

# Public Document Pack

**To: All Members of the Policy and Resources Committee  
(and any other Members who may wish to attend)**

**J. Henshaw  
LLB (Hons)  
Clerk to the Authority**

Tel: 0151 296 4000  
Extn: 4112 Helen Peek

Your ref:

Our ref HP/NP

Date: 11 November 2013

Dear Sir/Madam,

You are invited to attend a meeting of the **POLICY AND RESOURCES COMMITTEE** to be held at **12.00 pm** on **TUESDAY, 19TH NOVEMBER, 2013** in the Wirral Suite at Merseyside Fire and Rescue Service Headquarters, Bridle Road, Bootle.

Yours faithfully,



Clerk to the Authority

Encl.

This page is intentionally left blank

**MERSEYSIDE FIRE AND RESCUE AUTHORITY**

**POLICY AND RESOURCES COMMITTEE**

**19 NOVEMBER 2013**

**AGENDA**

**Members**

Les Byrom (Chair)  
Robbie Ayres  
Roy Gladden  
Ted Grannell  
Steve Niblock  
Denise Roberts  
Sharon Sullivan  
Pat Moloney

**1. Preliminary Matters**

Members are requested to consider the identification of:

- a) declarations of interest by individual Members in relation to any item of business on the Agenda
- b) any additional items of business which the Chair has determined should be considered as matters of urgency; and
- c) items of business which may require the exclusion of the press and public during consideration thereof because of the possibility of the disclosure of exempt information.

**2. Minutes of the Previous Meeting (Pages 1 - 4)**

The Minutes of the previous meeting of the Policy and Resources Committee, held on 26<sup>th</sup> September 2013, are submitted for approval as a correct record and for signature by the Chair.

**3. Treasury Management Interim Report 2013/14 (Pages 5 - 12)**

(CFO/128/13)

To consider Report CFO/128/13 of the Deputy Chief Executive, concerning a review of the Authority's Treasury Management activities during the year 2013/14.

4. **Financial Review 2013/14 April To September** (Pages 13 - 46)  
(CFO/129/13)

To consider Report CFO/129/13 of the Deputy Chief Executive concerning a review of the financial position, both revenue and capital, for the Authority for the period April to September 2013.

5. **Review Of The Information Governance And Security Policy And Associated Service Instructions** (Pages 47 - 112)  
(CFO/130/13)

To consider Report CFO/130/13 of the Deputy Chief Fire Officer, concerning revised Policy and Service Instructions that have resulted from a fundamental review of existing Information Governance and Security documents, taking into account new legal and best practice requirements.

6. **Exemption To Contract Standing Orders For Refurbishment Works At Fire Service Headquarters** (Pages 113 - 116)  
(CFO/131/13)

To consider Report CFO/131/13 of the Deputy Chief Executive, concerning approval for an exemption to Contract Standing Orders.

***This Item contains EXEMPT information by virtue of Paragraph 3 of Part 1 of Schedule 12A to the Local Government Act 1972.***

7. **Purchase Of A Time & Resource Management (TRM) Application**  
(Pages 117 - 140)  
(CFO/132/13)

To consider report CFO/132/13 of the Deputy Chief Executive and the Deputy Chief Fire Officer concerning the purchase of a Time & Resource Management (TRM) application that forms part of the Authority's integrated HR/Payroll solution.

***This Item contains EXEMPT information by virtue of Paragraph 3 of Part 1 of Schedule 12A Local Government Act 1972***

-----  
If any Members have queries, comments or require additional information relating to any item on the agenda please contact Committee Services and we will endeavour to provide the information you require for the meeting. Of course this does not affect the right of any

Member to raise questions in the meeting itself but it may assist Members in their consideration of an item if additional information is available.

### Refreshments

Any Members attending on Authority business straight from work or for long periods of time, and require a sandwich, please contact Democratic Services, prior to your arrival, for arrangements to be made.

This page is intentionally left blank

**MERSEYSIDE FIRE AND RESCUE AUTHORITY****POLICY AND RESOURCES COMMITTEE****26 SEPTEMBER 2013****MINUTES**

**Present:** Cllr Leslie T. Byrom CBE (Chair) Councillors Robbie Ayres, Ted Grannell, Steve Niblock, Denise Roberts, Sharon Sullivan, Pat Moloney and Linda Maloney (In place of Roy Gladden)

**Also Present:** Visitors Mike Palin and Paul Dickinson from the Liverpool Enterprise Partnership (LEP), to present item 4.

**Apologies of absence were received from: Cllr Roy Gladden (Cllr Linda Maloney as Alternate)**

**1. Minutes of the Previous Meeting**

Members considered the minutes of the open session of the previous Policy and Resources meeting on 30<sup>th</sup> July 2013.

**Resolved that:**

The Minutes of the previous meeting on 30<sup>th</sup> July 2013 be approved and signed accordingly by the Chair as a true record.

**2. Part Two Exempt Minutes of Previous Meeting**

Members considered the minutes of the closed session of the previous Policy and Resources meeting on 30<sup>th</sup> July 2013.

**Resolved that:**

The Minutes of the closed session of the previous meeting on 30<sup>th</sup> July 2013 be approved and signed accordingly by the Chair as a true record.

**3. Presentation - Local Enterprise Partnership**

Members were provided with a presentation by Mike Palin and Paul Dickinson from the Liverpool Enterprise Partnership (LEP), at the request of this Committee, regarding an activity update of the LEP and the benefits to the Authority of being affiliated to the LEP.

**Resolved that:**

The presentation be noted.

**4. Approved Exemptions To Contract Standing Orders**

(CFO/116/13)

Members considered report CFO/116/13 of the Clerk to the Authority regarding approved Exemptions to Contract Standing Orders requested during the financial year 2012/13.

A question regarding the use of temporary workers in the Kitchen due to sickness was raised.

It was noted that the Authority have previously requested a report regarding 'living wage', be brought back to Members, which would be helpful to consider in relation to the use of temporary workers.

Resolved that:

- a) The report regarding approved exemption requests in the financial year 2012/13 be noted; and
- b) A report detailing the use of temporary workers and reasons for staff turnover be brought back to Members.

**5. Financial Review 2013/14 - April to June 2013**

(CFO/115/13)

Members considered report CFO/115/13 of the Deputy Chief Executive Officer to review the financial position, both revenue and capital, for the Authority for the first quarter 2013/14 (April –June 2013).

