933.00
Family entertainment centre	No	1,733.00	-	1,733.00	1,733.00

## APPENDIX A

<u>PLANNING AND ENVIRONMENTAL SERVICES</u>	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
<b>Application Fee for Premises with Provisional Statement</b>					
Adult gaming centre	No	1,040.00	-	1,040.00	1,040.00
Betting premises (other)	No	1,040.00	-	1,040.00	1,040.00
Betting premises (track)	No	827.00	-	827.00	827.00
Bingo premises	No	1,040.00	-	1,040.00	1,040.00
Casino premises (large)	No	4,333.00	-	4,333.00	4,333.00
Casino premises (regional)	No	6,933.00	-	6,933.00	6,933.00
Casino premises (small)	No	2,600.00	-	2,600.00	2,600.00
Family entertainment centre	No	827.00	-	827.00	827.00
<b>Transfer / Reinstatement of Licence</b>					
Adult gaming centre	No	1,040.00	-	1,040.00	1,040.00
Betting premises (other)	No	1,040.00	-	1,040.00	1,040.00
Betting premises (track)	No	827.00	-	827.00	827.00
Bingo premises	No	1,040.00	-	1,040.00	1,040.00
Casino premises (converted)	No	1,171.00	-	1,171.00	1,171.00
Casino premises (large)	No	1,867.00	-	1,867.00	1,867.00
Casino premises (regional)	No	5,633.00	-	5,633.00	5,633.00
Casino premises (small)	No	1,560.00	-	1,560.00	1,560.00
Family entertainment centre	No	827.00	-	827.00	827.00
<b>Variation Fee</b>					
Adult gaming centre	No	867.00	-	867.00	867.00
Betting premises (other)	No	1,300.00	-	1,300.00	1,300.00
Betting premises (track)	No	1,087.00	-	1,087.00	1,087.00
Bingo premises	No	1,517.00	-	1,517.00	1,517.00
Casino premises (converted)	No	1,733.00	-	1,733.00	1,733.00
Casino premises (large)	No	6,500.00	-	6,500.00	6,500.00
Casino premises (regional)	No	6,500.00	-	6,500.00	6,500.00
Casino premises (small)	No	3,467.00	-	3,467.00	3,467.00
Family entertainment centre	No	867.00	-	867.00	867.00
<b>Other Gambling Act Licence Fees</b>					
Change of circumstance	No	42.00	-	42.00	42.00
Copy of licence	No	21.00	-	21.00	21.00
<b>LICENSING</b>					
<b>Animal Licensing</b>					
Animal boarding establishments	No	271.00	-	271.00	271.00
Animal home boarding - new application	No	271.00	-	271.00	271.00

# APPENDIX A

PLANNING AND ENVIRONMENTAL SERVICES		VAT	Charge	VAT	2019/20	2018/19
			£	£	£	£
<b>Hackney Carriage Licences</b>						
Driver licence (Hackney or Dual) - 3 yrs duration	No		212.00	-	212.00	212.00
Vehicle licence (excludes vehicles test) - 1 yr duration	No		230.00	-	230.00	230.00
Licence fee reduced for wheelchair accessible vehicles 25%						
<b>Town &amp; Police Clauses Act 1847</b>						
Street closures admin charge	Yes		59.17	11.83	71.00	71.00
+ Street closures press advert recovery of cost	Yes		Recovery of costs			
<b>Local Government Miscellaneous Provisions Act 1982</b>						
Sex establishment licence: application	No		2,565.00	-	2,565.00	2,565.00
renewal	No		513.00	-	513.00	513.00
variation	No		205.00	-	205.00	205.00
<b>Private Hire Licences</b>						
Driver licence (PH or Dual) - 3 yrs duration	No		212.00	-	212.00	212.00
Private hire operators licence (1 car) - 5yrs duration	No		213.00	-	213.00	213.00
Vehicle licence (excludes vehicles test) - 1 yr duration *	No		230.00	-	230.00	230.00
* Licence fee reduced for wheelchair accessible vehicles 25%						
<b>MOBILE HOMES ACT 2013</b>						
Application to transfer a site licence	No		315.00	-	315.00	315.00
Deposit of Site Rules	No		58.00	-	58.00	58.00
<b>Annual Fee</b>						
Band 1 (1-8 Pitches)	No		0.00	-	0.00	-
Band 2 (9-24 Pitches)	No		267.00	-	267.00	267.00
Band 3 (25-99 Pitches)	No		451.00	-	451.00	451.00
Band 4 (100-199 Pitches)	No		708.00	-	708.00	708.00
Band 5 (more than 200 Pitches)	No		911.00	-	911.00	911.00
<b>New Site Licence Application and renewals</b>						
Band 1 (1-8 Pitches)	No		596.00	-	596.00	596.00
Band 2 (9-24 Pitches)	No		683.00	-	683.00	683.00
Band 3 (25-99 Pitches)	No		946.00	-	946.00	946.00
Band 4 (100-199 Pitches)	No		1,140.00	-	1,140.00	1,140.00
Band 5 (more than 200 Pitches)	No		1,377.00	-	1,377.00	1,377.00
<b>Application to amend a site Licence fee</b>						
Band 1 (1-8 Pitches)	No		349.00	-	349.00	349.00
Band 2 (9-24 Pitches)	No		359.00	-	359.00	359.00
Band 3 (25-99 Pitches)	No		373.00	-	373.00	373.00
Band 4 (100-199 Pitches)	No		379.00	-	379.00	379.00
Band 5 (more than 200 Pitches)	No		402.00	-	402.00	402.00
<b>SCRAP METAL DEALERS LICENCES</b>						
Scrap metal dealers collectors licence (3yrs duration)	No		190.00	-	190.00	190.00
Scrap metal dealers collectors licence renewal (3yrs duration)	No		143.00	-	143.00	143.00
Scrap metal dealers site licence (3yrs duration)	No		315.00	-	315.00	315.00
Scrap metal dealers site licence renewal (3yrs duration)	No		258.00	-	258.00	258.00
Scrap metal dealers variation of a licence	No		52.00	-	52.00	52.00
Scrap metal dealers additional site	No		72.00	-	72.00	72.00
<b>ENVIRONMENTAL WASTE</b>						
<b>DOMESTIC REFUSE</b>						
Black sacks - per roll of 26	Yes		2.50	0.50	3.00	3.00
<b>PEST CONTROL - COMMERCIAL</b>						
Insects and rodents per hour (excluding materials)	Yes		100.83	20.17	121.00	121.00
Rodent contract work	By ne		By negotiation - minimum charge £100			
Treatment for squirrels	Yes		100.83	20.17	121.00	121.00
Treatment for moles	Yes		100.83	20.17	121.00	121.00

# APPENDIX A

PLANNING AND ENVIRONMENTAL SERVICES		VAT	Charge	VAT	2019/20	2018/19
			£	£	£	£
PEST CONTROL - DOMESTIC						
Call out charge	Yes		58.33	11.67	70.00	70.00
Ants (each property)	Yes		82.50	16.50	99.00	99.00
Bedbug infestation: 1-3 bed property	Yes		85.83	17.17	103.00	103.00
4-5 bed property	Yes		90.83	18.17	109.00	109.00
> 5 bed property			By negotiation			
Second call out within 6 weeks of initial treatment at 50% charge						
Bees	Yes		58.33	11.67	70.00	70.00
Brown-tailed moth			Based on hourly rate			
Fleas infestation: 1-3 bed property	Yes		85.83	17.17	103.00	103.00
4-5 bed property	Yes		90.83	18.17	109.00	109.00
> 5 bed property			By negotiation			
Second call out within 6 weeks of initial treatment at 50% charge						
Lice and cockroaches	Yes		58.33	11.67	70.00	70.00
Mice	Yes		58.33	11.67	70.00	70.00
Rats	Yes		58.33	11.67	70.00	70.00
Wasps nests	Yes		58.33	11.67	70.00	70.00
additional nest (treated at same time as first)	Yes		27.50	5.50	33.00	33.00
RECYCLING						
Green bins: standard annual fee	No		46.00	-	46.00	43.00
direct debit payers and internet payers annual fee	No		41.00	-	41.00	38.00
(standard fee: monthly pro rata for new customers)						
Purchase of Green Bin including Delivery	no		23.00	-	23.00	20.00
Green waste sacks (per sack)	No			-	Deleted	1.00
delivery / postage charge per bag if required (2nd class)	Yes				Deleted	0.70
REFUSE COLLECTION						
Household Bulky Waste - 1 to 3 items	No		30.00	-	30.00	27.00
Household Bulky Waste - 4 to 6 items	No		60.00	-	60.00	54.00
Household Bulky Waste - 7 to 9 items	No		90.00	-	90.00	81.00
Household Bulky Waste - 10 to 12 items (maximum)	No		120.00	-	120.00	108.00
Residential Homes Roadside Collection						
1100ltr bin or equivalent - annual charge	No		1,100.00	-	1,100.00	1,070.00
NEW PROPERTIES (6 or more properties)						
Cost per refuse / recycling container to developers including delivery (New Charge)	Yes		50.00	10.00	60.00	54.00
STRAY DOGS						
Stray dog destruction fee			Recovery of costs			
With Tag or Chip						
Administration fee	No		30.00	-	30.00	30.00
Collection fee statutory	No		25.00	-	25.00	25.00
Vets fees			Recovery of costs			
Without Tag or Chip						
Administration fee	No		35.00	-	35.00	35.00
Collection fee statutory	No		25.00	-	25.00	25.00
Vets fees			Recovery of costs			
STREET CLEANSING						
Return of abandoned trolleys	No		50.00	-	50.00	50.00

**CUSTOMERS AND COMMUNITY SERVICES**

	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
<b>CEMETERIES</b>					
Hire of bier	No	Deleted			22.00
Search in burial register	Yes	25.83	5.17	31.00	30.00
Use of chapel	No	133.00	-	133.00	128.00
Plot choosing: non-resident	no	106.00	-	106.00	103.00
resident	no	53.00	-	53.00	51.00
Collection of ashes	yes	35.00	7.00	42.00	41.00
<b>Bronze Memorial Plaques</b>					
Bench plaque: 8" x 2.5"	No	175.00	-	175.00	169.00
Plaque on plinth: 6" x 4"	Yes	338.33	67.67	406.00	393.00
6" x 4"	No	150.00	-	150.00	150.00
7" x 5"	No	168.00	-	168.00	163.00
<b>Charges for Right to Place Monument</b>					
Under 16 years	No	Free			-
Additional inscription	No	81.00	-	81.00	79.00
Full kerb set	No	218.00	-	218.00	211.00
Full kerb set & headstone up to 1m	No	320.00	-	320.00	309.00
Headstone up to 1m	No	139.00	-	139.00	135.00
Other memorials ( <i>cremated remains memorials</i> )	No	108.00	-	108.00	104.00
<b>Exclusive Right of Burial - Non Resident</b>					
All ages: 5 years	No	240.00	-	240.00	232.00
10 years	No	424.00	-	424.00	410.00
15 years	No	595.00	-	595.00	576.00
30 years	No	1,078.00	-	1,078.00	1,042.00
Ashes: 30 years	No	355.00	-	355.00	344.00
99 years	No	548.00	-	548.00	530.00
Ashes - woodland glades: 30 years	No	391.00	-	391.00	378.00
99 years	No	650.00	-	650.00	628.00
Traditional: 99 years	No	1,658.00	-	1,658.00	1,603.00
Transfer of exclusive rights of burial	No	36.00	-	36.00	34.00
Woodland glades ( <i>inc memorial tree</i> ): 30 years	No	1,300.00	-	1,300.00	1,257.00
99 years	No	1,931.00	-	1,931.00	1,867.00
<b>Exclusive Right of Burial - Resident</b>					
All ages: 5 years	No	120.00	-	120.00	116.00
10 years	No	210.00	-	210.00	203.00
15 years	No	296.00	-	296.00	286.00
30 years	No	539.00	-	539.00	522.00
Ashes: 30 years	No	178.00	-	178.00	172.00
99 years	No	275.00	-	275.00	266.00
Ashes - woodland glades: 30 years	No	195.00	-	195.00	188.00
99 years	No	324.00	-	324.00	314.00
Traditional: 99 years	No	829.00	-	829.00	802.00
Transfer of exclusive rights of burial	No	36.00	-	36.00	34.00
Woodland glades ( <i>inc memorial tree</i> ): 30 years	No	649.00	-	649.00	627.00
99 years	No	1,585.00	-	1,585.00	1,533.00
<b>Grave Digging</b>					
Under 16 years	No	Free			-
16 years and over - single depth	No	478.00	-	478.00	462.00
16 years and over - single depth Saturday	No	542.00	-	542.00	524.00
16 years and over - double depth	No	509.00	-	509.00	492.00
16 years and over - double depth Saturday	No	573.00	-	573.00	554.00
Ashes - single depth	No	93.00	-	93.00	90.00
Ashes - single depth Saturday	No	99.00	-	99.00	95.00
Ashes - double depth	No	99.00	-	99.00	95.00
Ashes - double depth Saturday	No	104.00	-	104.00	101.00
					-

**CUSTOMERS AND COMMUNITY SERVICES**

	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
<b>Interment - Non Resident</b>					-
Under 16 years	No	Free			-
16 years and over	No	1,006.00	-	1,006.00	973.00
Ashes	No	308.00	-	308.00	298.00
Ashes - woodland glades	No	376.00	-	376.00	363.00
Burial plot adjacent to path or end of row	No	457.00	-	457.00	442.00
Scattering of ashes: under 16 years	No	Free			-
16 years and over	No	159.00	-	159.00	154.00
Saturday 10.00 - noon only	No	608.00	-	608.00	588.00
					-
<b>Interment - Resident</b>					-
Under 16 years	No	Free			-
16 years and over	No	504.00	-	504.00	487.00
Ashes	No	155.00	-	155.00	150.00
Ashes - woodland glades	No	189.00	-	189.00	183.00
Burial plot adjacent to path or end of row	No	228.00	-	228.00	221.00
Saturday 10.00 - noon only	No	304.00	-	304.00	294.00
Scattering of ashes: under 16 years	No	Free			-
16 years and over	No	81.00	-	81.00	79.00
					-
<b>Memorialisation Scheme</b>					-
Memorial climber / shrub	No	Deleted			150.00
Memorial garden seat: Traditional	No	1,200.00	-	1,200.00	1,100.00
Rustic	No	950.00	-	950.00	900.00
Memorial tree including planting	No	200.00	-	200.00	200.00
					-
<b>Neat and Tidy Scheme</b>					-
Ashes (bed): 1 year	Yes	155.83	31.17	187.00	181.00
5 years	Yes	743.33	148.67	892.00	862.00
10 years	Yes	1,406.67	281.33	1,688.00	1,633.00
Lawn (headstone bed): 1 year	Yes	180.83	36.17	217.00	209.00
5 years	Yes	850.83	170.17	1,021.00	988.00
10 years	Yes	1,613.33	322.67	1,936.00	1,872.00
Lawn (full burial): 1 year	Yes	204.17	40.83	245.00	237.00
5 years	Yes	966.67	193.33	1,160.00	1,122.00
10 years	Yes	1,832.50	366.50	2,199.00	2,127.00
					-
<b>PARKS TEAM (New Charge)</b>					-
Parks Ground Maintenance Contracts - Charges based on enquiry					-
					-
<b>OFF STREET PARKING</b>					-
Vehicles that display up to date disabled persons badge		Free			-
					-
<b>OFF STREET PARKING</b>					-
					-
<b>Maldon District Council offices: Weekends</b>					-
Pay & display: Saturday (8am to 5pm) up to 1 hour	Yes	0.83	0.17	1.00	1.00
Saturday (8am to 5pm) 1 to 2 hours	Yes	1.08	0.22	1.30	1.30
Saturday (8am to 5pm) 2 to 3 hours	Yes	1.50	0.30	1.80	1.80
Saturday (8am to 5pm) 3 to 4 hours	Yes	2.00	0.40	2.40	2.40
Saturday (8am to 5pm) over 4 hours	Yes	3.33	0.67	4.00	4.00
Saturday Evening 5pm to 10pm	Yes	0.83	0.17	1.00	1.00
Sunday All Day	Yes	0.83	0.17	1.00	1.00
					-
<b>Butt Lane (Monday to Saturday - 8am to 5pm)</b>					-
Pay & display: up to 1 hour	Yes	0.83	0.17	1.00	1.00
1 to 2 hours	Yes	1.08	0.22	1.30	1.30
2 to 3 hours	Yes	1.50	0.30	1.80	1.80
3 to 4 hours	Yes	2.00	0.40	2.40	2.40
over 4 hours	Yes	3.33	0.67	4.00	4.00
Weekday & Saturday Evening (5pm to 10pm)	Yes	0.83	0.17	1.00	1.00
Sunday All Day	Yes	0.83	0.17	1.00	1.00
					-
Season ticket: annual	Yes	483.33	96.67	580.00	580.00
6 months	Yes	241.67	48.33	290.00	290.00
monthly	Yes	43.33	8.67	52.00	52.00

CUSTOMERS AND COMMUNITY SERVICES	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
Bulk purchases (Monday - Saturday): minimum 10 tickets		Discount of 5% Discount of 10% Discount of 15%			-
minimum 15 tickets					-
minimum 20 tickets					-
					-
<b>Friary Fields (Monday to Saturday - 8am to 5pm)</b>					-
Pay & display: up to 3 hours	Yes	1.50	0.30	1.80	1.80
3 to 4 hours	Yes	2.00	0.40	2.40	2.40
over 4 hours	Yes	3.33	0.67	4.00	4.00
Weekday & Saturday Evening (5pm to 10pm)	Yes	0.83	0.17	1.00	1.00
Sunday All Day	Yes	0.83	0.17	1.00	1.00
			-		-
Season ticket: annual	Yes	483.33	96.67	580.00	580.00
6 months	Yes	241.67	48.33	290.00	290.00
monthly	Yes	43.33	8.67	52.00	52.00
Bulk purchases (Monday - Saturday): minimum 10 tickets		Discount of 5% Discount of 10% Discount of 15% Discount of 50%			-
minimum 15 tickets					-
minimum 20 tickets					-
Public sector partners (Monday - Friday)					-
					-
<b>High St. East (Monday to Saturday - 8am to 5pm)</b>					-
Pay & display: up to 1 hour	Yes	0.83	0.17	1.00	1.00
1 to 2 hours	Yes	1.08	0.22	1.30	1.30
2 to 3 hours	Yes	1.50	0.30	1.80	1.80
3 to 4 hours	Yes	2.00	0.40	2.40	2.40
over 4 hours	Yes	3.33	0.67	4.00	4.00
Weekday & Saturday Evening (5pm to 10pm)	Yes	0.83	0.17	1.00	1.00
Sunday All Day	Yes	0.83	0.17	1.00	1.00
					-
Season ticket: annual	Yes	483.33	96.67	580.00	580.00
6 months	Yes	241.67	48.33	290.00	290.00
monthly	Yes	43.33	8.67	52.00	52.00
Bulk purchases (Monday - Saturday): minimum 10 tickets		Discount of 5% Discount of 10% Discount of 15% Discount of 50%			-
minimum 15 tickets					-
minimum 20 tickets					-
Public sector partners (Monday - Friday)					-
					-
<b>Hythe Quay</b>					-
Season ticket: annual	Yes	45.83	9.17	55.00	55.00
					-
<b>Maldon Promenade (Monday to Sunday - 8am to 8pm)</b>					-
Car: up to 1 hour	Yes	0.92	0.18	1.10	1.10
1 to 2 hours	Yes	1.83	0.37	2.20	2.20
2 to 4 hours	Yes	4.58	0.92	5.50	5.50
all day	Yes	5.83	1.17	7.00	7.00
Coach: up to 2 hours	Yes	5.50	1.10	6.60	6.60
over 2 hours	Yes	10.00	2.00	12.00	12.00
Coach park - coach / bus season tickets	Yes	166.67	33.33	200.00	200.00
Non residents season ticket	Yes	133.33	26.67	160.00	160.00
Residents season ticket	Yes	100.00	20.00	120.00	120.00
					-
<b>Market Site</b>					-
Season ticket: annual	Yes	533.33	106.67	640.00	640.00
6 months	Yes	266.67	53.33	320.00	320.00
monthly	Yes	47.50	9.50	57.00	57.00
					-
<b>Silver Street</b>					-
Season ticket: annual	Yes	483.33	96.67	580.00	580.00
6 months	Yes	241.67	48.33	290.00	290.00
monthly					-
Bulk purchases (Monday - Saturday): minimum 10 tickets		Pro rata charge Discount of 5% Discount of 10% Discount of 15%			-
minimum 15 tickets					-
minimum 20 tickets					-

CUSTOMERS AND COMMUNITY SERVICES	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
<b>White Horse Lane (Monday to Saturday - 8am to 5pm)</b>					-
Pay & display: up to 1 hour	Yes	0.83	0.17	1.00	1.00
1 to 2 hours	Yes	1.08	0.22	1.30	1.30
2 to 3 hours	Yes	1.50	0.30	1.80	1.80
3 to 4 hours	Yes	2.83	0.57	3.40	3.40
over 4 hours	Yes	6.67	1.33	8.00	8.00
<b>Weekday &amp; Saturday Evening (5pm to 10pm)</b>	Yes	0.83	0.17	1.00	1.00
					-
<b>White Horse Lane</b>	Yes				-
Maldon Schools permit	Yes	166.67	33.33	200.00	200.00
	Yes				-
<b>Town Centre Car Parks</b>					-
Residents season ticket (Monday 5pm-10pm All Day Sunday)	Yes	60.00	12.00	72.00	72.00
					-
<b>Events Car Parking - day ticket (New Charge)</b>					-
Charge to be set by MDC prior to event	Yes				-
					-
<b>EVENTS EQUIPMENT HIRE To Parish Councils and Voluntary Organisations</b>					-
<b>Delivery / Collection of Large Equipment</b>					-
Inner Zone (Maldon & Heybridge)	Yes		Deleted		28.00
Outer Zone (All Other Areas)	Yes		Deleted		50.00
					-
<b>Electricity Supply (Riverside &amp; Promenade Park)</b>					-
Charge per day	Yes	45.83	9.17	55.00	53.00
Deposit	No	48.00	-	48.00	46.00
					-
<b>Equipment - For Hire (with a £6 deposit chargeable)</b>					-
Microphone stand - per stand	Yes		Deleted		2.00
					-
<b>Equipment - For Hire (with a £10 deposit chargeable)</b>					-
Bunting lengths - per 100m	Yes		Deleted		6.00
Orange high visibility fencing lengths - per 50m length	Yes		Deleted		6.00
Orange rope lengths (25mm) - per 220m	Yes		Deleted		6.00
Road pins - per set of 10	Yes		Deleted		7.00
					-
<b>Equipment - For Hire (with a £24 deposit chargeable)</b>					-
Steward jacket - per 10 (minimum)	Yes		Deleted		7.00
					-
<b>Equipment - For Hire (with a £50 deposit chargeable)</b>					-
Collapsible plastic table	Yes		Deleted		7.00
Crowd control barrier - per panel	Yes		Deleted		3.00
Easy up*: 10' x 10' complete	Yes		Deleted		72.00
20' x 10' complete	Yes		Deleted		87.00
Heras fence panel - per panel	Yes		Deleted		3.00
Steel Framed folding chairs 25 chairs (minimum)	Yes		Deleted		37.00
50 chairs	Yes		Deleted		65.00
100 chairs	Yes		Deleted		116.00
125 chairs	Yes		Deleted		173.00
Crowd control and heras panels are available in limited quantities. Please contact us in advance of your event to discuss whether we can meet your requirements					-
					-
<b>Equipment - For Hire (with a £150 deposit chargeable)</b>					-
PA system (indoor use only) - per day	Yes		Deleted		44.00
Portable floodlighting / generator - per day	Yes		Deleted		72.00
Portable shower	Yes		Deleted		58.00
					-
<b>Equipment - For Sale Only</b>					-
Barrier tape - per 500m	Yes		Deleted		4.00
					-
<b>Events Trailer</b>	Yes		Deleted		102.00
					-
<b>Water Supply (Riverside &amp; Promenade Park)</b>					-
Charge per day	Yes	25.00	5.00	30.00	29.00
Deposit	No	55.00	-	55.00	53.00
					-
<b>Pop Up Marquee Hire</b>					-
<b>Peak Time (School Holidays/Bank Holidays/ Event Days)</b>					-
Day Hire	Yes		Deleted		185.00
Week Hire	Yes		Deleted		923.00



**CUSTOMERS AND COMMUNITY SERVICES**

	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
<b>Off Peak</b>					-
Day Hire	Yes		Deleted		123.00
Week Hire	Yes		Deleted		616.00
<b>Community / Charity</b>					-
Day Hire	Yes		Deleted		86.00
Week Hire	Yes		Deleted		431.00
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					
					-
<b>Beach Hut Hire - Promenade Park</b>					-
<b>Daily Charge</b>					-
High Season (July, August & school holidays in April, May & September)			Deleted		41.00
Mid-Season (April, May, June, September & school holidays in October & December)			Deleted		30.00
Low-Season (January, February, March, October, November & December)			Deleted		21.00
High-Season (April - September) - NEW CHARGE		35.00	7.00	42.00	n/a
Low-Season (October - March) - NEW CHARGE		25.00	5.00	30.00	n/a
A minimum charge of £10 (Inc. VAT) will apply for part days and later bookings					
					-
<b>Beach Hut Packages</b>					-
Gold Package - (Peak season beach hut hire, 2 all day splash park wristbands and all day car parking at Prom)		45.83	9.17	55.00	50.00
Silver Package - (Mid season beach hut hire, 2 all day splash park wristbands and all day car parking at Prom)			Deleted		40.00
					-
<b>FUNFAIRS AND CIRCUSES - Minimum of:</b>					-
Damage deposit	No	500.00	-	500.00	602.00
					-
<b>Circus at Promenade Park</b>					-
Daily ground rate (whilst circus is in operation)	No	150.00	-	150.00	144.00
Daily ground rate (whilst circus is not in operation)	No	75.00	-	75.00	72.00
					-
<b>Circus at Riverside Park</b>					-
Daily ground rate (whilst circus is in operation)	No	133.00	-	133.00	128.00
Daily ground rate (whilst circus is not in operation)	No	69.00	-	69.00	67.00
					-
<b>Funfair at Riverside Park</b>					-
Daily ground rate (whilst fair is in operation)	No	365.00	-	365.00	351.00
Daily ground rate (whilst fair is not in operation)	No	185.00	-	185.00	179.00
					-
<b>Travelling Funfair at Promenade Park</b>					-
Daily ground rate (whilst fair is in operation)	No	475.00	-	475.00	460.00
Daily ground rate (whilst fair is not in operation)	No	191.00	-	191.00	185.00
					-
<b>PARKS AND OPEN SPACES</b>					-
<b>Memorial Benches</b>					-
Rustic bench	No	1,200.00	-	1,200.00	627.00
Cast iron bench	No	1,220.00	-	1,220.00	1,180.00
Disabled access picnic table	No		Deleted		1,492.00
					-
<b>Advertising and Sponsorship</b>					-
Events Banners per week (main gate entrances on railings x2 + free electronic advert)	Yes	26.67	5.33	32.00	31.00
Events Banners per week (community / charity)	Yes	15.83	3.17	19.00	18.00
Electronic Advert (per day minimum 1 week)	Yes	0.83	0.17	1.00	1.00
Internal park adverts (per week)	Yes	15.83	3.17	19.00	18.00
Vehicle advertising (per day)	Yes	105.83	21.17	127.00	123.00
Sponsorship	Yes		By negotiation		-
					-
<b>Prom Park hire for Concessions (New Charge)</b>					-
Prices on enquiry					-
					-
<b>Council owned Land Hire for Concessions</b>					-
<b>Peak Time (School Holidays/Bank Holidays/ Event Days)</b>					-
Small (Single Operator)	No	53.00	-	53.00	51.00
Medium (Team of 2 - 5 Operators)	No	153.00	-	153.00	148.00
Large (Team of 5+ Operators)	No	229.00	-	229.00	222.00
Charitable Concession				Free	Free
<b>Off Peak Time</b>					-
Small (Single Operator)	No	36.00	-	36.00	35.00
Medium (Team of 2 - 5 Operators)	No	85.00	-	85.00	82.00
Large (Team of 5+ Operators)	No	153.00	-	153.00	148.00
Charitable Concession				Free	Free

CUSTOMERS AND COMMUNITY SERVICES		VAT	Charge	VAT	2019/20	2018/19
			£	£	£	£
<b>Pop Up Trading</b>						-
<b>Peak Time</b> ( <i>School Holidays/Bank Holidays/ Event Days</i> )						-
Market Stall (Frame with Canopy)	No		54.00	-	54.00	52.00
Wheelie Cart	No		48.00	-	48.00	46.00
Wheelie Cart including Fridge	No		53.00	-	53.00	51.00
Electricity	Yes		10.83	2.17	13.00	13.00
<b>Off Peak Time</b>						-
Market Stall (Frame with Canopy)	No		43.00	-	43.00	42.00
Wheelie Cart	No		38.00	-	38.00	37.00
Wheelie Cart including Fridge	No		43.00	-	43.00	42.00
Electricity	Yes		10.83	2.17	13.00	13.00
<b>ROUNDBOUT SPONSORSHIP</b> ( <i>New Charge</i> )						-
1 Year agreement - Maldon Town site	Yes		3,333.33	666.67	4,000.00	-
1 Year agreement - Other district site	Yes		2,916.67	583.33	3,500.00	-
3 Year agreement - Maldon Town site	Yes		8,333.33	1,666.67	10,000.00	-
3 Year agreement - Other district site	Yes		7,083.33	1,416.67	8,500.00	-
Landscaping scheme (minimum 5 years)	Yes		416.67	83.33	500.00	-
1 Year Boundary sign Agreement	Yes		2,083.33	416.67	2,500.00	-
<b>PARKS AND SPORTS PITCHES</b>						-
<b>Cricket</b> (per game)						-
Adult	Yes		69.17	13.83	83.00	81.00
Junior	Yes		40.83	8.17	49.00	47.00
Sports pitch use - parking season ticket (per club)	Yes		100.83	20.17	121.00	117.00
<b>Football</b> (per game)						-
Adult	Yes		43.33	8.67	52.00	50.00
Junior	Yes		32.50	6.50	39.00	38.00
Changing rooms (only)	Yes		11.67	2.33	14.00	14.00
Sports pitch use - parking season ticket (per team)	Yes		100.83	20.17	121.00	117.00
Sports club training / structured activities ( <i>New Charge</i> )			8.33	1.67	10.00	10.00
<b>Mini Soccer</b>						-
Juniors	Yes		25.83	5.17	31.00	30.00
<b>Netball</b> (per court, per hour)						-
Adult	Yes		10.00	2.00	12.00	12.00
Junior	Yes		7.50	1.50	9.00	8.00
<b>Tennis</b> (per court, per hour)						-
Adult	Yes		7.50	1.50	9.00	8.00
Junior	Yes		5.00	1.00	6.00	6.00
Member of Maldon Tennis Club			Discount of 50%			-
<b>Organised Bootcamps / Personal Training in Council-owned Parks</b>						-
Hourly	Yes		8.33	1.67	10.00	10.00
Monthly Charge - 5 hours per week	Yes		166.67	33.33	200.00	193.00
Monthly Charge - 10 hours per week	Yes		310.00	62.00	372.00	359.00
Information Hut Hire per hour			Deleted			10.00
<b>RIVERS</b>						-
<b>Moorings</b>						-
Annual charge: up to 7.99 metres	Yes		116.67	23.33	140.00	140.00
8 to 9.99 metres	Yes		191.67	38.33	230.00	230.00
10 to 14.99 metres	Yes		266.67	53.33	320.00	320.00
15 metres and above	Yes		341.67	68.33	410.00	410.00
Mooring registration fee	Yes		104.17	20.83	125.00	125.00
Transfer of mooring			50% of annual mooring fee			-
<b>Residential Mooring Charges</b>						-
up to 9.99 metres ( <i>per month</i> )			102.50	20.50	123.00	123.00
10 to 14.99 metres ( <i>per month</i> )			154.17	30.83	185.00	185.00
15 metres and above ( <i>per month</i> )			205.00	41.00	246.00	246.00
						-