The Deputy Chief Executive Officer asked Members to note that within the review £250k of the Authority's cost smoothing reserve for organisational restructuring, is being specifically used to cover any cost smoothing risks associated with funding of the Princes Trust.

Resolved that:

- a) The Financial Review 2013-14, April to June 2013 be noted; and
- b) The £250K cost smoothing reserve be used to smooth costs around risks associated with Princes Trust funding shortfalls.

**6. Private Finance Initiative Project - Progress for the Period March - August 2013**

(CFO/112/13)

Members considered report CFO/112/13 of the Deputy Chief Executive Officer regarding the North West Fire and Rescue Services Private Finance Initiative Project (PFI) progress for the period March to August 2013, and the end of the construction phase of the project.



Resolved that:

- a) The progress on the North West Fire and Rescue Services Private Finance Initiative Project be noted; and
- b) Thanks be expressed to all staff involved in the delivery of the project, and the formal station openings; and
- c) The inclusion of the community, schools and local councils at the station openings be commended; and
- d) Positive steps be made to encourage the Community to use the facilities at the new stations.

**7. Code Of Conduct - Operational PFI/ PPP Contracts**

(CFO/100/13)

Members considered report CFO/100/13 of the Deputy Chief Executive Officer regarding a Code of Conduct for Operational PFI/PPP Contracts.

Resolved that:

The Authority being a signatory to the Code of Conduct for Operational Private Finance Initiative / Public Private partnership Contracts be approved.

**8. Statutory Officers Discipline Procedure**

(CFO/114/13)

Members Considered report CFO/114/13 of the Deputy Chief Fire Officer regarding a Discipline Procedure for Statutory Officers.

A debate took place around the wording used under the right to appeal section within the procedure regarding whether grounds of appeal should be included by a Statutory Officer if wishing to appeal against a sanction.

Resolved that:

- a) The introduction of the revised discipline procedure for relevant officers (as detailed in appendix A to the report) be approved with the provision that;
- b) the Authority's Task and Finish Group scrutinising the Authority's discipline and grievance procedures, compare the Authority's discipline procedures for all staff with the discipline procedure for statutory officers and check that the wording in relation to what detail should be included in any employee's letter of Appeal against a decision in order to ensure that they all reflect the requirements of ACAS and the various conditions of service (Grey/Green/Gold book) and, where possible, are consistent; and

- c) Approve the changes to the terms of reference to the Audit Sub Committee (as detailed in appendix C to the report) required in order to put the revised discipline procedure into effect.

Close

Date of next meeting Tuesday, 19 November 2013

Signed: \_\_\_\_\_

Date: \_\_\_\_\_

**AGENDA ITEM:**

<b>REPORT TO:</b> Meeting of the	<b>MERSEYSIDE FIRE &amp; RESCUE AUTHORITY POLICY &amp; RESOURCES COMMITTEE</b>
<b>DATE:</b>	<b>19 NOVEMBER 2013</b>
<b>REPORT NO.</b>	<b>CFO/128/13</b>
<b>REPORTING OFFICER:</b>	<b>DEPUTY CHIEF EXECUTIVE</b>
<b>CONTACT OFFICER:</b>	<b>IAN CUMMINS, HEAD OF FINANCE, EXTN. 4244</b>
<b>OFFICERS CONSULTED:</b>	
<b>SUBJECT:</b>	<b>TREASURY MANAGEMENT INTERIM REPORT 2013/14</b>

**APPENDIX A: TITLE "Treasury Management Interim Report 2013/14"**Purpose of Report

1. This report ensures the Authority meets the requirements of both the CIPFA Code of Practice on Treasury Management and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Authority is required to comply with both Codes through regulations issued under the Local Government Act 2003). The Codes require the Authority to review its Treasury Management activities during the year to ensure they are consistent with its approved Treasury Management Strategy and have remained within the approved Prudential Indicators. This report meets that requirement and outlines the Treasury Management activities and performance for April to September for the financial year 2013/14.

Recommendation

2. That Members note the report.

Introduction & Background

3. The CIPFA Code of Practice for Treasury Management in Local authorities has been adopted by the Authority and a Treasury Policy Statement incorporated in Financial Regulations in accordance with the requirements of the Code. The arrangements for reporting treasury management activities to members are that the Deputy Chief Executive (DCE) will present a minimum of three reports: -
  - An Annual Treasury Strategy Report before the start of a financial year.
  - An interim report during the second half of a financial year, (other interim reports will be prepared if necessary).
  - An annual outturn report by 30th September following the financial year to which it relates.

4. The original Treasury Management Strategy Statement 2013/14 was contained within the Budget and Financial Plan report CFO/025/13 approved by the Authority at its meeting on 26 February, 2013. The strategy covered the following areas:
  - (a) prospects for interest rates;
  - (b) capital borrowing and debt rescheduling;
  - (c) annual investment strategy;
  - (d) external debt prudential indicators;
  - (e) treasury management prudential indicators.
  - (f) performance indicators;
  - (g) treasury management advisers
  
5. Interim Treasury Management Report; Appendix A to this report constitutes the interim report for 2013/14. In summary the treasury management activity has been carried out in compliance with the relevant Codes and Statutes and within the borrowing and treasury management limits set by the Authority under the prudential code. Performance indicators are consistent with the Authority's approved Treasury Management Strategy.

#### Equality & Diversity Implications

6. There are no equal opportunity implications in this report.

#### Staff Implications

7. None directly related to this report.

#### Legal Implications

8. This report meets the requirements of the relevant regulations issued under the Local Government Act 2003 and the CIPFA Code of Practice on Treasury Management and the CIPFA Prudential Code for Capital Finance in Local Authorities.

#### Financial Implications & Value for Money

9. Borrowing and financing costs make up a significant proportion of Authority budgets (nearly 10%). It is vital that this is proactively managed alongside the investment portfolio to minimise risk.

#### Risk Management, Health & Safety, and Environmental Implications

10. None directly related to this report.

Contribution to Our Mission – To Achieve; Safer Stronger Communities – Safe Effective Firefighters”

11. Sound budgetary management and the delivery of services within the approved budget contribute to the core value of providing an excellent and affordable response.

**BACKGROUND PAPERS**

Report CFO/025/13 "MFRA Budget and Financial Plan 2013/2014-2017/2018"  
Authority 26th February 2013.