**CUSTOMERS AND COMMUNITY SERVICES**

	VAT	Charge	VAT	2019/20	2018/19
		£	£	£	£
<b>Wharfage - Hythe Quay Maldon and Burnham Pontoon</b>					-
Daily fees: vessels and multihulls	Yes	17.50	3.50	21.00	21.00
Quarterly fees: vessels of 8 metres and over or multihulls *	Yes	812.50	162.50	975.00	975.00
240/32 Amp Supply - Daily Charge (Maldon)	yes	3.33	0.67	4.00	4.00
Static Events on vessels using the Hythe Quay / Burnham (Daily charge)	Yes	100.00	20.00	120.00	120.00
Exclusive use of visitor pontoons Maldon / Burnham (Daily charge)	Yes	100.00	20.00	120.00	120.00
Visitor Pontoon - Weekly Winter charge Oct - April (Maldon)	yes	41.67	8.33	50.00	50.00
					-
<b>Commercial team (New Charges)</b>					
Box Office services - commission rate to be set at 10% unless agreed by MDC					
Commercial Services Marketing - Price on enquiry					
<b>SPLASH PARK</b>					-
Private bookings (per hour)	Yes	175.00	35.00	210.00	210.00
Private bookings (per half hour)	Yes	108.33	21.67	130.00	130.00
Single use ticket	Yes	2.08	0.42	2.50	2.50
Towels	Yes	4.17	0.83	5.00	5.00
T-Shirts	Yes	4.17	0.83	5.00	5.00
Swim Nappies	no	1.00	-	1.00	1.00
Bottled Water	yes	0.50	0.10	0.60	0.50
Gold Splash park all day wrist band ticket	Yes	10.42	2.08	12.50	12.00

# APPENDIX A

	Charge £	VAT £	2018/19 £	2019/20 £
<b>PLANNING SERVICES</b>				
<b>BUILDING CONTROL</b>				
New dwellings	See attached - table A See attached - table B See attached - table C			
Work to a single dwelling				
All other non-domestic work				
<b>DEVELOPMENT CONTROL</b>				
<b>Designs and Patents Act 1989</b>				
<b>Ordnance Survey Maps</b>				
<b>Other Development Control</b>				
<b>Street Naming and Numbering</b>				
Adding / removing a name	0.00	-	0.00	0.00
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	0.00	-	0.00	0.00
* numbers include dwellings within developments with new streets				
** number of new street names only				
<b>LAND CHARGES</b>				
<i>Premises exempt as per legislation: church halls, village halls &amp; non-commercial venues</i>				
<i>CON29 (part 1): standard fee</i>	120.83	24.17	145.00	145.00
<i>additional fee for non-residential searches</i>	21.67	4.33	26.00	26.00
<i>LLC1</i>	22.00	-	22.00	22.00
<i>additional fee for non-residential searches</i>	32.50	6.50	39.00	39.00
<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	26.00
<i>Additional enquiry</i>	31.00	6.20	38.00	38.00
<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
<b>Personal Searches</b>				
<i>CON29R standard enquiry (when viewed in person)</i>	Free			Free
<i>Local land charges register (in person): print out</i>	Free			Free
<i>view</i>	Free			Free
<i>Local land charges LLC1 certificated</i>	22.00	-	22.00	22.00

## Planning Services Pre-Application Fees and Charges 2019/20

	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.	87.50	17.50	105.00
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.	167.50	33.50	201.00
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	87.50	17.50	105.00
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	167.50	33.50	201.00
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	221.67	44.33	266.00
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	499.17	99.83	599.00
Medium development (Written advice)	Includes proposals for:  5-9 residential units or gross external floorspace of 500-999m2	332.50	66.50	399.00
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	554.17	110.83	665.00
Major development (Written advice)	Includes proposals for: 10-20 residential units Non-residential development with a gross external floorspace over 1,000m2	554.17 (Plus additional £21 +VAT per dwelling to a maximum of 74 dwellings)	110.83	665.00

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	1,109.17	221.83	1,331.00
(Plus additional £21 +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.	65.83	13.17	79.00
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.	221.67	44.33	266.00
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.	540.83	108.17	649.00
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.	167.50	33.50	201.00
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.	487.50	97.50	585.00
Minor Tree advice (Tree within a conservation area only) (Written advice)	Includes proposals for: Works to 1-4 individually listed trees	65.83	13.17	79.00

## APPENDIX A

Minor Tree advice (TPOs only) (Written advice)	Includes proposals for: Works to 1-4 individually listed trees Replacement of 1-4 individually listed trees	87.50	17.50	105.00
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	221.67	44.33	266.00
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	444.17	88.83	533.00
Inspection of compliance with Enforcement Notice	Written confirmation that an enforcement notice has been complied with.	221.67	44.33	266.00
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	167.50	33.50	201.00
Compliance with S.106 Agreement requests	Written confirmation that all/some S.106 obligations have been agreed  per obligation	110.83	22.17	133.00
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	167.50	33.50	201.00

\*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 300m<sup>2</sup>

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 <b>not</b> be issued by a Part P registered electrician)	Net	This charge relates to a first fix pre-plaster inspection and final testing on completion. For Regularisation application a full appraisal and testing will be carried out.		201.00	255.00
		VAT			40.20	-
		Total			241.20	255.00

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



## PLANNING SERVICES

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

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

Code	Extension & New Build		Full Plans		Full Plans - Multiple work reductions only **		Building Notice Charge *	Multiple work reductions only Building Notice Charge * at 50% reduced rate **	Regularisation Charge *
			Plan Charge	Inspection Charge *	Plan Charge at 50% reduced rate**	Inspection Charge * at 50% reduced rate **			
D01a	Separate single storey extension with floor area not exceeding 10m²	Net	96.00	96.00	48.00	48.00	211.00	106.00	268.00
New charge		VAT	19.20	19.20	9.60	9.60	42.20	21.20	-
		Total	115.20	115.20	57.60	57.60	253.20	127.20	268.00
D01	Separate single storey extension with floor area exceeding 10m² but not exceeding 40m²	Net	192.00	383.00	96.00	192.00	632.00	316.00	805.00
		VAT	38.40	76.60	19.20	38.40	126.40	63.20	-
		Total	230.40	459.60	115.20	230.40	758.40	379.20	805.00
D02	Separate single storey extension with floor area exceeding 40m² but not exceeding 100m²	Net	192.00	479.00	96.00	240.00	738.00	369.00	939.00
		VAT	38.40	95.80	19.20	48.00	147.60	73.80	-
		Total	230.40	574.80	115.20	288.00	885.60	442.80	939.00
D03	Separate extension with some part 2 or 3 storeys in height and a total floor area not exceeding 40m²	Net	192.00	431.00	96.00	216.00	685.00	343.00	872.00
		VAT	38.40	86.20	19.20	43.20	137.00	68.60	-
		Total	230.40	517.20	115.20	259.20	822.00	411.60	872.00
D04	Separate extension with some part 2 or 3 storeys in height and a total floor area exceeding 40m² but not ex 100m²	Net	192.00	575.00	96.00	288.00	843.00	422.00	1,073.00
		VAT	38.40	115.00	19.20	57.60	168.60	84.40	-
		Total	230.40	690.00	115.20	345.60	1,011.60	506.40	1,073.00
D05	A building or extension comprising SOLELY of a garage, carport or store - total floor area not exceeding 100m²	Net	192.00	192.00	96.00	96.00	421.00	211.00	536.00
		VAT	38.40	38.40	19.20	19.20	84.20	42.20	-
		Total	230.40	230.40	115.20	115.20	505.20	253.20	536.00
D06	Detached non-habitable domestic building with total floor area not exceeding 50m²	Net	192.00	287.00	96.00	144.00	527.00	264.00	670.00
		VAT	38.40	57.40	19.20	28.80	105.40	52.80	-
		Total	230.40	344.40	115.20	172.80	632.40	316.80	670.00
<b>Conversions</b>									
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
<b>Alterations (including underpinning)</b>									
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
<b>Notifiable Electrical work (in addition to the above, where applicable)</b>									
D14	(Where a satisfactory certificate will not be issued by a Part P registered electrician)	Net	This charge relates to a first fix pre-plaster inspection and final testing on completion. For Regularisation application a full appraisal and testing will be carried out.				201.00	n/a	255.00
		VAT					40.20	n/a	-
		Total					241.20	n/a	255.00

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

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

## PLANNING SERVICES

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

Limited to work 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

Committee	Directorate	Policy Area	Current Policy	Existing Concessions	Proposed Policy for 2019/20
Comm	Customers & Community	Chargeable Household Waste Collection	Charges made for residential homes, with limited collections from villages halls equivalent to domestic property. Charges based on cost recovery for additional collections	Free to Village Halls. Signpost Clinical Waste Collection	Retain existing policy. <b>Concession change</b> Free Clinical Waste Collection.

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## **REPORT of DIRECTOR OF RESOURCES**

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**to  
FINANCE AND CORPORATE SERVICES COMMITTEE  
29 JANUARY 2019**

### **REVISED 2018 / 19 ESTIMATES, ORIGINAL 2019 / 20 BUDGET ESTIMATES AND COUNCIL TAX 2019 / 20**

#### **1. PURPOSE OF THE REPORT**

- 1.1 To note the Provisional Local Government Finance Settlement announced by the government on 13 December 2018.
- 1.2 To present to the Committee the revised 2018 / 19 and original 2019 / 20 General Fund Revenue Budget estimates for approval and recommendation to the Council on 14 February 2019.
- 1.3 To present the proposed level of Council Tax increase for 2019 / 20 for recommendation to the Council on 14 February 2019.
- 1.4 To present for approval and recommendation to the Council on 14 February 2019 the policy on use of Reserves.

#### **2. RECOMMENDATIONS**

(i) That the following be approved:

- (a) that the Committee notes the main details of the Provisional Local Government Finance Settlement 2019 / 20 described in section 3.4 of the report;

To the Council:

(ii) that the following be approved:

- (a) the Summary Revised 2018 / 19 and Original 2019 / 20 General Fund Revenue Budget Estimates (**APPENDICES 1, 2 and 3**)
- (b) an average Band D council tax of £197.40 (excluding parish precepts) (2.3% increase) for 2019 / 20 (**APPENDIX 1A**);
- (c) policies on the designated use of financial reserves (**APPENDIX 5**);
- (d) a retain the minimum general fund working balance at £2,600,000 for 2019 / 20;

- (iii) that the Council gives due regard to the Director of Resources statement on the robustness of budgets and adequacy of reserves in **APPENDIX 7**.

### 3. SUMMARY OF KEY ISSUES

- 3.1 The Council no longer receives central grant funding from central government meaning the demands on some of its services and increasing inflation are now fully funded from income raised directly by the Authority. The two main sources of income are from Council Tax and Business Rates.
- 3.2 The requirement to set a balanced budget has required stringent processes to deliver efficiencies, preserve as far as possible front line services, retain the ability to generate income and to recognise the increasing demand for services in these difficult times.
- 3.3 It should be noted, that at the time of writing this report, the National Non Domestic Rates Return for 2019/20 was not yet available, therefore the funding figures from Business Rates are likely to change, which will affect the contributions to/from balances.

#### 3.4 Provisional Local Government Finance Settlement 2019 / 20

- 3.4.1 The provisional 2019 / 20 local government finance settlement was announced on 13 December 2018.

	2015 / 16 Adjusted	2016 / 17	2017 / 18	2018 / 19	2019 / 20
	£m	£m	£m	£m	£m
<b>Settlement Funding Assessment – Maldon</b>	2.447	1.964	1.601	1.406	1.174
Annual % Change		-19.7%	-18.5%	-16.5%	-20.4%
Cumulative % Change		-19.7%	-34.6%	-42.5%	-52.0%

- 3.4.2 The Council agreed to take up the offer in the 2016 / 17 Settlement for the opportunity for councils to accept a multi-year settlement offer, which would give greater certainty of funding until the end of the Parliament. This is the final years of the agreed settlement. The offer included:
- Revenue Support Grant;
  - Business rates tariff and top up payments, which will not change for reasons relating to the relative needs of local authorities;
  - Rural Services Delivery Grant; and
  - Transition Grant.
- 3.4.3 For 2019 / 20, Central Government Funding is now limited to us keeping an element of Business Rates income. Revenue Support Grant is no longer received and there is no transition Grant. The Autumn budget statement announced that the intended negative RSG payment for 2019 / 20 would be removed, however there is still uncertainty over whether this will be required in the future.

- 3.4.4 The New Homes Bonus (NHB) Scheme was introduced in 2011 / 12 to encourage local authorities to facilitate housing growth. For every additional property built or brought back into use, the government match funds the additional council tax, with an additional amount for affordable homes. There have been no changes proposed to the scheme for 2019/20.
- 3.4.5 The 2018/19 Medium Term Financial Strategy (MTFS) removed non-legacy New Homes Bonus from the central budget. Legacy payments are payable for four years, therefore the income will reduce to zero over the next three years. The reduction in 2019/20 is £61,000.

### **3.5 Revised General Fund Revenue Budget Estimates 2018 / 19**

- 3.5.1 The Quarter Two (Q2) budgetary outturn report taken to the Finance and Corporate Services Committee (F&CS) on 27 November 2018 reported a significant underspend in salary budgets, this is the result of the Future Model implementation and recruitment freeze currently in place. Other large variances to the original 2018 / 19 budget relate to a reduction in recyclables income of £90,000 due to a drop in market price and additional income of £47,000 in the revised estimates relating to additional garden waste subscriptions.
- 3.5.2 The Authority continue to receive additional income from growth in Local Business Rates and pooling arrangements within the Essex Region Business Rates Pool. For 2017 / 18, the Authority's benefit from being included within the pool was £132,000.
- 3.5.3 There have been Revenue Supplementary Estimates of £24,500 agreed during the year, these have been built into the core budget.
- 3.5.4 The revised budget includes the Future Model Implementation Costs of £1.375m and the corresponding use of reserves to fund these changes.

### **3.6 General Fund Revenue Budget Estimates 2019 / 20**

- 3.6.1 The proposed 2019/20 net operating budget after adjusting for statutory adjustments, but before any non-service specific funding and use of reserves totals £7.884m and is therefore £0.067m (1%) lower than 2018/19 (£7.951m). The budget includes the second years implementation costs of £774,000, and £733,000 of savings for the year. There is also growth increase for inflation of £394,000, this is a 2% increase on pay budgets, and 3.4% and 2.5% for RPI and CPI indexed expenditure. It is projected that in 2019 / 20, there will be a contribution to General Fund balances of £291,000, this is due to additional savings being identified in the Future Model project that will then be added to reserves to reduce the future need to find savings. There is also a net £200,000 contribution to earmarked reserves, made up of the transformation reserve funding of the project costs, and the budgeted pension contribution to reserves for the forward funding payment in 2020/21. The Council Tax increase is considered in section 3.10.7. Proposals for the usage of earmarked reserves are discussed in more detail in Section 3.11.

3.6.2 2019 / 20 Budgets have initially been built up as follows:

- Zero based budget;
- Inflation assumptions on existing contracts, (2% for pay), contractual inflation on goods and services based upon Consumer Price Index (CPI) or Retail Price Index (RPI) dependent of terms within contracts;
- Modifications to fee and grant income;
- Implications of statutory and contractual changes;
- Growth, as discussed later in this report.
- Savings as identified for the Future Model (see paragraph 3.7.4)

3.6.3 The MTFS includes a payroll inflationary increase of 2% for 2019/20. In line with the national agreement that the Finance and Corporate Services Committee agreed to implement on 30 January 2018. It is intended that the Council will continue to apply the UK Living Wage which ensures that lower scale points are brought up to a national standard.

### 3.7 **Budget Growth, Savings and Income Generation in 2019 / 20**

3.7.1 The programme committees considered reports on the budget growth for 2019 / 20 in the previous cycle of meetings. These proposals have all been built into the core budget, and the proposals are at **APPENDIX 4**. If Members decide to not approve any of these proposals, then the bids will be removed from the budget, and the equivalent budget requirement will go back into Earmarked balances to be used against the Pension Deficit requirement in 2020 / 21.

3.7.2 Furthermore, the Finance and Corporate Services Committee on 27 November 2018 agreed non-recurring growth in 2019 / 20 in relation to repairs and renewals of Council assets which would not form part of the capital programme; this totals £108,000 and will be funded from a draw down from the Repairs and Renewals reserve.

3.7.3 At this meeting for the 2018 / 19 budget settlement, the future of the Local Council Tax Sharing Agreement was raised as a risk as was due to be ending. It has been agreed that there will be a reduction in the 16p benefit, to 14p and then 12p. For 2018 / 19 and 2019 / 20 this is a cumulative loss of £70,000. There will be a further reduction of £33,000 in 2020 / 21.

3.7.4 The future model implementation requires £725,000 of savings that are required in 2019/20. This is made up of salary savings that will be achieved through the future model, and non-staff efficiencies, strategy based reductions and commercial profit from organisation based proposals. Where these are already identified and do not require any further decisions, then the savings / income are shown in the relevant budget line. The balance will be subject to future approval / decision making, and has been included as a central saving.



### 3.8 Essex Region Business Rates Pool

- 3.8.1 As agreed by the Council in October 2015, the Council joined the Essex Region Business Rates Pool in April 2016. The Pool will continue to operate in 2019 / 20, and the Council will continue to benefit by being in the Pool.

### 3.9 Interest on Investments

- 3.9.1 Interest from investment income is an integral part of the budget considerations. Bank of England base rate increased in March 2018 to 0.75%. The MTFS includes an estimates investment return of 1.6% compared to an actual investment return in 2017 / 18 of 1.41%.

### 3.10 Council Tax

- 3.10.1 The Council's net expenditure budget (excluding parish precepts but after service specific funding and contribution from reserves) for 2019 / 20 is £7,930,000 (**APPENDIX 1**).
- 3.10.2 The tax base to be used for setting the 2019 / 20 Council Tax was agreed by the Council at its meeting on 20 December 2018. The tax base consists of 24,536.1 "Band D equivalent" properties, after allowing for a non-collection rate of 1.7%. This tax base is now fixed for the purposes of setting the 2019 / 20 Council Tax.
- 3.10.3 In terms of the Collection Fund projection, Maldon District Council's share of the net surplus, which is used to reduce our Council Tax, is £290,000, comprised of a surplus distribution on Council Tax of £148,000 and a surplus distribution on Business Rates of £142,000.
- 3.10.4 The income raised from Council Tax (excluding parish precepts) required from council taxpayers in 2019/20 for Council services is summarised below:

	<b>2.3%</b>
	<b>£</b>
Maldon District Council Net budget to be Funded	7,930,358
Local Business Rates Retention	-2,938,961
Council Tax Collection Fund Adjustment	-148,000
Maldon District Council Council Tax Requirement	<b>4,843,397</b>

- 3.10.5 In accordance with the legislation under the Local Government Finance Act 1992, all parish precepts must be charged to the Council's General Fund. At the time of writing this report not all parish precepts had been received. It is envisaged that all the parish precepts will be reported at the Council meeting on 14 February 2019 for Council Tax setting purposes.
- 3.10.6 The Council Tax referendum threshold set by the Secretary of State for 2019 / 20 was announced as part of the Provisional Settlement; and for Maldon, the threshold has been set at 3% increase over 2018 / 19 or £5 whichever is the greater. Any Council proposing increases more than the threshold faces the substantial cost of conducting a local referendum and if it results in a 'No' vote, the rebilling cost as well.

### 3.10.7 Council Tax 2.3% increase

3.10.7.1 The Budget estimates have been constructed on the basis that the Council is proposing to increase council tax by £4.43 (2.3%). This represents a prudent approach having regard to the balance of the risks and opportunities facing the Council in future years with subsequent increases to be reviewed each year in the light of emerging risks. The budget for 2019 / 20 is balanced, and the MTFS shows that whilst savings are required in 2021 / 22, the budget is balanced over the medium term. There are several uncertainties still facing local government finance. There is currently a £330,000 contribution towards negative Revenue Support Grant that is included in the budget, this was removed for 2019 / 20, but is being reviewed for future years. The five year settlement funding agreement also ends in 2019 / 20, therefore the new funding arrangement will impact on the Authority and whilst it is anticipated that the impact will not be favourable, there is not yet any indication of what this may be. The Business Rates retention system will also be changing, which will allow Authorities to retain 75% of rates collected, however this will be delivered with a resetting of the baseline, which will remove the growth currently achieved.

3.10.7.2 Council Tax increases become part of the base of the MTFS income for future years. Paragraph 3.11.3 below shows that over the duration of the MTFS, the budget is balanced. The proposed increase in Council Tax generates an additional £109,000 of income compared to 2018 / 19. If the increase were not approved for 2019 / 20 then the gap in future years widens and any necessary Council Tax increase would then be greater.

### 3.11 **General Fund Balance and Revenue Reserves**

3.11.1 Detailed policy information for each earmarked revenue reserve and anticipated balances is set out in **APPENDIX 5**.

3.11.2 Based on the latest risk assessment it is considered that the Council retains the approved minimum working balance level at £2.6m, this will be regularly reviewed in light of changing circumstances.

3.11.3 At **APPENDIX 6** the latest MTFS including a 2.3% increase shows a balanced budget for 2019 / 20 and 2020 / 21. There is a gap of £75,000 in 2021 / 22, however this could be met from reserves, as currently 2022 / 23 is showing a contribution to reserves. Overall the budget is showing a deficit of £5,000.

- 3.11.4 A summary of the proposed use of reserves is summarised in the table below and is based on a budget projection that includes aspects such as inflation and a number of priority and statutory growth pressures offset by savings identified. The overall aim is to ensure that reserves do not fall below £2.6m and the current projections keep within this target.

<b>Balances Movement (taking into account known movements in 2018 / 19 budget)</b>	<b>2018 / 19</b>	<b>2019 / 20</b>
	<b>£000</b>	<b>£000</b>
Balance brought forward		
General Fund Reserves	3,225	2,659
Earmarked Reserves	3,491	2,011
<b>Total</b>	<b>6,716</b>	<b>4,670</b>
Projected Movement		
General Fund Reserves	-568	291
Earmarked Reserves	-1,480	200
<b>Total</b>	<b>-2,046</b>	<b>491</b>
Balance carried forward		
General Fund Reserves	2,659	2,950
Earmarked Reserves	2,011	2,211
<b>Total</b>	<b>4,670</b>	<b>5,161</b>

### 3.12 View on Risks

- 3.12.1 Risks to the Council's financial position could derive potentially from budget overspend, loss of investment income, contractual / legislative failure, shortfall in forecast business rates growth or challenge and emergency events. Historically, the Council's outturn has been within budget and investment income has been above budget; therefore, this is not seen as a high risk to the Council and it is not necessary to make additional significant provision. However, robust budget management, monitoring and reporting will be a key discipline for all budget managers and ensuring that income levels included in the budget are achieved, will be a key focus.
- 3.12.2 The level of risk posed by contractual or legislative failure and emergency events is difficult to predict, but it would be a low probability with a potentially high impact. However, it is not appropriate to set aside large amounts of reserve against the possibility of this happening and that appropriate bond / Parent Company Guarantee have been built into large contracts.
- 3.12.3 It is important to recognise that with the introduction of the Business Rates Retention, there is a considerable degree of uncertainty in the forecast for business rates growth as much of it depends on external factors including the impact of successful appeals. The Council's own economic development policies can have an impact on business rates growth and therefore it is important that the planning services, economic development services and the business rates service have a co-ordinated approach to inward investment policies. It is important to ensure a high level of growth in the District, as any empty properties create a risk on the level of Business Rates income the Authority will receive.

- 3.12.4 The date for Brexit is due to be 29 March 2019. At the time of writing this report, there is still large uncertainty over what, if anything will be the fallout from this, and therefore this is a high-risk area until such time that a deal is made. Officers will continue to monitor to ensure that any developments are picked up as soon as possible.
- 3.12.5 In setting budgets and projections for individual years, it is important that the Council is not reliant on the use of reserves to support revenue expenditure thus creating an unsustainable future. To achieve this, it is important to note the requirement to meet the budget gap savings identified in the MTFS for future years.
- 3.12.6 Section 25 of the 2003 Local Government Act requires the Director of Resources to make a formal report to the Council on the robustness of the budget and adequacy of reserves (**APPENDIX 7**).

## **4. CONCLUSIONS**

- 4.1 After including all items within the financial projections, general fund and earmarked reserves at the start of 2019 / 20 are expected to be £4.670m with all known movements considered. The government has set the referendum threshold for the increase in the average band D council tax in 2019 / 20 for district councils at 3% or £5 whichever is the greater. Due to the unknown impact of future changes to Local Government financing, it is proposed that the Council should take the opportunity to increase its financial base by increasing the average band D council tax
- 4.2 The Local Government Finance Settlement Statement by the Secretary of State gave an aim for Local Government to be retaining 75% of Business Rates from 2020. As yet nothing relating to any new Business Rates scheme has been factored into the MTFS.

## **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** – The budget process ensures that changes in service delivery resulting in budget changes are reviewed by Officers and Members so that any impact can be considered. In 2019 / 20, only essential budget growth has been considered.
- (ii) **Impact on Equalities** – The budget affects all residents in the District, it is not considered that the growth bids for 2019 / 20 individually impact negatively on an individual user group.
- (iii) **Impact on Risk** – The distribution of resources reflected in the revenue and capital budgets is designed to support the Authority’s approach to risk

management (i.e. to reduce all major corporate risks to a level within approved tolerances through the implementation of approved mitigation plans).

- (iv) **Impact on Resources (financial)** – This report details the impact on financial resources.
- (v) **Impact on Resources (human)** –The budget includes a pay inflationary increase.
- (vi) **Impact on the Environment** – None directly.

Background papers: None.

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

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REVENUE ESTIMATES SUMMARY 2018/19					
		Actual	Original	Revised	Original
		2017/18	2018/19	2018/19	2019/20
Directorates		£000	£000	£000	£000
	Chief Executive		1,045	2,706	533
	Resources		2,770	3,125	3,708
	Customer & Communities		3,525	3,963	2,098
	Planning & Licensing		2,175	2,241	322
	Service Delivery				3,000
	Strategy Performance and Governance				1,037
Net Cost of Services		0	9,514	12,035	10,699
	Interest on Investments		(228)	(270)	(224)
	Pension Interest Cost/Expected rtn on Assets(net)		836	842	842
Net Operating Expenditure		0	10,122	12,608	11,317
Appropriations & Adjustments					
	Statutory Adjustments		(2,171)	(3,192)	(3,433)
	Govt Direct Grants				
	- New Homes Bonus		(446)	(475)	(414)
	- Other Direct Grants		(9)	(30)	(31)
	Business Rates Renewable Energy		(704)	(432)	see below
	Levy Redistribution		see below		0
	To/(From) Earmarked Revenue Reserves		228	(1,509)	200
	To/(From) Balances		0	50	291
Expenditure to be Funded		0	7,020	7,020	7,930
		2018/2019		2019/2020	
	Property Tax Base (Band D equivalent)	24,193.2		24,536.1	
		2018/2019		2019/2020	
	Council Tax Charges	Charge @	Total	Charge @	Total
		Band D	Cost	Band D	Cost
		£ : p	£	£ : p	£
	Revenue Expenditure to be Funded	290.16	7,020,000	323.21	7,930,358
	Revenue Support Grant	0.00	0	0.00	0
	Business Rates Retention				
	- Renewable Energy			(27.29)	(669,513)
	- Base Line Funding	(60.93)	(1,474,135)	(61.46)	(1,507,917)
	- Business Growth Retention*	(41.29)	(998,970)	(37.67)	(924,295)
	- Levy on Business Rates Growth net to ECC Pool*	14.53	351,466	12.42	304,764
	- NDR Collection Fund Adjustment (Surplus)/Deficit	(2.93)	(70,844)	(5.79)	(142,000)
	Council Tax Collection Fund Adj (Surplus)/Deficit	(6.57)	(159,000)	(6.03)	(148,000)
	Maldon District Council Charge	192.97	4,668,517	197.40	4,843,397

\* The NDR1 return is not yet available, therefore the figures are estimates for 2019/20 and will be updated when the return is available.

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ORIGINAL 18/19 (Top)  
REVISED 18/19 budget

REVISED 18/19 budget

9

Description

Staffing

Transport

Goods and Services

Capital Charges

Offices and Depots

Support in

Support out

Fees and Charges

Other Income

Government Grant

Net Budget

£

£

£

£

£

£

£

£

£

£

£

£

Service Management &

101

Corporate Core

631,900

1,000

11,700

(21,800)

622,800

631,200

800

12,000

0

644,000

102

Election Services

102,400

100

1,400

103,900

94,800

0

2,800

97,600

103

Policy & Comms

228,100

300

16,200

244,600

228,200

300

16,300

244,800

104

Training

75,100

75,100

76,700

(400)

76,300

105

Human Resources

187,500

200

22,000

209,700

268,000

800

40,600

309,400

106

Apprentices

22,700

18,000

40,700

29,000

0

29,000

108

Committee Services

337,000

300

21,900

(10,000)

349,200

419,700

800

28,300

(10,000)

438,800

109

General Office Support

46,400

700

47,100

25,300

700

26,000

110

Customer Services

407,300

400

19,300

(32,300)

394,700

428,400

1,000

18,800

0

0

(43,400)

404,800

111

Internal Audit & Perf. Review

0

0

70,400

70,400

0

0

70,400

70,400

113

Finance

396,700

0

92,100

0

488,800

349,300

0

91,600

0

440,900

114

Revenues & Benefits

1,035,000

500

111,000

(375,900)

0

770,600

992,300

1,000

188,000

0

(328,600)

(47,300)

805,400

118

Leisure & Community

311,900

1,400

33,300

0

0

346,600

280,800

600

31,500

0

0

0

(9,000)

303,900

119

IT Services

433,700

0

351,900

42,500

0

828,100

487,600

0

361,500

59,000

0

908,100

121

Council Offices

200,700

0

247,300

8,000

(62,800)

393,200

254,300

0

249,200

95,900

(54,400)

545,000

124

Princes Rd Depot

17,800

5,500

23,300

400

3,300

3,700

129

Legal Services

0

18,700

18,700

132

Environmental Health

512,000

8,300

11,600

531,900

547,800

8,300

10,200

566,300

133

Environmental Waste

188,400

100

3,800

192,300

208,900

200

4,000

0

0

213,100

134

Housing

627,900

2,200

14,500

644,600

632,200

2,200

14,700

649,100

141

Parks Operational Services

631,200

52,800

124,600

22,100

(29,300)

(79,400)

0

722,000

666,600

54,900

124,200

32,300

0

0

0

(29,300)

(88,500)

0

760,200

149

Nursery

0

0

300

300

153

Parks Rangers

376,300

9,400

8,600

1,700

(67,000)

329,000

399,600

10,400

8,500

1,700

0

0

(70,000)

350,200

155

Parks Trading Unit Depot

9,800

2,700

(2,000)

10,500

10,700

3,700

0

(2,400)