Report CFO/143/10 "Treasury Policy Statement & Management Practices" Audit &  
VFM Scrutiny Panel 2<sup>nd</sup> September 2010.

**Glossary of Terms**

PWLB - Public Works Loans Board rates

CLG - Department for Communities and Local Government

CIPFA – the Chartered Institute for Public Finance & Accountancy

**TREASURY MANAGEMENT INTERIM REPORT 2013/14****INTRODUCTION**

1. The CIPFA Code of Practice for Treasury Management in Local Authorities has been adopted by the Authority. The Code requires that Treasury Management activities are subject to reports to Members. This report represents the interim report for 2013/14.
2. The strategy for the year was identified in the Treasury Management Strategy Statement 2013/14 as part of the Budget Proposals 2013/14 submitted to Members in February 2013. The strategy covered the following areas:
  - (a) prospects for interest rates;
  - (b) capital borrowing and debt rescheduling;
  - (c) annual investment strategy;
  - (d) external debt prudential indicators;
  - (e) treasury management prudential indicators.
  - (f) performance indicators;
  - (g) treasury management advisers

**PROSPECTS FOR INTEREST RATES**

3. Optimism in growth forecasts has continued and a modest and sustained recovery over the next three years is indicated by the Bank of England. Inflation forecasts are also still benign. However, there is still a relatively weak outlook for economic growth and the prospects for any increase in Bank Rate before 2015 are low. Short-term rates have remained at 0.5% in line with the forecast for them to remain on hold for the rest of the financial year.
4. It was expected that there would be upward pressure on longer term rates due to a high volume of debt issuance and improved prospects of a return to economic growth. Long term PWLB rates rose by 0.25% during the first quarter then remained flat in the second quarter. Forecasts are for higher PWLB rates later in the year as a result of an improved economic recovery.
5. The strategy indicated that the overall structure of interest rates, whereby short term rates are lower than long term rates, was expected to remain the same throughout 2013/14. In this scenario, the strategy would be to reduce investments and borrow for short periods and possibly at variable rates when required.

**CAPITAL BORROWINGS AND DEBT RESCHEDULING**

6. The borrowing requirement comprises the expected movements in the Capital Financing Requirement and reserves plus any maturing debt which will need to be re-financed. The Authority does not envisage that any new long term borrowing will be required in 2013/14.
7. Current PWLB lending terms have severely constrained the option to generate savings via debt rescheduling. A significant rise in long term interest rates is required before rescheduling of debt is viable. However, interest rate structures

are continually monitored for opportunities to generate savings from debt rescheduling. Any rescheduling that takes place will be reported to Members in monitoring reports.

### ANNUAL INVESTMENT STRATEGY

8. The investment strategy for 2013/14 set out the priorities as the **security** of capital and **liquidity** of investments. Investments are made in accordance with CLG Guidance and CIPFA Code of Practice. Investments are made in sterling with an institution on the counterparty list and for a maximum of one-year duration.
9. The diversity of investments has been expanded by the use of deposits with the larger Building Societies. These deposits combined with investments with the “nationalised” banks and AAA rated money market funds has enabled reasonable returns in a low interest rate environment. In the period 1st April to 30 September 2013 the average rate of return achieved on average principal available was 0.75%. This compares with an average seven day deposit (7 day libid) rate of 0.36%.

The Authority had investments of £29.1m as at 30 September 2013, (most of which is due to the carry forward of £17.4m of investments from 2012/13 and the receipt of £19m firefighter pension grant in July 2013):

<b>ANALYSIS OF INVESTMENTS END OF September 2013</b>				
<b>Institution</b>	<b>Credit Rating</b>	<b>MM Fund*</b>	<b>Bank / Other</b>	<b>Building Society</b>
		£	£	£
Ignis Liquidity Fund	AAA	3,000,000		
Prime Rate	AAA	3,000,000		
Morgan Stanley	AAA	3,000,000		
Goldman Sachs	AAA	3,000,000		
Deutsche/DGLS/State Street	AAA	1,100,000		
Natwest Instant Access	A		4,000,000	
Natwest Term Deposit	A			
Close Brothers	A		2,000,000	
West Bromwich B Soc	Unrated			1,000,000
HBOS 12 Month FTD	A		4,000,000	
Nationwide BS	A			2,000,000
Skipton Building Society	Unrated			1,000,000
Newcastle Building Society	Unrated			1,000,000
Nottingham Building Soc	Unrated			1,000,000
<b>Totals</b>		13,100,000	10,000,000	6,000,000
<b>Total Current Investments</b>				<b>29,100,000</b>
<i>*MM Fund - Money Market Funds -these are funds that spread the risk associated with investments over a wide range of credit worthy institutions.</i>				

### EXTERNAL DEBT PRUDENTIAL INDICATORS

10. The external debt indicators of prudence for 2013/14 required by the Prudential Code were set in the strategy as follows:

Authorised limit for external debt:	£82 million
Operational boundary for external debt:	£50million

Against these limits, the maximum amount of debt that was reached in the period April to September 2013 was £45.1 million.

### **TREASURY MANAGEMENT PRUDENTIAL INDICATORS**

11. The treasury management indicators of prudence for 2013/14 required by the Prudential Code were set in the strategy as follows:

#### **a) Interest Rate Exposures**

Upper limit on fixed interest rate exposures:	100%
Upper limit on variable interest rate exposures:	50%

The maximum that was reached in the period April to September 2013 was as follows:

Upper limit on fixed interest rate exposures:	100%
Upper limit on variable interest rate exposures:	0%

#### **b) Maturity Structure of Borrowing**

Upper and lower limits for the maturity structure of borrowing were set and the maximum and minimum that was reached for each limit in the period April to September 2013 was as follows: -

Maturity Period	Upper Limit	Lower Limit	Maximum Actual	Minimum Actual
Under 12 months	80%	0%	3%	0%
12 months and within 24 months	50%	0%	3%	2%
24 months and within 5 years	50%	0%	9%	9%
5 years and within 10 years	50%	0%	10%	10%
10 years and above	80%	0%	77%	75%

#### **c) Total principal sums invested for periods longer than 364 days**

The limit for investments of longer than 364 days was set at £2 million for 2013/14. No such investments have been placed in 2013/14.