12,000

163

Enforcement

229,800

600

6,500

236,900

195,900

1,400

6,400

203,700

164

Economic Development

147,700

1,900

1,500

151,100

157,500

1,700

1,300

160,500

165

Planning Policy Services

432,600

1,400

4,500

438,500

387,700

1,400

7,800

396,900

166

Planning Admin Services

293,100

0

33,300

0

326,400

287,600

0

28,000

315,600

Page 105

ORIGINAL 18/19 (Top)  
REVISED 18/19 budget

		Direct Costs				Recharges			Income			Government Grant	Net Budget
9	Description	Staffing	Transport	Goods and Services	Capital Charges	Offices and Depots	Support in	Support out	Fees and Charges	Other Income			
		£	£	£	£	£	£	£	£	£	£	£	£
167	Development Control Services	651,900	4,100	14,800									670,800
		657,900	4,100	26,300									688,300
168	Building Control Services	225,200	5,500	5,300									236,000
		138,200	5,500	5,400									149,100
<b>TOTAL Service Management &amp; Support Services</b>		<b>8,657,400</b>	<b>90,500</b>	<b>1,348,900</b>	<b>82,500</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(29,300)</b>	<b>(651,200)</b>	<b>0</b>		<b>9,498,800</b>
		<b>8,768,800</b>	<b>95,400</b>	<b>1,455,000</b>	<b>196,200</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(29,300)</b>	<b>(606,700)</b>	<b>(47,300)</b>		<b>9,832,100</b>

**Central Services**  
**Corporate Core &**

256	Corporate Management			151,800					0				151,800
				406,700					0				406,700
260	Democratic Representation & Mgt	215,500	11,600	41,200	1,900								270,200
		221,100	13,800	43,700	1,900								280,500
270	Future Model - Transformation												0
		400,000		975,000									1,375,000
<b>TOTAL Corporate &amp; Democratic Core</b>		<b>215,500</b>	<b>11,600</b>	<b>193,000</b>	<b>1,900</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>422,000</b>
		<b>621,100</b>	<b>13,800</b>	<b>1,425,400</b>	<b>1,900</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2,062,200</b>

**Central Services to the**

202	Business Rates Collection			4,300					(5,500)		(93,000)		(94,200)
				4,200					(5,100)		(93,000)		(93,900)
209	Council Tax Benefit Admin			3,700							(50,000)		(46,300)
				3,200							(55,900)		(52,700)
216	Council Tax Collection			36,300					(106,700)				(70,400)
				35,200			0		(106,200)				(71,000)
213	Electoral Registration			47,800					(1,200)	0			46,600
				47,300						0			47,300
253	Civil Emergencies			33,900									33,900
				33,900									33,900
254	Election Management			12,700						0			12,700
				12,700						0			12,700
255	Land Charges			15,200					(121,900)				(106,700)
				15,200					(121,900)				(106,700)
<b>TOTAL Central Services</b>		<b>0</b>	<b>0</b>	<b>153,900</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(235,300)</b>	<b>0</b>	<b>(143,000)</b>		<b>(224,400)</b>
		<b>0</b>	<b>0</b>	<b>151,700</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(233,200)</b>	<b>0</b>	<b>(148,900)</b>		<b>(230,400)</b>

**Cultural, Environmental**  
**Cultural Services**

501, 502, 503, 509, 520,	Sport	0	0	173,900	12,300	0	0	0	0	(605,300)	0	(419,100)
		0	0	199,300	410,300	0	0	0	0	(628,500)	0	(18,900)
122, 506, 508	Community Centres	0	0	34,800	6,400	0	0	0	0	0	0	41,200
		0	0	38,900	6,200	0	0	0	0	0	0	45,100
505, 511, 514, 516, 518,	Parks & Open Spaces	30,000	0	274,500	215,900	0	0	0	(683,000)	(51,700)	0	(214,300)
		47,300	0	325,300	235,600	0	0	0	(733,000)	(58,200)	0	(183,000)
542, 546	Heritage	0	0	4,300	5,100	0	0	0	0	0	0	9,400
		0	0	4,300	3,600	0	0	0	0	0	0	7,900
309	Rivers		6,500	59,500	10,100				(167,400)	(6,700)		(98,000)
			4,900	69,000	5,400		0		(181,100)	(7,400)		(109,200)
320, 325, 330	Tourism	140,100	500	68,700	0	0	0	0	(15,300)	0	0	194,000
		181,600	300	65,600	0	0	0	0	(15,300)	0	0	232,200
<b>TOTAL Cultural Services</b>		<b>170,100</b>	<b>7,000</b>	<b>615,700</b>	<b>249,800</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(865,700)</b>	<b>(663,700)</b>	<b>0</b>	<b>(486,800)</b>
		<b>228,900</b>	<b>5,200</b>	<b>702,400</b>	<b>661,100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(929,400)</b>	<b>(694,100)</b>	<b>0</b>	<b>(25,900)</b>

**Environmental Services**

340	Public Entertainment Licences			27,900					(55,600)			(27,700)
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ORIGINAL 18/19 (Top)  
REVISED 18/19 budget

		Direct Costs				Recharges			Income			Net Budget	
9	Description	Staffing £	Transport £	Goods and Services £	Capital Charges £	Offices and Depots £	Support in £	Support out £	Fees and Charges £	Other Income £	Government Grant £	£	
				29,100					(55,600)				(26,500)
341	Hackney Carriage			16,000					(33,300)				(17,300)
				18,000					(33,600)				(15,600)
550	Public Conveniences			105,400	21,800								127,200
				101,400	20,100								121,500
555	Cemeteries			42,300	13,500				(126,400)				(70,600)
				52,900	19,100				(151,600)				(79,600)
562, 563	Community Safety	77,000	0	35,400	0	0	0	0	0	(14,300)	0		98,100
		83,100	500	44,000	0	0	0	0	0	(19,200)	0		108,400
576, 579, 581	Waste Management	0	2,900	3,294,300	317,800	0	0	0	(1,997,000)	(700)	0		1,617,300
		0	2,900	3,272,300	320,200	0	0	0	(1,949,000)	(3,400)	0		1,643,000
566, 567, 570, 571, 572,	Other Environmental Health	5,000	1,800	60,000	6,100	0	0	0	(55,900)	0	0		17,000
		4,600	2,300	103,900	6,100	0	0	0	(64,700)	0	0		52,200
<b>TOTAL Environmental Services</b>		<b>82,000</b>	<b>4,700</b>	<b>3,581,300</b>	<b>359,200</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(2,268,200)</b>	<b>(15,000)</b>	<b>0</b>		<b>1,744,000</b>
		<b>87,700</b>	<b>5,700</b>	<b>3,621,600</b>	<b>365,500</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(2,254,500)</b>	<b>(22,600)</b>	<b>0</b>		<b>1,803,400</b>
<b>Planning &amp; Development</b>													
232	Discretionary Rate Relief												0
301	Planning Policy			26,500									26,500
				55,200					0		0		55,200
302	Development Control			124,000					(892,400)				(768,400)
				122,000					(884,300)				(762,300)
303	Building Regs - Fee Related			4,000					(135,300)				(131,300)
				4,000					(135,300)				(131,300)
313	Building Regs - Non Fee Related			0					0				0
				0					0				0
304	Building Conservation			1,800					0	0	0		1,800
				2,100					0	0	0		2,100
305	Economic Development			72,500						(60,000)	0		12,500
				76,400						0	0		76,400
307	Gypsy & Traveller	0		8,000									8,000
		0		8,000									8,000
565	Community Grants			81,300							(7,800)		73,500
				73,500									73,500
<b>TOTAL Planning &amp; Development Services</b>		<b>0</b>	<b>0</b>	<b>318,100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(1,027,700)</b>	<b>(60,000)</b>	<b>(7,800)</b>		<b>(777,400)</b>
		<b>0</b>	<b>0</b>	<b>341,200</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(1,019,600)</b>	<b>0</b>	<b>0</b>		<b>(678,400)</b>
<b>Highways, Roads &amp;</b>													
311	Highways												0
													0
312	Street Naming			11,400									11,400
				11,400									11,400
534, 535	Off Street Parking	0	0	156,400	18,100	0	0	0	(736,700)	0	0		(562,200)
		0	0	164,700	17,700	0	0	0	(745,800)	0	0		(563,400)
<b>TOTAL Highways, Roads &amp; Transport Services</b>		<b>0</b>	<b>0</b>	<b>167,800</b>	<b>18,100</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(736,700)</b>	<b>0</b>	<b>0</b>		<b>(550,800)</b>
		<b>0</b>	<b>0</b>	<b>176,100</b>	<b>17,700</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(745,800)</b>	<b>0</b>	<b>0</b>		<b>(552,000)</b>
<b>Housing Services</b>													
204	Rent Allowances			15,121,700						(388,200)	(14,516,700)		216,800
				14,575,400						(298,000)	(14,157,500)		119,900
203	Housing Benefits Admin			12,800					(3,000)		(137,000)		(127,200)
				12,100					(7,000)		(134,100)		(129,000)
591, 592, 593, 598	Other Housing Services			71,800					(43,500)	(4,000)	(83,800)		(59,500)
		0	0	92,500	0	0	0	0	(43,500)	(4,000)	(71,900)		(26,900)
<b>TOTAL Housing Services</b>		<b>0</b>	<b>0</b>	<b>15,206,300</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(46,500)</b>	<b>(392,200)</b>	<b>(14,737,500)</b>		<b>30,100</b>
		<b>0</b>	<b>0</b>	<b>14,680,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>(50,500)</b>	<b>(302,000)</b>	<b>(14,363,500)</b>		<b>(36,000)</b>

ORIGINAL 18/19 (Top) REVISED 18/19 budget		Direct Costs				Recharges			Income			
9	Description	Staffing £	Transport £	Goods and Services £	Capital Charges £	Offices and Depots £	Support in £	Support out £	Fees and Charges £	Other Income £	Government Grant £	Net Budget £
<u>Non Distributed Costs</u>												
257	Non Distributed Costs	0	0	0	0	0	0	0	0	0	0	0
<u>TOTAL Non Distributed Costs</u>		0	0	0	0	0	0	0	0	0	0	0
<u>Other Services</u>												
224	Misc Land & Property			5,200	0				(32,000)			(26,800)
				2,900	0				(33,300)			(30,400)
225	Industrial Sites			1,100					(114,900)			(113,800)
				7,100					(116,300)			(109,200)
<u>TOTAL Other Services</u>		0	0	6,300	0	0	0	0	(146,900)	0	0	(140,600)
		0	0	10,000	0	0	0	0	(149,600)	0	0	(139,600)
<u>SUB TOTAL</u>		9,125,000	113,800	21,591,300	711,500	0	0	0	(5,356,300)	(1,782,100)	(14,888,300)	9,514,900
		9,706,500	120,100	22,563,400	1,242,400	0	0	0	(5,411,900)	(1,625,400)	(14,559,700)	12,035,400
Less Vacancy/Savings												0
<u>TOTAL AGREED</u>												
ORIGINAL18/19		9,125,000	113,800	21,591,300	711,500	0	0	0	(5,356,300)	(1,782,100)	(14,888,300)	9,514,900
REVISED 18/19		9,706,500	120,100	22,563,400	1,242,400	0	0	0	(5,411,900)	(1,625,400)	(14,559,700)	12,035,400

ORIGINAL 18/19 Top  
ORIGINAL 19/20 Bottom

		Direct Costs				Recharges			Income			Government Grant £	Net Budget £
Cost Centre	Description	Staffing £	Transport £	Goods and Services £	Capital Charges £	Offices and Depots £	Support in £	Support out £	Fees and Charges £	Other Income £			
Service Management & Green	Staffing												0
		1,044,096											1,044,096
													0
Red	Staffing												0
		2,131,900											2,131,900
Blue	Staffing												0
		3,020,000											3,020,000
101	Corporate Core	631,900	1,000	11,700						-21800			622,800
		1,000	500	10,100						0			11,600
102	Election Services	102,400	100	1,400									103,900
		800	0	2,700									3,500
103	Policy & Comms	228,100	300	16,200									244,600
		1,200	300	16,100	0					0			17,600
104	Training			75,100									75,100
				61,100						0			61,100
105	Human Resources	187,500	200	22,000									209,700
		1,800	0	22,400	0					0			24,200
106	Apprentices	22,700		18,000									40,700
		18,000		0									18,000
108	Committee Services	337,000	300	21,900					(10,000)				349,200
		1,100	800	21,800					(10,000)				13,700
109	General Office Support	46,400		700									47,100
		0	0	700						0			700
110	Customer Services	407,300	400	19,300						(32,300)			394,700
		175,300	1,000	20,000	0					(30,400)			165,900
111	Internal Audit & Perf. Review			70,400									70,400
				70,400									70,400
113	Finance	396,700		92,100									488,800
		2,300	0	42,700	0					0			45,000
114	Revenues & Benefits	1,035,000	500	111,000						(375,900)	0		770,600
		481,300	1,000	108,900						(305,900)	0		285,300
118	Leisure & Community	311,900	1,400	33,300	0					0			346,600
		109,600	600	31,500	0					(9,000)			132,700
119	IT Services	433,700	0	351,900	42,500								828,100
		1,400		487,700	132,800								621,900
121	Council Offices	200,700		247,300	8,000					(62,800)			393,200
		400	0	265,700	95,900					(58,200)			303,800
124	Princes Rd Depot			17,800	5,500								23,300
				400	3,300								3,700
132	Environmental Health	512,000	8,300	11,600									531,900
		255,100	8,300	10,900									274,300
133	Environmental Waste	188,400	100	3,800									192,300
		32,200	100	3,500									35,800
134	Housing	627,900	2,200	14,500									644,600
		282,600	2,200	14,900									299,700
141	Parks & Countryside Services	631,200	52,800	124,600	22,100	0	0		(29,300)	(79,400)			722,000
		353,000	53,200	112,200	31,900	0	0		(29,300)	(52,300)			468,700
149	Nursery			0	0								0
				0	300								300
153	Parks Rangers	376,300	9,400	8,600	1,700	0	0			(67,000)			329,000
		207,100	9,900	8,300	3,700					(70,000)			159,000
155	Prom Depot			9,800	2,700					(2,000)			10,500
				10,400	3,700					(2,500)			11,600
163	Enforcement	229,800	600	6,500									236,900
		123,200	1,400	6,200							0		130,800
164	Economic Development	147,700	1,900	1,500									151,100
		33,900	1,900	1,200									37,000

Page 109



ORIGINAL 18/19 Top  
ORIGINAL 19/20 Bottom

		Direct Costs				Recharges			Income			
Cost Centre	Description	Staffing	Transport	Goods and Services	Capital Charges	Offices and Depots	Support in	Support out	Fees and Charges	Other Income	Government Grant	Net Budget
		£	£	£	£	£	£	£	£	£	£	£
165	Planning Policy Services	432,600	1,400	4,500								438,500
		45,100	1,400	8,200								54,700
166	Planning Admin Services	293,100		33,300								326,400
		131,600		28,200								159,800
167	Development Control Services	651,900	4,100	14,800								670,800
		315,900	4,100	14,600								334,600
168	Building Control Services	225,200	5,500	5,300								236,000
		75,200	5,500	5,200								85,900
TOTAL Service Management & Support Services		8,657,400	90,500	1,348,900	82,500	0	0	0	(39,300)	(641,200)	0	9,498,800
		8,845,096	92,200	1,386,000	271,600	0	0	0	(39,300)	(528,300)	0	10,027,296
Central Services Corporate Core &												
256	Corporate Management			151,800								151,800
				248,400					0		0	248,400
260	Democratic Representation & Mgt	215,500	11,600	41,200	1,900	0	0					270,200
		223,600	14,000	37,200	1,900					0		276,700
270	Future Model Transformation	0		0								0
		260,000		344,000						(182,000)		422,000
TOTAL Corporate & Democratic Core		215,500	11,600	193,000	1,900	0	0	0	0	0	0	422,000
		483,600	14,000	629,600	1,900	0	0	0	0	(182,000)	0	947,100
Central Services to the												
202	Business Rates Collection			4,300			0		(5,500)		(93,000)	(94,200)
				4,300					(5,100)		(93,000)	(93,800)
209	Council Tax Benefit Admin	0		3,700							(50,000)	(46,300)
				3,300							(53,000)	(49,700)
216	Council Tax Collection			36,300			0		(106,700)			(70,400)
				35,800					(106,200)			(70,400)
213	Electoral Registration			47,800		0			(1,200)			46,600
		0		46,400		0			(1,200)			45,200
253	Civil Emergencies			33,900								33,900
				33,900								33,900
254	Election Management			12,700								12,700
				96,100						0		96,100
255	Land Charges			15,200					(121,900)			(106,700)
				15,700					(121,900)			(106,200)
TOTAL Central Services		0	0	153,900	0	0	0	0	(235,300)	0	(143,000)	(224,400)
		0	0	235,500	0	0	0	0	(234,400)	0	(146,000)	(144,900)
Cultural, Environmental & Cultural Services												
501, 502, 503, 509, 520, 522	Sport	0	0	173,900	12,300	0	0	0	0	(605,300)	0	(419,100)
		0	0	176,600	410,300	0	0	0	0	(624,100)	0	(37,200)
122, 506, 508	Community Centres	0	0	34,800	6,400	0	0	0	0	0	0	41,200
		0	0	26,200	9,600	0	0	0	0	0	0	35,800
505, 511, 514, 516, 518, 519	Parks & Open Spaces	30,000	0	274,500	215,900	0	0	0	(666,100)	(68,600)	0	(214,300)
		32,000	0	245,200	258,200	0	0	0	(739,700)	(41,000)	0	(245,300)
542, 546	Heritage	0	0	4,300	5,100	0	0	0	0	0	0	9,400
		0	0	4,300	3,600	0	0	0	0	0	0	7,900
309	Rivers		6,500	59,500	10,100		0		(167,400)	(6,700)		(98,000)
			6,500	40,600	5,400		0		(175,900)	(7,400)		(130,800)
320, 325, 330	Tourism	140,100	500	68,700	0	0	0	0	(15,300)	0	0	194,000
		85,600	500	62,800	0	0	0	0	(15,300)	0	0	133,600
TOTAL Cultural Services		170,100	7,000	615,700	249,800	0	0	0	(848,800)	(680,600)	0	(486,800)
		117,600	7,000	555,700	687,100	0	0	0	(930,900)	(672,500)	0	(236,000)

ORIGINAL 18/19 Top  
ORIGINAL 19/20 Bottom

ORIGINAL 19/20 Bottom		Direct Costs				Recharges			Income			
Cost Centre	Description	Staffing £	Transport £	Goods and Services £	Capital Charges £	Offices and Depots £	Support in £	Support out £	Fees and Charges £	Other Income £	Government Grant £	Net Budget £
Environmental Services												
340	Public Entertainment Licences			27,900					(55,600)			(27,700)
				30,000					(55,600)			(25,600)
341	Hackney Carriage			16,000					(33,300)			(17,300)
				18,500					(33,600)			(15,100)
550	Public Conveniences			105,400	21,800							127,200
				97,500	20,100							117,600
555	Cemeteries			42,300	13,500		0		(126,400)			(70,600)
				47,500	17,000		0		(135,400)			(70,900)
562, 563	Community Safety	77,000	0	35,400	0	0	0	0	0	(14,300)	0	98,100
		42,200	0	35,400	0	0	0	0	0	(14,300)	0	63,300
576, 579, 581	Waste Management	0	2,900	3,294,300	317,800	0	0	0	(1,997,000)	(700)	0	1,617,300
		0	2,900	3,343,400	323,900	0	0	0	(1,970,600)	(700)	0	1,698,900
566, 567, 570, 571, 572, 573,	Other Environmental Health	5,000	1,800	60,000	6,100	0	0	0	(55,900)	0	0	17,000
		5,000	1,800	60,400	6,100	0	0	0	(60,000)	0	0	13,300
TOTAL Environmental Services		82,000	4,700	3,581,300	359,200	0	0	0	(2,268,200)	(15,000)	0	1,744,000
		47,200	4,700	3,632,700	367,100	0	0	0	(2,255,200)	(15,000)	0	1,781,500
Planning & Development												
232	Discretionary Rate Relief											0
301	Planning Policy			26,500								26,500
				26,500								26,500
302	Development Control			124,000					(892,400)			(768,400)
				119,000					(895,400)			(776,400)
303	Building Regs - Fee Related			4,000					(135,300)			(131,300)
				4,000					(140,700)			(136,700)
313	Building Regs - Non Fee Related						0					0
				0					0			0
304	Building Conservation			1,800								1,800
				1,800					0	0	0	1,800
305	Economic Development			72,500						(60,000)		12,500
				12,500						0	0	12,500
307	Gypsy & Traveller			8,000								8,000
				8,000	0	0	0					8,000
565	Community Grants			81,300	0	0	0				(7,800)	73,500
				76,000	0	0	0				0	76,000
TOTALPlanning & Development Services		0	0	318,100	0	0	0	0	(1,027,700)	(60,000)	(7,800)	(777,400)
		0	0	247,800	0	0	0	0	(1,036,100)	0	0	(788,300)
Highways, Roads & Transport Services												
311	Highways											0
												0
312	Street Naming			11,400								11,400
				8,900								8,900
534, 535	Off Street Parking	0	0	156,400	18,100	0	0	0	(736,700)	0	0	(562,200)
		0	0	136,800	28,600	0	0	0	(741,800)	0	0	(576,400)
TOTAL Highways, Roads & Transport Services		0	0	167,800	18,100	0	0	0	(736,700)	0	0	(550,800)
		0	0	145,700	28,600	0	0	0	(741,800)	0	0	(567,500)
Housing Services												
204	Rent Allowances			15,121,700						(388,200)	(14,516,700)	216,800
				14,575,400						(358,000)	(14,157,500)	59,900
203	Housing Benefits Admin			12,800			0		(3,000)		(137,000)	(127,200)

ORIGINAL 18/19 Top ORIGINAL 19/20 Bottom		Direct Costs		Recharges				Income				Net Budget
Cost Centre	Description	Staffing	Transport	Goods and Services	Capital Charges	Offices and Depots	Support in	Support out	Fees and Charges	Other Income	Government Grant	
		£	£	£	£	£	£	£	£	£	£	£
				12,400			0		(7,000)		(130,000)	(124,600)
591, 592, 593, 598	Other Housing Services			71,800					(43,500)	(4,000)	(83,800)	(59,500)
		0	0	24,600	0	0	0	0	(40,500)	(4,000)	(21,900)	(41,800)
<b>TOTAL Housing Services</b>		0	0	15,206,300	0	0	0	0	(46,500)	(392,200)	(14,737,500)	30,100
				14,612,400	0	0	0	0	(47,500)	(362,000)	(14,309,400)	(106,500)
<b>Non Distributed Costs</b>												
257	Non Distributed Costs	0	0	0	0	0	0	0	0	0	0	0
<b>TOTAL Non Distributed Costs</b>		0	0	0	0	0	0	0	0	0	0	0
		0	0	0	0	0	0	0	0	0	0	0
<b>Other Services</b>												
224	Misc Land & Property			5,200					(32,000)			(26,800)
				4,400	0				(35,500)			(31,100)
225	Industrial Sites			1,100					(114,900)			(113,800)
				2,800	0				(114,900)			(112,100)
<b>TOTAL Other Services</b>		0	0	6,300	0	0	0	0	(146,900)	0	0	(140,600)
		0	0	7,200	0	0	0	0	(150,400)	0	0	(143,200)
<b>SUB TOTAL</b>		9,125,000	113,800	21,591,300	711,500	0	0	0	(5,349,400)	(1,789,000)	(14,888,300)	9,514,900
		9,493,496	117,900	21,452,600	1,356,300	0	0	0	(5,435,600)	(1,759,800)	(14,455,400)	10,769,496
<b>Less Vacancy/Savings</b>												0
		(70,000)										
<b>TOTAL AGREED BUDGET</b>												
	ORIGINAL 18/19	9,125,000	113,800	21,591,300	711,500	0	0	0	(5,349,400)	(1,789,000)	(14,888,300)	9,514,900
	ORIGINAL 19/20	9,423,496	117,900	21,452,600	1,356,300	0	0	0	(5,435,600)	(1,759,800)	(14,455,400)	10,699,496



**Budget Growth 2019/20 - 2022/23**

Ref	Directorate	Service Team	Title of the proposal	Full Description of the proposal	2019/20 £	Ongoing/One Off	Corporate Goal	Linked to Capital project / revenue savings?	<b><u>Justification for Proposal</u></b> Why is the growth required? Can it be funded externally by external grant or other partner organisations?
1	Planning & Regulatory Services	Environment & Licensing	Analysts Fee - shellfish	Increase in charges for shellfish testing carried out as part of the statutory testing of shellfish harvesting beds in England	4,000	Ongoing	Protecting and shaping the District	no	Statutory duty to test. MDC are unable to charge this back to the user as there is no provision in the legislation for us to do so.
2	Resources	Elections	District Election	2019 is a district election for which the authority must meet the bill, this is not an annual cost, and therefore there is no budget allocation.	83,400	One-Off	Delivering good quality, cost effective and valued services	No	A District Election is every four years and therefore not included within the core budget
3	Customer & Community Services	Community and Living	Extension of additional 7.5 hrs	Fixed term for 6 month until Future Council phase 2 Introduced. Waste Admin	4,100	One Off	Delivering good quality, cost effective and valued services	No	Waste Admin officer by 7.5 hrs per week. 6 Month fixed term contract relating to increased Garden waste subscribers and New developments in the district.
4	Customer & Community Services	Community and Living	Extension of additional 6 hours	Fixed term for 6 month until Future Council phase 2 Introduced. Waste Education Officer	4,700	One Off	Delivering good quality, cost effective and valued services	No	Waste Education officer by 6 hrs per week. 6 Month fixed term contract.
5	Customer & Community Services	Leisure, Countryside and Tourism	Parks Team Staff (external works)	Six Months funding requested to maintain existing structure within the core team to allow time for service reviews as part of the future model.	12500	One Off	Delivering good quality, cost effective and valued services	No	A growth bid of £25,000 was approved for 2018/19 whilst the service function was analysed, however the future model incorporates service review work, that this will now be part of, so the growth is requested for an additional six months until Phase two.
<b>TOTAL</b>					<b><u>108,700</u></b>				

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Earmarked Revenue Reserve	Purpose	Review Mechanism	At 31/3/18	Estimated at 31/3/19	Estimated at 31/3/20	Estimated at 31/3/21	Estimated at 31/3/22
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	128,816	20,816	-	-
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	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	Annually by the Finance and Corporate Services Committee at final accounts approval stage	134,136	-	-	-	-
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	Annually by the Finance and Corporate Services Committee at final accounts approval stage	8,617	8,617	-	-	-
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.	Annually by the Finance and Corporate Services Committee at final accounts approval stage	1,000	1,000	-	-	-
CIL and LDP review	Money has been put aside from unspent budgets to support the creation and adoption of the delayed LDP	Annually by the Finance and Corporate Services Committee at final accounts approval stage	235,000	206,300	-	-	-
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	10,000	10,000
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	8,020	20	-	-	-
Transformation (including IGNITE)	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.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	1,712,361	239,980	-	-	-
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	29,177	29,177	-	-	-
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	24,913	15,413	-	-	-
Business Rates Equalisation	To provide funds to support fluctuations in Business Rates receivable into the General Fund.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	533,000	261,000	311,000	361,000	411,000
Pension	To provide funds to enable payment of the forward funding of the pension deficit.	Bi-annually by the Finance and Corporate Services Committee at budget setting and final accounts approval stages	116,000	720,000	1,424,000	-	-
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	393,185	246,226	-	-	-
<b>TOTAL</b>			<b>3,490,725</b>	<b>1,926,549</b>	<b>1,825,816</b>	<b>431,000</b>	<b>481,000</b>

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Medium Term Financial Strategy						
	Revised	2019/20 £000	2020/21 £000	2021/22 £000	2022/23 £000	Total Savings Required
<b>Baseline net expenditure</b>		6,487	7,439	8,227	7,354	
<b>Costs Future Model</b>		774	-774			
<b>Savings Future Model</b>		-733	-739	-195	-82	
Impact of Forward Pension Deficit Funding		0	1,722	-1,119	0	
Temporary Posts ending		0	0	0	0	
Other Cost Pressures		-262	71	-22	0	
Staff Inflation		152	72	78	79	
Inflation provision		242	154	158	163	
Change in level of specific grants		704	25	0	0	
Projected (net) movement in income from fees and charges		-80	35	44	-29	
Projected movement in misc income		33	33	0	0	
Change in level of investment income		62	27	5	5	
New Homes Bonus Fluctuation in Annual Payment		60	163	253	0	
Contribution to/(Use) of General Fund balances	150	291	69	0	0	
Contribution to/(Use) of Earmarked Reserves	233	200	-1,119	0	0	
<b>Projected net expenditure to be funded</b>	<b>7,020</b>	<b>7,930</b>	<b>7,177</b>	<b>7,429</b>	<b>7,490</b>	
<b>Additional efficiency/income/saving required</b>		<b>0</b>	<b>-0</b>	<b>-75</b>	<b>70</b>	<b>-5</b>
<b>Net efficiency/income/saving required</b>		<b>0</b>	<b>-0</b>	<b>-75</b>	<b>70</b>	<b>-5</b>
Revenue Support Grant	0	0	0	0	0	
Tariff Adjustment	0	0	330	330	330	
Renewable Energy*		-670	-670	-670	-670	
New Homes Bonus						
Business Rates Baseline Funding	-1,474	-1,508	-1,508	-1,508	-1,508	
Business Rates Growth incl S31*	-999	-924	-600	-600	-600	
Business Rates levy/benefit*	351	305	351	351	352	
Estimated Ctax collection fund surplus / deficit	-230	-290	-100	-100	-100	
Estimated Yield from Council Tax	-4,669	-4,843	-4,981	-5,158	-5,365	
<b>Total Funding</b>	<b>-7,020</b>	<b>-7,930</b>	<b>-7,177</b>	<b>-7,354</b>	<b>-7,560</b>	
<b>Band D council tax charge</b>	192.97	197.4	201.25	205.17	209.17	
Taxbase	24,193.2	24,536.1	24,750.6	25,138.6	25,648.6	
Council Tax Target increase	2.74%	2.30%	1.95%	1.95%	1.95%	

\* NDR1 return not yet available so figures are based on estimations and will be updated.

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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 2019 / 20 General Fund Revenue Budget Estimates, the proposed Capital Programme, Capital Strategy and Investment 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 Director of Resources.

In relation to the 2019 / 20 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 2019/20 to 2022/23.
- 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, 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 2019 / 20 (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 2019/20 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**

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**to  
FINANCE AND CORPORATE SERVICES COMMITTEE  
29 JANUARY 2019**

### **REGULATION OF INVESTIGATORY POWERS ACT (RIPA) POLICY AND GUIDANCE ON THE USE OF COVERT SURVEILLANCE**

#### **1. PURPOSE OF THE REPORT**

- 1.1 To meet the statutory requirement to seek the Council's approval of a revised RIPA Policy.

#### **2. RECOMMENDATION**

To the Council:

The revised Code of Practice on Covert Surveillance, attached at **APPENDIX 1**, be approved.

#### **3. SUMMARY OF KEY ISSUES**

- 3.1 There may be occasions where the Council decides it is necessary to undertake surveillance to assist in the detection of crime and the prevention of fraud. In such circumstances, all actions will be in accordance with the Regulation of Investigatory Powers Act 2000 as amended by the Protection of Freedoms Act 2012. The act defines the criteria with which the Council must comply, and is supported by the Office of Surveillance Commissioners' Code of Practice on Covert Surveillance. The attached Policy (**APPENDIX 1**) is a revision of the previous policy to reflect the new corporate structure and reflects the requirements of this legislation and guidance.
- 3.2 In order to ensure it acts properly in such situations, the Council is required to:
- **Ensure relevant staff understand the scope of RIPA in relation to their work, and that training is provided to staff who will use the powers.** This is to ensure the procedures and safeguards are understood, and to minimise the risk of attempts to undertake investigation using methods incompatible with the requirements of RIPA. Training has been provided to relevant staff, and further training is being sought for new staff.
  - Ensure consideration is given to identifying the activities to which RIPA may apply. Consideration is given to this within the policy.
  - Develop a local policy on the use of RIPA. The attached policy supports this requirement. RIPA will only be used where it affords the most effective way

of gathering evidence, when it is in accordance with RIPA and has been subject to the appropriate authorisation, and where it is a proportionate response. Training includes the issues of necessity and proportionality.