### **PERFORMANCE INDICATORS**

12. The Code of Practice on Treasury Management requires the Authority to set performance indicators to assess the adequacy of the treasury function over the year. These are distinct historic indicators, as opposed to the prudential indicators, which are predominantly forward looking.
13. The indicators for the treasury function are:



**Borrowing** – the indicator is the average rate of actual borrowing compared to the average available for the period of borrowing. However, there has been no borrowing in the period April to September 2013.

**Investments** – Internal returns compared to the 7 day LIBID rate. The return in the period April to September 2013 was 0.39% above the benchmark.

#### **TREASURY MANAGEMENT ADVISORS**

14. The treasury management service is provided to the Authority by Liverpool City Council. The terms of the service are set out in an agreed Service Level Agreement. The Council employs treasury management advisors appointed under a competitive procurement exercise who provide a range of services which include: -
  - Technical support on treasury matters, capital finance issues.
  - Economic and interest rate analysis.
  - Debt services which includes advice on the timing of borrowing.
  - Debt rescheduling advice surrounding the existing portfolio.
  - Generic investment advice on interest rates, timing and investment instruments.
  - Credit ratings/market information service comprising the three main credit rating agencies.
  
15. Whilst Liverpool City Council and its advisors provide the treasury function, ultimate responsibility for any decision on treasury matters remains with the Authority.

#### **CONCLUSION**

16. Treasury Management activity in 2013/14 has been carried out in compliance with the relevant Codes and Statutes and within the borrowing and treasury management limits set by the Authority under the prudential code.

This page is intentionally left blank

## AGENDA ITEM:

<b>REPORT TO:</b> Meeting of the	<b>MERSEYSIDE FIRE &amp; RESCUE AUTHORITY POLICY AND RESOURCES COMMITTEE</b>
<b>DATE:</b>	<b>19th NOVEMBER 2013</b>
<b>REPORT NO.</b>	<b>CFO/129/13</b>
<b>REPORTING OFFICER:</b>	<b>KIERAN TIMMINS, DEPUTY CHIEF EXECUTIVE</b>
<b>CONTACT OFFICER:</b>	<b>IAN CUMMINS, HEAD OF FINANCE, EXTN. 4244</b>
<b>OFFICERS CONSULTED:</b>	
<b>SUBJECT:</b>	<b>FINANCIAL REVIEW 2013/14 – April to September</b>

**APPENDIX A1: TITLE “Revenue Budget Movements Summary”**

**APPENDIX A2: TITLE “Budget Movement on Reserves 2013/2014”**

**APPENDIX A3: TITLE “Fire Service Revenue Budget Movements Summary”**

**APPENDIX A4: TITLE “Corporate Service Revenue Budget Movements Summary”**

**APPENDIX B: TITLE “Capital Programme 2013/2014”**

**APPENDIX C: TITLE “Updated 2013/2014 – 2017/2018 Capital Programme”**

**APPENDIX D: TITLE “Qtr 2 Write-Offs”**

#### **ATTACHED – HARD COPY**

##### Purpose of Report

1. To review the financial position, both revenue and capital, for the Authority for 2013/14. The Authority receives regular comprehensive financial reviews during the year which provide a full health check on the Authority’s finances. This report covers the period April to September 2013.

##### Recommendation

2. That Members:
  - a) Note the potential £0.9m favourable revenue position identified within this report.
  - b) Approve the 2013/14 budget amendments as set out in this report; and
  - c) Instruct the Deputy Chief Executive to continue to work with budget managers to maximise savings in 2013/14.

##### Executive Summary

###### Executive Summary

###### **Revenue:**

The Authority has a detailed medium-term financial plan. The key elements of this are :-

- To control Council Tax

- Continue with its modernisation programme and deliver the Authority's mission of achieving Safer Stronger Communities – Safe Effective Firefighters
- To deliver the required savings through efficiencies of which most are employee related.

The Authority is on target to deliver the 2013/14 budget savings in cash terms and is progressing well with the required structural changes in its workforce to maintain the required savings on a permanent basis.

The total budget requirement remains at the original budget level of £66.721m, (appendix A1 – A4 outlines in detail all the revenue budget and reserve movements).

The Authority has a strategy of maximising savings and delivering its savings plan as early as possible in order to increase reserves as a hedge against the future financial challenges. Overall this report, based on the first 6 months of the year, has indicated a potential £0.925m "ahead of target" saving by the year-end. Members are asked to note this potential saving at this point. The Deputy Chief Executive is continuing to work with budget holders to maximise savings in 2013/14 and will report in more detail in future financial reviews.

**Capital:**

The capital programme planned spend has increased by £1.236m, of which £0.850m relates to new schemes approved by members. £1.090m is funded by specific grant or other non-borrowing funding. The revised Capital Programme is outlined in Appendix C and D.

**Reserves & Balances:**

The general balance remains unchanged at £2.894m. All movements in earmarked reserves are outlined in Appendix A2.

**Treasury Management:**

Short-term interest rates have remained at 0.50% as expected. No new long term borrowing has been arranged and the Authority has continued its policy of reducing investments and only taking short term borrowing to cover cash flow requirements.

**Financial Processes:**

Performance in Financial processes remains strong.

Introduction & Background

3. The purpose of this report is to enable the Authority to monitor its income and expenditure levels against its budget on a regular basis throughout the year to ensure effective financial management.

4. This report is the review of the Authority's position up to the end of the September of the financial year 2013/14 (April – September 2013).
5. In order to ensure that the financial reviews provide a regular and effective financial health check on all aspects of the Authority's finances the following structure has been adopted.

<u>Financial Review Structure</u>	
<u>Section</u>	<u>Content</u>
A	Current Financial Year Review (Revenue Budget, Capital Programme and movement on Reserves)
B	Treasury Management Review
C	Internal Audit
D	Financial Process Monitoring/Performance Indicators

**(A) Current Financial Year – 2013/14**

6. The purpose of the financial review report is to provide members with an assurance that the approved budget remains robust and that the current forecast of expenditure can be contained within the available resources. If actual expenditure or income for the year is inconsistent with the current budget then the report will, if necessary, identify the appropriate corrective action.

**Revenue Position:**

Revenue Budget Movements:

7. The attached **Appendix A** to this report summarises the revenue budget movements since the last financial review report. The net budget requirement remains at £66.721m which is consistent with the original budget.
8. There have been a number of budget adjustments with no net impact because they are either self-balancing virements within department budgets or budget increases financed by reserves. The net drawdown from reserves for the period was £0.525m, of which £0.470m was the planned allocation from the PFI reserve to cover rental payments.
9. Update on 2013/14 Elements of Financial plan yet to be Achieved:

The Authority approved savings in total of £19.3m (Phase 1 & 2) as part of the 2011/12 - 2017/18 financial plans. Of the savings expected to be implemented by 2013/14 (£14.3m) £1.106m have yet to be formally implemented, however plans are well advanced to deliver these savings, and in cash terms the total value of savings will be delivered in the year. The position on the outstanding £1.106m saving options is;

- Estates £0.166m; Outsourcing was anticipated to save £0.250m p.a. The outsourcing has been deferred for a number of reasons. The service has reviewed the in-house cleaning function and has now implemented the revised staffing structure leaving £0.166m to be found from within the remaining employee and facilities management costs. Officers are reviewing these areas and are confident the full saving option can be formally implemented before the end of the year.
- Flexible Shift Patterns at Whiston £0.300m; Whilst the shift pattern at Whiston has not changed the overall restructure of fire cover will deliver additional savings that will meet this target.
- Phase 2 Cuts in Front Line £0.305m; this will be delivered as part of the implementation of the grey book staffing model changes and the move to 28 fire appliances as of 9<sup>th</sup> September 2013, and the subsequent station and watch re-balancing. Once this is concluded the operational budget will be amended. In addition as part of the Fire review the Chief Fire Officer has concluded that at this time the capability provided by the Marine Rescue Unit (MRU) continues to deliver an important part of the overall response capability of the service and should be maintained. Members will recall that the mid-term financial plan assumed a reduction in costs from the MRU (either by income generation if successful or by closing the service). Whilst there has been some success achieving a small increase in income from current partners it is now considered that this particular option will not be achieved in light of the need for the service as part of a balanced response capability. However the overall restructure of fire cover has identified off setting savings that will compensate for this and maintain a balanced plan.
- Outstanding Phase 2 Cuts in Support Costs £0.335m; Over £1.340m of the required saving has been implemented so far, the balance reflects some outstanding business re-engineering work that is required before the remaining savings can be formally implemented.

Table A below summarises the position in terms of the implementation of the approved savings at the time of writing this report:

<b>Progress in allocating out Phase 1 Approved Saving Options</b>				
	2013/14	2014/15	2015/16	2016/17
	£'000	£'000	£'000	£'000
<b>2011/12 Approved Savings:</b>	<b>-9,200</b>	<b>-9,200</b>	<b>-9,200</b>	<b>-9,200</b>
<b>Approved Saving Options yet to be formally implemented:</b>				
Outsource Estates function	-166	-166	-166	-166
Flexible Shift Patterns at Whiston	-300	-300	-300	-300
<b>Value of Saving Options yet to be formally implemented</b>	<b>-466</b>	<b>-466</b>	<b>-466</b>	<b>-466</b>
<b>2013/14 Approved Savings:</b>	<b>-5,125</b>	<b>-10,060</b>	<b>-10,002</b>	<b>-10,077</b>
<b>Approved Saving Options yet to be formally implemented:</b>				
Phase 2 Cuts in Front Line	-305	-1,750	-3,100	-3,100
Phase 2 Cuts in Support Savings	-335	-683	-683	-683
Income Generation	0	0	-100	-100
<b>Value of Saving Options yet to be formally implemented</b>	<b>-640</b>	<b>-2,433</b>	<b>-3,883</b>	<b>-3,883</b>
<b>Total Value of Approved Savings Options</b>	<b>-14,325</b>	<b>-19,260</b>	<b>-19,202</b>	<b>-19,277</b>
<b>2011/ 12 - 2013/14 Approved Savings yet to be formally implemented:</b>	<b>-1,106</b>	<b>-2,899</b>	<b>-4,349</b>	<b>-4,349</b>

Actual staff numbers are continually monitored to ensure the Service continues to deliver in “cash” terms the required saving target.

### **Revenue Forecast Position:**

10. The Authority is expecting further grant cuts in 2015/16 and 2016/17. The current forecast deficit the Authority will need to consider as part of the budget process is at least £9.1 million by 2016/17 (as reported to Members at 3<sup>rd</sup> September 2013 Authority meeting, CFO/103/13) and therefore as part of its strategy it has directed Officers to maximise savings in the year to contribute towards the building up of reserves. Such reserves can then be used as part of an implementation and risk management strategy to deliver savings.

### **Employee Costs**

Employee costs make-up nearly 80% of the Authority’s revenue budget and is the most risk critical area of the financial plan. This is therefore monitored extremely closely.

Firefighter retirements have continued in line with the forecast profile adopted for the financial strategy. Staff turnover within some green book posts has resulted in short term vacancies and this combined with post-holders not being at the top of the their budgeted grade is expected to deliver a small favourable variance by the end of the year. Overall the direct staff costs are forecast to be below budget by approximately £0.250m.

In addition small favourable variance on indirect employee related costs such as allowances and expenses of approximately £0.050m.

The Deputy Chief Executive will continue to monitor actual staff numbers during the year to ensure the Service continues to deliver in “cash” terms the required saving target and report back in more detail on savings that are ahead of target as the year progresses.

#### **Other Non-Employee Revenue Costs**

The Deputy Chief Executive is continuing to work with budget holders to maximise savings in 2013/14. The latest indications are that some additional savings may be delivered through careful management through the year; specifically;

- The Authority funds most of its capital expenditure through borrowing and the resulting debt repayments, (Minimum Revenue Provision, MRP), and interest costs are charged to the revenue account. The current treasury management policies which seek to delay borrowing by minimising investments has resulted in a saving on interest payments of £0.500m as the anticipated new loans can be deferred.
- Interest on Balances - As members may be aware current interest rates on investments is extremely low, often less than 0.5%. therefore there is likely to be a shortfall in investment income of approximately £0.125m.
- Supplies and services –savings on phones; uniforms; professional services and a number of other variations has resulted in a forecast saving in this year of £0.200m.

#### **Contingency for 2013/14 Pay & Price Increases**

Members will recall that the budget made a 1% provision for pay bill increases in 2013/14. Pay awards for all staff have now been settled and have been consistent with the 1% budget assumption. Officers are attempting to manage inflationary pressures through the base budget and are optimistic a saving of £0.025m can be achieved.