- **Identify individual Officers who will be able to authorise use of the powers.** The Director of Resources, Director of Planning and Regulatory Services and Monitoring Officer are the nominated Officers.
- **Establish the procedures by which the powers will be authorised.** The framework is set out in the attached policy.

#### 4. CONCLUSION

- 4.1 The Council supports the statutory framework for surveillance as a means of safeguarding the legitimate interests of individuals, whilst ensuring there is proper investigation of cases. The adoption of the revised policy aids Council adherence to the Regulation of Investigatory Powers Act 2000 as amended by the Protection of Freedoms Act 2012.

#### 5. IMPACT ON CORPORATE GOALS

- 5.1 The RIPA policy supports adherence to legislation and accords with best practice, and is thus in line with the corporate goal of “Delivering good quality, cost effective and valued services”.

#### 6. IMPLICATIONS

- (i) **Impact on Customers** – Compliance with the statutory framework for surveillance safeguards the legitimate interests of individuals.
- (ii) **Impact on Equalities** – None.
- (iii) **Impact on Risk** – None.
- (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).

# **REGULATION OF INVESTIGATORY POWERS ACT 2000**

## **CORPORATE POLICY AND PROCEDURE ON THE USE OF COVERT SURVEILLANCE**

Title	Regulation of Investigatory Powers Act 2000
Owner	Director of Resources
Version	2
Issue date	
Approved by	Council
Next revision due	February 2022

## Contents

- 1 INTRODUCTION
- 2 PURPOSE AND OBJECTIVES
- 3 ROLES AND RESPONSIBILITIES
- 4 LOCAL AUTHORITY USE OF RIPA
- 5 THE SCOPE OF RIPA AND TYPES OF SURVEILLANCE
- 6 COVERT HUMAN INTELLIGENCE SOURCE
- 7 AUTHORISATION PROCEDURES
- 8 URGENT AUTHORISATIONS
- 9 DURATION OF AUTHORISATIONS
- 10 MATERIAL OBTAINED DURING INVESTIGATIONS
- 11 ASSESSMENT AND REVIEW
- 12 CCTV AND DIRECTED SURVEILLANCE
- 13 RECORDS MANAGEMENT
- 14 NON RIPA
- 15 TRAINING
- APPENDIX – AUTHORISING OFFICERS

## 1

### **INTRODUCTION**

- 1.1 This document sets out the policy and procedures adopted by Maldon District Council (“the council”) in relation to Part II of the Regulation of Investigatory Powers Act 2000 (“RIPA”). The policy should be read in conjunction with the Home Office Codes of Practice on covert surveillance and covert human intelligence sources; acquisition and disclosure of communications data, and any guidance issued by the Investigatory Powers Commissioner’s Office (IPCO) (formerly the Office of Surveillance Commissioners – OSC)
- 1.2 For the purpose of this update, references to the Home Office Codes of Practice relate to the latest versions which were issued in August 2018 in relation to covert surveillance and covert human intelligence sources; and 2016 in relation to the acquisition and disclosure of communications data. References to the OSC Procedures and Guidance document relate to the latest version which was issued in July 2016.
- 1.3 The following terms are used throughout this Policy:

RIPA	Regulation of Investigatory Powers Act 2000
CHIS	Covert Human Intelligence Source
SPoC	Single Point of Contact

SRO	Senior Responsible Officer
IPCO	Investigatory Powers Commissioner's Office
NAFN	National Anti-Fraud Network
CSP	Communications Service Provider

- 1.4 It should be noted that any use of activities under RIPA will be as a last resort and council policy is not to undertake such activities unless necessary.
- 1.5 Further information on RIPA forms can be found on the intranet with search word "Ripa"

## **2 PURPOSE AND OBJECTIVES**

- 2.1 Directed surveillance or acquisition of communications data by or on behalf of the council must be carried out in accordance with this policy. Any such activity must be authorised by one of the Authorising Officers identified in Appendix A. All authorisations must then be approved by a Magistrate before any covert activity takes place. Staff directly employed by the council and any external agencies working for the council are subject to RIPA whilst they are working in a relevant investigatory capacity.
- 2.2 The purpose of the policy is to ensure the council is acting lawfully while undertaking its various enforcement functions, ensuring directed surveillance, or acquisition of communication data is both necessary and proportionate, and takes into account the rights of individuals under Article 8 of the Human Rights Act.
- 2.3 Surveillance, for the purpose of the Act, includes monitoring, observing or listening to persons, their movements, conversations or other activities and communications. It may be conducted with or without the assistance of a surveillance device and includes the recording of any information obtained.

## **3 ROLES AND RESPONSIBILITIES**

### **3.1 Senior Responsible Officer (SRO):**

- 3.1.1 The role of SRO will be undertaken by the council's Director of Resources
- 3.1.2 In accordance with good practice the SRO will be responsible for:
- The integrity of the process in place within the council for the management of covert surveillance;
  - Ensuring that all authorising officers are of an appropriate standard;
  - Compliance with Part 2 of the Act and with the Home Office Codes of Practice;

- Oversight of the reporting of errors to the relevant Commissioner and the identification of both the cause(s) of errors and the implementation of processes to minimise repetition of errors;
- Engagement with the Investigatory Powers Commissioner's Office (IPCO) inspectors when they conduct their inspections, where applicable;
- Where necessary, oversight of the implementation of post-inspection action plans approved by the relevant oversight Commissioner.
- Have overall responsibility for the management and oversight of requests and authorizations under RIPA;
- Retain a copy of the application and authorization together with any supplementary documentation and notification of the approval given by the authorizing officer maintain a central RIPA records file;
- Review and monitor all forms and documents received to ensure compliance with the relevant law and guidance and this policy and procedures document and informing the Authorizing Officer of any concerns;
- Be responsible for organizing a corporate RIPA training programme and ensure corporate awareness of RIPA

### 3.2 **Authorizing Officers**

- 3.2.1 The officers named in Appendix A shall be the only officers within the council who can authorize applications under RIPA in accordance with the procedures set out in section 7 of this policy.
- 3.2.2 Each of the Authorizing Officers can authorize applications, for onward consideration by a Magistrate. Each Authorizing Officer may authorize renewals and cancellations, and undertake reviews, in relation to any investigation carried out, or proposed to be carried out, by officers. Authorizing Officers **may not sub-delegate** their powers in relation to RIPA to other officers.
- 3.2.3 The officer who authorizes a RIPA application should normally also carry out the review, renewal and cancellation. If the original Authorizing Officer is not available to undertake the review, renewal or cancellation, this can be undertaken by any other Authorizing Officer.

## 4 **LOCAL AUTHORITY USE OF RIPA**

- 4.1 RIPA sets out a regulatory framework for the use of covert investigatory techniques by public authorities. If such activities are conducted by council

officers, then RIPA regulates them in a manner that is compatible with the European Convention on Human Rights (ECHR), particularly Article 8, the right to respect for private and family life.

4.2 RIPA limits local authorities to using three covert techniques, as set out below:

- **Directed surveillance** is essentially covert surveillance in places other than residential premises or private vehicles
- A **Covert human intelligence source (CHIS)** includes undercover officers, public informants and people who make test purchases (for enforcement purposes)
- Acquisition of **Communications data** is the 'who', 'when' and 'where' of a communication, but not the 'what' (ie the content of what was said or written). RIPA groups communications data into three types:
  - 'traffic data' (which includes information about where the communications are made or received)
  - 'service use information' (such as the type of communication, time sent and its duration); and
  - 'subscriber information' (which includes billing information such as the name, address and bank details of the subscriber of telephone or internet services)

4.3 Under RIPA a local authority can only authorize the acquisition of the less intrusive types of communications data: service use and subscriber information. Under **no circumstances** can local authorities be authorized to obtain traffic data under RIPA.

4.4 Local authorities are **not** permitted to intercept the content of any person's communications and it is an offence to do so without lawful authority.

4.5 Directed surveillance may only be authorized under RIPA for the purpose of preventing or detecting criminal offences that are either punishable, whether on summary conviction or indictment, by a maximum term of at least 6 months' imprisonment **or** are related to the underage sale of alcohol and tobacco.

4.6 Local authorities cannot authorize directed surveillance for the purpose of preventing disorder unless this involves a criminal offence(s) punishable (whether on summary conviction or indictment) by a maximum term of at least 6 months' imprisonment. Requests for authorization must still demonstrate how the activity is both proportionate and necessary.

4.7 Examples of cases where the offence being investigated attracts a maximum custodial sentence of six months or more include more serious criminal damage and dangerous waste dumping

4.8 Directed surveillance will always be a last resort in an investigation, and use of a **CHIS by the council will not as a matter of policy be undertaken and**

**therefore the council will not apply for such authorizations.**

- 4.9 In cases of joint working with other agencies, for example the Department for Work and Pensions or the Police, only one authorization from one organisation is required. This should be made by the lead authority for the particular investigation. Council officers should satisfy themselves that authorization has been obtained and be clear exactly what activity has been authorized.
- 4.10 For access to communication data, a Single Point of Contact (SPoC) is required to undertake the practical facilitation with the communications service provider (CSP) in order to obtain the data requested. The SPoC must have received training specifically to facilitate lawful acquisition of communications data and effective co-operation between the local authority and CSP.
- 4.11 The National Anti-Fraud Network (NAFN) provides a SPoC service to local authorities. Local authorities using the NAFN SPoC service will still be responsible for submitting any applications to a Magistrate and an authorizing officer in the council is still required to scrutinise and approve any applications.
- 4.12 Compliance with the provisions of RIPA, the Home Office Codes of Practice and this policy and procedures should protect the council, its officers and agencies working on its behalf against legal challenge. Section 27 of RIPA states that “conduct...shall be lawful for all purposes if an authorisation...confers an entitlement to engage in that conduct on the person whose conduct it is and his conduct is in accordance with the authorisation”. If correct procedures are not followed, the council could be rendered liable to claims and the use of the information obtained may be disallowed in any subsequent legal proceedings.

## **5 THE SCOPE OF RIPA AND TYPES OF SURVEILLANCE**

- 5.1 Officers should be aware of the scope and extent of activities covered by the provisions of RIPA. In many cases investigations carried out by council officers will not be subject to RIPA, as they involve overt rather than covert surveillance (see below). An explanation of terms used is set out below:
- 5.2 **'Surveillance'** includes
- monitoring, observing, listening to persons, watching or following their movements, listening to their conversations and other such activities or communications;
  - recording anything mentioned above in the course of authorised surveillance;
  - surveillance by, or with the assistance of, appropriate surveillance device(s).

**Surveillance can be overt or covert.**

- 5.3 Covert Surveillance



- Covert Surveillance is surveillance carried out in a manner calculated to ensure that the person subject to the surveillance is unaware that it is, or may be taking place.
- RIPA requires the authorisation of two types of covert surveillance (**directed surveillance** and **intrusive surveillance**) plus the use of covert human intelligence sources (CHIS) or acquisition of communications data.

#### 5.4 Directed Surveillance

Directed Surveillance is surveillance which:-

- is covert; and
- is not intrusive surveillance (see definition below - **the council is prohibited by law from carrying out any intrusive surveillance**);
- is not carried out as an immediate response to events where it would not be practicable to obtain authorisation under the Act;
- is likely to result in the obtaining of private information about a person (whether or not one specifically identified for the purposes of the investigation or operation).

5.5 **Private information** in relation to a person includes any information relating to his private and family life, his home and his correspondence. The fact that covert surveillance occurs in a public place or on business premises does not mean that it cannot result in the obtaining of private information about a person. The way a person runs their business may also reveal information about his private life and the private lives of others. Prolonged surveillance targeted on a single person will undoubtedly result in the obtaining of private information about him/her and others that s/he comes into contact or associates with.

5.6 Private life considerations are particularly likely to arise if several records are to be analyzed together in order to establish, for example, a pattern of behavior, or if one or more pieces of information (whether or not available in the public domain) are covertly (or in some cases overtly) obtained for the purpose of making a permanent record about a person or for subsequent data processing to generate further information. In such circumstances, the totality of information gathered may constitute private information even if individual records do not. Where such conduct includes covert surveillance, a directed surveillance authorization may be considered appropriate

5.7 Private information may include personal data, such as names, telephone numbers and address details. Where such information is acquired by means of covert surveillance of a person having a reasonable expectation of privacy, a direct surveillance authorization is appropriate.

## 5.8 Overt Surveillance

- 5.8.1 Overt Surveillance will include most of the surveillance carried out by the council - there will be nothing secretive, clandestine or hidden about it. For example, signposted CCTV cameras normally amount to overt surveillance. In many cases, officers will be going about council business openly (e.g. a parking attendant patrolling a council car park).
- 5.8.2 However, care must be taken to ensure that officers are not intentionally acting as members of the public in order to disguise their true intent as this may then be considered as covert and require RIPA authorisation.
- 5.8.3 Similarly, surveillance will be overt if the subject has been told it will happen. This will be the case where a noisemaker is warned that recordings will be made if the noise continues; or where an entertainment licence is issued subject to conditions, and the licensee is told that officers may visit without notice or without identifying themselves to the owner/proprietor to check that the conditions are being met. Such warnings should be given to the person concerned in writing.
- 5.8.4 Overt surveillance does not require any authorisation under RIPA. Neither does **low-level surveillance** consisting of general observations in the course of law enforcement (for example, an officer visiting a site to check whether a criminal offence had been committed). Repeated visits may amount to systematic surveillance however, and require authorisation: if in doubt, advice should be sought from the Monitoring Officer or the SRO
- 5.8.5 Home Office guidance also suggests that the use of equipment such as binoculars or cameras, to reinforce normal sensory perception by enforcement officers as part of *general* observation does not need to be regulated by RIPA, as long as the *systematic* surveillance of an individual is not involved. However, if binoculars or cameras are used in relation to anything taking place on any residential premises or in any private vehicle the surveillance can be intrusive even if the use is only fleeting. Any such surveillance will be intrusive “if it consistently provides information of the same quality as might be expected to be obtained from a device actually present on the premises or in the vehicle”. The quality of the image obtained rather than the duration of the observation is what is determinative. **It should be remembered that the council is not permitted to undertake intrusive surveillance.**
- 5.8.6 Similarly, although signposted CCTV cameras do not normally require authorisation, this will be required if the camera(s) are to be directed for a specific purpose which involves prolonged surveillance on a particular person. (See Section 12 for guidance on the authorisation of directed surveillance undertaken by means of the council’s CCTV cameras.)
- 5.8.7 Use of body worn cameras should be overt. Badges should be worn by officers stating body cameras are in use and it should be announced that recording is taking place. In addition, cameras should only be switched on when recording is necessary – for example, when issuing parking tickets.
- 5.8.8 Surveillance that is unforeseen and undertaken as **an immediate response** to

events or circumstances such that it is not reasonably practicable to seek authorisation normally falls outside the definition of directed surveillance and therefore authorisation is not required. However, if a **specific investigation or operation is subsequently to follow**, authorisation must be obtained in the usual way before it can commence. In no circumstances will any covert surveillance operation be given backdated authorisation after it has commenced.