#### **Summary of Revenue Forecast Position:**

The Authority has made good progress in implementing the approved budget saving options and required organisational structure changes with only a small number yet to be formally implemented. As firefighter retirements are in line with the forecast and other green book savings the Service continues to deliver in “cash” terms it’s required saving target.

Overall the latest forecast has indicated a potential revenue saving of £0.925m, however at this point members are being asked just to note this variance. The Deputy Chief Executive is continuing to work with budget holders to maximise savings in 2013/14 and will report in more detail in future financial reviews. Table B below summarise the revenue year-end forecast position based on spend to the end of September 2013:



**Table B: Anticipated Year-End Revenue Position**

	FIRE SERVICE BUDGET	CORP MGT BUDGET	TOTAL BUDGET	ACTUAL as at 30.09.13	FORE- CAST	VARI- ANCE
	£'000	£'000	£'000	£'000	£'000	£'000
<b>Expenditure</b>						
Employee Costs (net of o/s savings)	52.123	0.451	52.574	24.501	52.274	-0.300
Premises Costs	3.078	0.000	3.078	1.174	3.078	0.000
Transport Costs	1.681	0.000	1.681	0.963	1.656	-0.025
Supplies and Services	4.373	0.064	4.437	1.521	4.237	-0.200
Agency Services	4.552	0.000	4.552	2.632	4.552	0.000
Central Support Services	0.241	0.086	0.327	0.140	0.327	0.000
Capital Financing	8.457	0.000	8.457	0.000	7.957	-0.500
<b>Income</b>	-5.871	0.000	-5.871	-2.155	-5.871	0.000
<b>Net Expenditure</b>	68.634	0.601	69.235	28.776	68.210	-1.025
<b>Contingency Pay&amp;Prices</b>	0.365		0.365	0.000	0.340	-0.025
<b>Cost of Services</b>	68.999	0.601	69.600	28.776	68.550	-1.050
<b>Interest on Balances</b>	-0.367		-0.367	0.031	-0.242	0.125
<b>Movement on Reserves</b>	-2.512		-2.512	0.000	-2.512	0.000
<b>Total Operating Cost</b>	66.120	0.601	66.721	28.807	65.796	-0.925

**Capital Forecast Position:**

11. The last financial review report (CFO/115/13) approved a 5 year capital programme worth £36.697m, (CFO/025/13). This has now been updated for scheme additions and changes during quarter 2 of £1.236m which are summarised in the table below:

TABLE C

Movement in the 5 Year Capital Programme						
	Total Cost	2013/14	2014/15	2015/16	2016/17	2017/18
	£'000	£'000	£'000	£'000	£'000	£'000
<b>Expenditure</b>						
2013/14 re-phrasings	0.0	-3,488.1	3,403.1	85.0		
New Schemes;						
Workshop Enhancement for Partnership work	350.0	350.0				
Overview of Estates - Station Refresh	500.0	100.0	400.0			
SHQ Museum	150.0	75.0	75.0			
SHQ Training Tower	0.0	-75.0	75.0			
JCC SHQ work/ Increase MPA work	684.0	684.0				
JCC planned SHQ work- reduction in SHQ schemes	-448.0	-267.0	-15.5	-80.5	-85.0	
ICT Hardware	0.2	0.2				
	<b>1,236.2</b>	<b>-2,620.9</b>	<b>3,937.6</b>	<b>4.5</b>	<b>-85.0</b>	<b>0.0</b>
<b>Funding</b>						
<b>External Contributions</b>						
M'side Police (JCC)	89.8	89.8				
Museum (NWAS/Partners)	75.0	75.0				
<b>RCCO</b>						
ICT schemes	0.2	0.2				
<b>Capital Reserve</b>						
Station Refresh, Museum, & Workshop)	925.0	450.0	475.0			
<b>Borrowing:</b>						
Impact of re-phasing of schemes	0.0	-3,488.1	3,403.1	85.0		
JCC SHQ work / re-phasing MPA contribution	146.2	327.2	-15.5	-80.5	-85.0	
SHQ Training Tower	0.0	-75.0	75.0			
	<b>1,236.2</b>	<b>-2,620.9</b>	<b>3,937.6</b>	<b>4.5</b>	<b>-85.0</b>	<b>0.0</b>

12. Although the level of planned expenditure has increased as most of it is funded by specific resources the required level of borrowing has actually only risen by £0.146m. The increase in the programme can be explained by:

- CFO/104/13 "MFRA Public & Private Partnership Venture"; members approved enhancement works at the Vesty Workshop of £0.350m to in part facilitate a landlord and tenant arrangement with a private partner to deliver a long term income rental. The scheme will be funded from a drawdown from the capital investment reserve.
- CFO/102/13 "A Strategic Overview of Estates"; this report approved a £0.500m scheme to fund station modernisation and safety work while a review is carried out of the current community fire station portfolio. The scheme will be funded from a drawdown from the capital investment reserve.
- CFO/081/13 "Merseyside JCC Project Update"; members approved the installation of a training tower at SHQ, £0.125m, on the basis the costs could be contained within the overall capital budget. In addition a new scheme for enhancement works for the museum and stores area was approved in principle and authority delegated to the CFO to authorise any works, subject to costs being contained within the overall budget. The cost of these works was estimated at £0.150m and is to be funded from the capital reserve and external contributions.
- Re-phasing of £3.488m of schemes from 2013/14 into future years, of which £2.277m relates to the deferment of building works pending the outcome of the estates review.

- JCC; The approved Building capital programme included a number of SHQ refurbishment schemes; lighting £0.150m; heating/air conditioning £0.102m, sanitary refurbishment £0.060m, roof replacement £0.075m etc, totalling £0.448m. Therefore these budgets have now been “merged” into the JCC scheme to allow improved overall control of the SHQ works, overall there is no financial change to the capital programme. In addition the value of works requested by Merseyside Police (MPA) has increased by £0.236m and this has now been built into the scheme and will be funded by MPA.
- An increase in the ICT hardware spend of £0.002m, funded by a revenue contribution.

### **Use of Reserves:**

13. The analysis in Appendix A2 outlines the £0.525m movement on reserves during the second quarter of 2013/14 of which £0.470m relates to the planned allocation from the PFI reserve to cover rental payments. The general revenue reserve has remained unchanged at £2.894m.

### **(C) Treasury Management**

14. The Authority continues to “buy in” Treasury Management from Liverpool City Council. The following paragraphs reflect Treasury Management activities in the period April to September 2013/14.

15. **Prospects for Interest Rates**

Optimism in growth forecasts has continued and a modest and sustained recovery over the next three years is indicated by the Bank of England. Inflation forecasts are also still benign. However, there is still a relatively weak outlook for economic growth and the prospects for any increase in Bank Rate before 2015 are low. Short-term rates have remained at 0.5% in line with the forecast for them to remain on hold for the rest of the financial year.

It was expected that there would be upward pressure on longer term rates due to a high volume of debt issuance and improved prospects of a return to economic growth. Long term PWLB rates rose by 0.25% during the first quarter then remained flat in the second quarter. Forecasts are for higher PWLB rates later in the year as a result of an improved economic recovery.

The strategy indicated that the overall structure of interest rates whereby short term rates are lower than long term rates was expected to remain throughout 2013/14. In this scenario, the strategy would be to reduce investments and borrow for short periods and possibly at variable rates when required.

16. **Capital Borrowings and the Portfolio Strategy**

The borrowing requirement comprises the expected movements in the Capital Financing Requirement and reserves plus any maturing debt which will need to be re-financed. The Authority does not envisage that any new long term borrowing will be

required in 2013/14. Current market conditions continue to be unfavourable for any debt rescheduling.

## 17. Annual Investment Strategy

The investment strategy for 2013/14 set out the priorities as the security of capital and liquidity of investments. Investments are made in accordance with CLG Guidance and CIPFA Code of Practice. Investments are made in sterling with an institution on the counterparty list.

Extreme caution has been taken in placing investments to ensure security of funds rather than rate of return. The use of deposit accounts with high rated or nationalised banks and AAA rated money market funds has enabled reasonable returns in a low interest rate environment. In the period 1st April to 30th September 2013 the average rate of return achieved on average principal available was 0.75%. This compares with an average seven day deposit (7 day libid) rate of 0.36%.

The Authority had investments of £29.1m as at 30 September 2013, (most of which is due to the carry forward of £17.4m of investments from 2012/13 and the receipt of £19m firefighter pension grant in July 2013):

<b>ANALYSIS OF INVESTMENTS END OF September 2013</b>				
<b>Institution</b>	<b>Credit Rating</b>	<b>MM Fund*</b>	<b>Bank / Other</b>	<b>Building Society</b>
		<b>£</b>	<b>£</b>	<b>£</b>
<b>Ignis Liquidity Fund</b>	AAA	3,000,000		
<b>Prime Rate</b>	AAA	3,000,000		
<b>Morgan Stanley</b>	AAA	3,000,000		
<b>Goldman Sachs</b>	AAA	3,000,000		
<b>Deutsche/DGLS/State Street</b>	AAA	1,100,000		
<b>Natwest Instant Access</b>	A		4,000,000	
<b>Natwest Term Deposit</b>	A			
<b>Close Brothers</b>	A		2,000,000	
<b>West Bromwich B Soc</b>	Unrated			1,000,000
<b>HBOS 12 Month FTD</b>	A		4,000,000	
<b>Nationwide BS</b>	A			2,000,000
<b>Skipton Building Society</b>	Unrated			1,000,000
<b>Newcastle Building Society</b>	Unrated			1,000,000
<b>Nottingham Building Soc</b>	Unrated			1,000,000
<b>Totals</b>		13,100,000	10,000,000	6,000,000
<b>Total Current Investments</b>				<b>29,100,000</b>
<i>*MM Fund - Money Market Funds -these are funds that spread the risk associated with investments over a wide range of credit worthy institutions.</i>				

## 18. External Debt Prudential Indicators

The external debt indicators of prudence for 2013/14 required by the Prudential Code were set in the strategy as follows:

Authorised limit for external debt:	£82 million
Operational boundary for external debt:	£48 million

Against these limits, the maximum amount of debt reached at any time in the first half of the financial year 2013/14 was £45.1 million.

#### 19. Treasury Management Prudential Indicators

The treasury management indicators of prudence for 2013/14 required by the Prudential Code were set in the strategy as follows:

##### a) Interest Rate Exposures

Upper limit on fixed interest rate exposures:	100%
Upper limit on variable interest rate exposures:	50%

The maximum that was reached in the first half of the financial year 2013/14 was as follows:

Upper limit on fixed interest rate exposures:	100%
Upper limit on variable interest rate exposures:	0%

##### b) Maturity Structure of Borrowing

Upper and lower limits for the maturity structure of borrowing were set and the maximum and minimum that was reached for each limit in the first half of the financial year 2013/14 was as follows: -

Maturity Period	Upper Limit	Lower Limit	Maximum	Minimum
Under 12 months	80%	0%	3%	0%
12 months and within 24 months	50%	0%	3%	2%
24 months and within 5 years	50%	0%	9%	9%
5 years and within 10 years	50%	0%	10%	10%
10 years and above	80%	0%	77%	75%

##### c) Total principal sums invested for periods longer than 364 days

The limit for investments of longer than 364 days was set at £2 million for 2013/14. No such investments have been placed during 2013/14.

#### (D) Internal Audit

20. The Authority continues to “buy in” Internal Audit services from Liverpool City Council. Most audit work is carried out in the second part of the year to fit in with the Service work demands and provide relevant data for the year. At the end of September 2013 no new internal audit reviews have been completed although a number have commenced.

**(E) Monitoring of Financial Progress**

21. To ensure the internal financial processes of the Authority are operating effectively, for example payroll, debt collection and the payment of invoices, a suite of performance indicators have been developed that now feed into the financial review. At present indicators relate to:

- Payment of invoices,
- Discounts obtained from prompt payments;
- Debtors

22. Prompt Payment of Invoices

Prompt payment of invoices was previously a statutory indicator under the Best Value legislation. While there is no longer a requirement for the Authority to report its prompt payment performance under BVPI8, the number of undisputed invoices paid within 30 days of receipt continues to be analysed to assess the effectiveness of the various Accounts Payable systems and procedures. Information about the prompt payment of invoices has now been incorporated with the suite of local performance indicators (LPI128) and is reported monthly.

23. In July 2009 the Authority joined the Prompt Payment Code (PPC). The PPC gives notice to suppliers of the Authority's commitment to pay promptly. In the current economic climate the Government is keen for all businesses and local authorities to pay suppliers promptly. By paying promptly the Authority is able to make its contribution to improving the cashflow position of its supplier base, particularly small businesses, that rely on payments made promptly to keep them in business. Consistent with that objective, considerable effort has been made to develop a range of administrative processes to enable the Authority to comply with its obligations under the PPC which is deemed to be best practice.