## 5.9 Social Networking Sites (SNS)

### 5.9.1 The Home Office Revised Code of Practice on Covert Surveillance and Property Interference, published in August 2018, provides the following guidance in relation to online covert activity:

*'The growth of the internet, and the extent of the information that is now available online, presents new opportunities for public authorities to view or gather information which may assist them in preventing or detecting crime or carrying out other statutory functions, as well as in understanding and engaging with the public they serve. It is important that public authorities are able to make full and lawful use of this information for their statutory purposes. Much of it can be accessed without the need for RIPA authorisation; use of the internet prior to an investigation should not normally engage privacy considerations. But if the study of an individual's online presence becomes persistent, or where material obtained from any check is to be extracted and recorded and may engage privacy considerations, RIPA authorisations may need to be considered. The following guidance is intended to assist public authorities in identifying when such authorisations may be appropriate.*

*The internet may be used for intelligence gathering and/or as a surveillance tool. Where online monitoring or investigation is conducted covertly for the purpose of a specific investigation or operation and is likely to result in the obtaining of private information about a person or group, an authorisation for directed surveillance should be considered, as set out elsewhere in this code. Where a person acting on behalf of a public authority is intending to engage with others online without disclosing his or her identity, a CHIS authorisation may be needed (The Covert Human Intelligence Sources code of practice provide detail on where a CHIS authorisation may be available for online activity).*

*In deciding whether online surveillance should be regarded as covert, consideration should be given to the likelihood of the subject(s) knowing that the surveillance is or may be taking place. Use of the internet itself may be considered as adopting a surveillance technique calculated to ensure that the subject is unaware of it, even if no further steps are taken to conceal the activity. Conversely, where a public authority has taken reasonable steps to inform the public or particular individuals that the surveillance is or may be taking place, the activity may be regarded as overt and a directed surveillance authorisation will not normally be available.*

*As set out below, depending on the nature of the online platform, there may be a reduced expectation of privacy where information relating to a person or group of people is made openly available within the public domain, however in some circumstances privacy implications still apply. This is because the intention when making such information available was not for it to be used for a covert purpose such as investigative activity. This is regardless of whether a user of a website or social media platform has sought to protect such information by restricting its access by activating privacy settings.*

*Where information about an individual is placed on a publicly accessible database, for example the telephone directory or Companies House, which is commonly used and known to be accessible to all, they are unlikely to have any reasonable expectation of privacy over the monitoring by public authorities of that information. Individuals who post information on social media networks and other websites whose purpose is to communicate messages to a wide audience are also less likely to hold a reasonable expectation of privacy in relation to that information.*

*Whether a public authority interferes with a person's private life includes a consideration of the nature of the public authority's activity in relation to that information. Simple reconnaissance of such sites (i.e. preliminary examination with a view to establishing whether the site or its contents are of interest) is unlikely to interfere with a person's reasonably held expectation of privacy and therefore is not likely to require a directed surveillance authorisation. But where a public authority is systematically collecting and recording information about a particular person or group, a directed surveillance authorisation should be considered. These considerations apply regardless of when the information was shared online.'*

## 5.10 Intrusive Surveillance

### 5.10.1 Intrusive Surveillance occurs when surveillance:

- is covert;
- relates to residential premises and/or private vehicles; and
- involves the presence of a person in the premises or in the vehicle or is carried out by a surveillance device in the premises/vehicle. Surveillance equipment mounted outside the premises will not be intrusive, unless the device consistently provides information of the same quality and detail as might be expected if they were in the premises/vehicle.

### 5.10.2 Intrusive surveillance cannot be carried out or approved by the council.

Only the police or other law enforcement agencies are permitted to use such powers. Likewise, the council has no statutory powers to interfere with private property.

## 6 COVERT HUMAN INTELLIGENCE SOURCE

6.1 The use of a covert human intelligence source (CHIS), and his or her conduct, also requires authorisation under RIPA. It is considered unlikely that there will be any circumstances which would require the council to either use a CHIS or operate under cover and so the **Council will not seek authorisations under RIPA for CHIS**. It is however important that employees read this part of the policy so that they do not by accident carry out surveillance that requires authorization.

6.2 A CHIS is defined as someone who establishes or maintains a personal or other relationship for the purpose of

- covertly using the relationship to obtain information or provide access to any

- information to another person;
- covertly disclosing information obtained by means of that relationship where the relationship is conducted in a manner that is calculated to ensure that one of the parties to the relationship is unaware of its purpose.

These provisions would cover the use of professional witnesses to obtain evidence or information, or officers operating “undercover”. Great caution should be exercised in these circumstances.

6.3 The provisions of RIPA relating to CHIS do not apply where a situation would not normally require a relationship to be established for the covert purpose of obtaining information. For example:

- where members of the public volunteer information to the council as part of their normal civic duties;
- where the public contact telephone numbers set up by the council to receive information;
- where members of the public are asked to keep diaries of incidents in relation to, for example, planning enforcement, anti-social behaviour or noise nuisance. However, in certain circumstances, RIPA authorisation may be required if the criteria in section 26(2) of the Act are met.

## 7 AUTHORISATION PROCEDURES

- 7.1 **Any directed surveillance undertaken by or on behalf of the council must be carried out in accordance with RIPA ( see section 14 about non ripa) and must not commence until authorisation has been granted and has been approved by a relevant judicial authority.** If such activities are undertaken without authorisation the SRO must be advised immediately. Only those officers employed in the designated “Authorising Officer Posts” set out in Appendix A can authorise an application under RIPA. Once authorised, the application must be presented to a Magistrate for final approval.
- 7.2 The acquisition of communications data can only be undertaken by a SPoC, although the same authorisation procedures will apply.
- 7.3 Officers must discuss the need to undertake directed surveillance with their line manager before seeking an authorisation. **All other reasonable and less intrusive options to gain the required information must be considered before an authorisation is applied for and the RIPA application must detail why these options have failed or have been considered not appropriate in the circumstances of the individual investigation.**
- 7.4 All applications for authorisation must be made on the appropriate form and can be found on the council’s intranet by using “Ripa” in the search engine. In the event of any query, officers making or authorising applications should consult the Monitoring Officer or the SRO. Authorisations will not take effect until the relevant judicial authority has made an order approving the grant of the authorisation. The relevant judicial authority in England and Wales is a

Magistrate. **It is vital that any surveillance for which authorisation has been sought does not start until such time as it has been approved by a Magistrate**

- 7.5 It is necessary for the council to obtain judicial approval for all initial RIPA authorisations/applications and renewals. **There is no requirement for the Magistrate to consider either cancellations or internal reviews.**
- 7.6 In any case where it is likely that **confidential information** may be acquired by directed surveillance or by the use or conduct of a source, **the Authorised Officer who may grant authorisation is the SRO (Director of Resources) or, in her absence the Monitoring Officer.**
- 7.7 **Confidential information** consists of communications subject to *legal privilege*, communications between a Member of Parliament and another person on constituency matters, confidential personal information, or confidential journalistic material. So, for example, extra care should be taken where, through the use of surveillance, it is likely that knowledge will be acquired of communications between a minister of religion and an individual relating to the latter's spiritual welfare, or between a Member of Parliament and a constituent relating to constituency matters, or wherever matters of medical or journalistic confidentiality may be involved
- 7.8 Covert surveillance of all legal consultations should be considered to be intrusive.
- 7.9 When considering an application, Authorising Officers must:
- (a) have regard to the contents of this document, the training provided and any other guidance or advice given by the SRO;
  - (b) satisfy his/herself that the RIPA authorisation will be:
    - (i) **in accordance with the law;**
    - (ii) **necessary** in the circumstances of the particular case; and
    - (iii) **proportionate** to what it seeks to achieve.
  - (c) assess whether or not the proposed surveillance is proportionate, considering the following elements:
    - The custodial sentence applicable to the offence being investigated;
    - Balancing the size and scope of the proposed activity against the gravity and extent of the perceived crime or offence;
    - Explaining how and why the methods to be adopted will cause the least possible intrusion on the subject and others;
    - Whether the activity is an appropriate use of the legislation and a reasonable way, having considered all practical alternatives, of obtaining the necessary result;
    - Evidencing, as far as reasonably practicable, what other methods had been considered and why they were not implemented.
  - (d) take into account the risk of intrusion into the privacy of persons other than

the specified subject of the surveillance (called 'collateral intrusion'), and consider whether any measures should be taken to avoid or minimise collateral intrusion as far as possible (the degree of likely collateral intrusion will also be relevant to assessing whether the proposed surveillance is proportionate);

- (e) consider any issues which may arise in relation to the health and safety of council employees and agents, and ensure that a risk assessment has been undertaken if appropriate.

- 8 If an application is granted, the Authorising Officer must set a date for its review, and ensure that it is reviewed on that date (see below). Records must be kept in relation to all RIPA applications and authorisations by the Authorising Officer and by sending a copy to the SRO for retention.

## 9 URGENT AUTHORISATIONS

- 9.1 It is no longer possible for urgent authorisations to be given orally. However, a Magistrate may consider an authorisation out of hours in **exceptional** circumstances.

## 10 DURATION OF AUTHORISATIONS

- 10.1 Authorisations will have effect until the date for expiry specified on the relevant form. They must be granted for the designated period of three months for directed surveillance and one month for the acquisition of communications data. **No further operations should be carried out after the expiry of the relevant authorisation unless it has been renewed.** It will be the responsibility of the officer in charge of an investigation to ensure that any directed surveillance is only undertaken under an appropriate and valid authorisation, and therefore, he/she should be mindful of the date when authorisations and renewals will cease to have effect.
- 10.2 Authorisations should be reviewed at appropriate intervals in order to update the Authorising Officer on progress on the investigation and whether the authorisation is no longer required. Review periods should be set by the Authorising Officer, but should normally take place on a monthly basis unless the Authorising Officer considers that they should take place more or less frequently (if so, the reasons should be recorded). If the surveillance provides access to confidential information or involves collateral intrusion, there will be a particular need to review the authorisation frequently. The results of reviews should be recorded.
- 10.3 Authorisations must be cancelled as soon as they are no longer necessary. Even if an authorisation has reached its time limit and has ceased to have effect, it does not lapse and must still be formally cancelled. The responsibility for ensuring that authorisations are cancelled rests primarily with the officer in charge of the investigation, who should submit a request for cancellation on the appropriate form. However, if the Authorising Officer who authorised any directed surveillance (or any Authorising Officer who has taken over their duties) is satisfied that it no longer meets the criteria upon which it was authorised, s/he

must cancel it and record that fact in writing even in the absence of any request for cancellation.

10.4 If it is required, a renewal must be authorised prior to the expiry of the original authorisation. Applications for renewal should be made on the appropriate form shortly before the original authorisation period is due to expire. Officers must take account of factors which may delay the renewal process (eg intervening weekends or the availability of the relevant authorising officer and a Magistrate to consider the application). The Authorising Officer must consider the matter afresh, including taking into account the benefits of the surveillance to date and any collateral intrusion that has occurred. Renewals of an authorisation may be granted more than once, provided the criteria for granting that authorisation are still met. However, if the reason for requiring the authorisation has changed from the purpose for which it was originally granted, then it should be cancelled and new authorisation sought. The renewal will begin on the day when the original authorisation would otherwise have expired.

## **11 MATERIAL OBTAINED DURING INVESTIGATIONS**

- 11.1 Generally, all material (in whatever media) obtained or produced during the course of investigations subject to RIPA authorisations should be processed, stored and destroyed in accordance with the requirements of the Data Protection Act 2018 and any other legal requirements, including those of confidentiality, and the council's policies and procedures currently in force relating to document retention. The following paragraphs give guidance on some specific situations, but advice should be sought from the SRO where appropriate.
- 11.2 Where material is obtained during the course of an investigation which might be relevant to that investigation, or another investigation, or to pending or future civil or criminal proceedings, then it should **not** be destroyed, but retained in accordance with legal disclosure requirements.
- 11.3 Where material is obtained, which is not related to a criminal or other investigation or to any person who is the subject of the investigation, and there is no reason to suspect that it will be relevant to any future civil or criminal proceedings, it should be destroyed immediately.
- 11.4 Material obtained in the course of an investigation may be used in connection with investigations other than the one that the relevant authorisation was issued for. However, the use or disclosure of such material outside the council, unless directed by any court order, should only be considered in exceptional circumstances, and in accordance with advice from the SRO.
- 11.5 Where material obtained is of a confidential nature then the following additional precautions should be taken:
  - Confidential material should not be retained or copied unless it is necessary for a specified purpose;
  - Confidential material should only be disseminated in accordance with legal advice that it is necessary to do so for a specific purpose;



- Confidential material which is retained should be marked with a warning of its confidential nature. Safeguards should be put in place to ensure that such material does not come into the possession of any person where to do so might prejudice the outcome of any civil or criminal proceedings;
- Confidential material should be destroyed as soon possible after its use for the specified purpose.

If there is any doubt as to whether material is of a confidential nature, advice should be sought from the SRO.

### ASSESSMENT AND REVIEW

- 11.6 Following completion of any investigation/operation involving the use of RIPA, an assessment should be undertaken. This should detail the information obtained and how it was used to take the case forward.
- 11.7 The SRO will undertake periodic reviews of the assessment forms and may provide these records as part of any inspection by the Office of Surveillance Commissioners.

## **12 CCTV AND DIRECTED SURVEILLANCE**

- 12.1 The use of CCTV must be accompanied by clear signage in order for any monitoring to be overt. If it is intended to use CCTV for covert monitoring, for example by using either hidden cameras or without any signs warning that CCTV is in operation, then RIPA authorisation is likely to be required.

### **12.2 Note 272 of the OSC's 2016 Procedures & Guidance document:**

*272. It is recommended that a law enforcement agency should obtain a written protocol with a local authority if the latter's CCTV system is to be used for directed surveillance. Any such protocol should be drawn up centrally in order to ensure a unified approach. The protocol should include a requirement that the local authority should see the authorisation (redacted if necessary to prevent the disclosure of sensitive information) and only allow its equipment to be used in accordance with it.*

## **13 RECORDS MANAGEMENT**

- 13.1 Records shall be maintained for a period of at least **three years** from the cancellation of the authorisation. Following which they shall be securely destroyed in accordance with the council's Retention and Disposal Policy.
- 13.2 A copy of all completed RIPA forms, including applications (whether granted or refused), authorisations, reviews, renewals and cancellations, must be forwarded by the Authorising Officer to the SRO within **five working days** of the date of the relevant decision. All documents should be sent in sealed envelopes marked "For Your Eyes Only".

13.3 Applicants and Authorising Officers may keep copies of completed RIPA forms, but care must be taken to ensure any copies are stored securely and disposed of in accordance with the council's retention and disposal policy. It is good practice for officers who will be carrying out surveillance to retain a copy of the authorisation as a reminder of exactly

what has been authorised. Under the Criminal Procedure and Investigations Act, case files are required to hold original documents for court action.

13.4 A 'Surveillance Log Book' should be completed by the investigating officer(s) to record all operational details of authorised covert surveillance. Each service will also maintain a record of the issue and movement of all Surveillance Log Books.

13.5 All RIPA records, whether in original form or copies shall be kept in secure locked storage when not in use.

#### **14 NON-RIPA**

14.1 It is important to understand that s 80 RIPA has the effect that if covert surveillance takes place without an authorization then it is not necessarily rendered unlawful. The effect of not having an authorization means that the Council cannot claim the protection of s27 which makes any such surveillance expressly lawful.

14.2 There may be circumstances when the crime threshold is not satisfied to apply for authorization under the legislation. However there may be a need to carry out covert surveillance eg employee surveillance. In such a case the forms for directed surveillance should be completed seeking authority from an Authorised Officer so that the Council is obliged to consider the seriousness of its proposed action and the need for rigour in authorizing a non ripa approved surveillance.

#### **15 TRAINING**

15.1 Appropriate corporate training will be arranged by the SRO for all officers likely to make applications or authorise them.

15.2 Such Officers must receive training on a bi- annual basis. This may be by way of a briefing or an e-learning module.

15.3 No officer will be permitted to undertake the role of Applicant or Authorising Officer unless she/he has undergone suitable training approved by the SRO

### **APPENDIX – ROLES AND RESPONSIBILITIES**

#### **AUTHORISING OFFICERS**

1. Director of Resources

2. Strategic Services  
Manager

3. Monitoring  
Officer

**SENIOR RESPONSIBLE OFFICER**

Director of Resources

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