24. A comparison of first quarter performance over previous years confirms that system improvements continue to enable the Authority to pay invoices (some 3,707 in the quarter ended September 2013) promptly.

2009/10	99.9%
2010/11	99.8%
2011/12	99.9%
2012/13	100.0%
2013/14	100.0%

25. The target for prompt payment in 2013/14 is 100%. The July – September results confirm the Service continues to respond quickly and efficiently to requests for payment from suppliers with invoices being paid within the required timeframe.

26. We have continued to ensure discounts due from the prompt payment of invoices are vigorously pursued. During the quarter a total of 50 invoices that attracted prompt payment discounts were paid generating savings of £2,066. This is evidence of the robustness of the systems in place that are enabling the Service to take advantage of the financial savings available from suppliers.

27. The publication of payments to suppliers for goods and services over £500 is now fully embedded. Consistent with the Government's drive for transparency in relation to spending by all Local Authorities, details of payments to suppliers for goods and services over £500 are available on the Authority's website in both PDF and CSV formats for the convenience of those wishing to access and interrogate the information. Payments details are now available for the period from 1 April 2009 to 30 September 2013. Payments for each month are made available as soon as possible following the closure of each accounting period and subject to verification against guidance received from Government.

28. Processing Sales Invoices and the Debt Recovery Process

A number of Performance Indicators have been developed to give drive and focus to improvements to the sundry debtor process and to plot the age profile of outstanding debt. Key Performance Indicators in relation to the processing of income generation type transactions are as follows:

- SIRF Generation - 100% in 35 working days from service delivery
- Sales invoice production -100% in 2 working days from receipt of SIRF

***(Note: SIRF = Sales Invoice Request Form. SIRFs are generated by Officers to request that a customer be invoiced for goods\services received)***

29. Performance against these targets for the equivalent quarter in previous years is as follows: (Cumulative)

	<u>2009/10</u>	<u>2010/11</u>	<u>2011/12</u>	<u>2012/13</u>	<u>2013/14</u>
SIRF Generation	74%	64%	82%	82%	88%
Sales invoice production	97%	100%	100%	100%	100%

30. Members will be aware that the Authority's Financial Regulations were amended for 2010/11 to require prepayment for services where possible. It is recognised that there is a correlation between the time taken to request payment for services and payment actually being received. While every effort is made to ensure customers receive their invoice as quickly as possible it is often necessary to wait for key information (e.g. confirmation of course attendees, Payroll data etc) that is to be included with any invoice to enable the customer to make prompt payment. In certain circumstances it is deemed cost effective to wait until all appropriate information is available before issuing a sales invoice rather than it being raised prematurely to remove the potential for a credit note to be raised and an amended invoice reissued.

31. The Age Profile of Outstanding Debt

A comparison of the value of aged debts over 60 days for the first quarter can be summarised as follows:

## Number of debts 60 days+

	<u>2009/10</u>	<u>2010/11</u>	<u>2011/12</u>	<u>2012/13</u>	<u>2013/14</u>
July	86	67	35	47	41
Aug	79	63	36	46	37
Sept	85	70	30	41	42

## Value of debts 60 days+

	<u>2009/10</u>	<u>2010/11</u>	<u>2011/12</u>	<u>2012/13</u>	<u>2013/14</u>
	<u>£'000</u>	<u>£'000</u>	<u>£'000</u>	<u>£'000</u>	<u>£'000</u>
July	204	175	118	42	48
Aug	144	131	112	69	22
Sept	145	172	35	68	70

32. The Service raises approximately 1,100 sales invoices per year and this can equate to income of between £2m - £3.5m. The profile of accounts raised varies significantly month by month and from year to year. It therefore can lead to significant variations when comparing the same month over a five year period. However, considerable effort has been made to actively engage with customers as part of the drive to improve the aged debt profile of the Authority and the success of that effort is reflected in the data set out above. The significant reduction in the number and value of aged debts in 2013/14 is a reflection of the work undertaken by the Finance and Legal Teams to tackle aged debts through active engagement with customers in the drive to maximise income for the Authority. Consistent with that effort the number of write offs each year is small.
33. Debtor accounts under £5,000 may be written off by the Deputy Chief Executive. Two accounts have been approved for write-off under delegated powers totalling £900 (excl. VAT) following advice from the litigation service.

Equality & Diversity Implications

34. There are no equality and diversity implications contained within this report.

Staff Implications

35. None directly related to this report.

Legal Implications

36. None directly related to this report.



Financial Implications & Value for Money

37. See Executive Summary.

Risk Management, Health & Safety, and Environmental Implications

38. None arising from this report.

Contribution to Our Mission – To Achieve: Safer Stronger Communities – Safe Effective Firefighters

39. The achievement of actual expenditure within the approved financial plan and delivery of the expected service outcomes is essential if the Service is to achieve the Authority's Mission.

**BACKGROUND PAPERS**

Report CFO/025/13 "MFRA Budget and Financial Plan 2013/2014-2017/2018" Authority  
26th February 2013.

Report CFO/115/13 "Financial Review 2013/14 – April to June" Policy & Resources  
Committee 26 September 2013.

**\*Glossary of Terms**

**RESERVES** -Amounts set aside to meet future contingencies but whose use does not affect the Authority's net expenditure in a given year. Appropriations to and from reserves may not be made directly from the revenue account.

**PPC** - Prompt Payment Code

**PWLB** - Public Works Loans Board

This page is intentionally left blank

**2013/14 REVENUE BUDGET MOVEMENT SUMMARY**

Actual 2012/13	SERVICE REQUIREMENTS	Base Budget 2013/14	Qtr 1 Budget 2013/14	Reserve Draw- down	Vire- ments	Qtr 2 Budget 2013/14
£'000		£'000	£'000	£'000	£'000	£'000
65,284	Fire Service	69,304	68,881	525	334	69,740
548	Corporate Management	599	599		2	601
0	2012 - 13 B/fwd Dynamic Staff Saving	-550	-550		84	-466
0	2013 - 14 New Dynamic Staff Saving	-1,410	-647		7	-640
65,832		67,943	68,283	525	427	69,235
0	Contingency for Pay/Price Changes	792	792		-427	365
65,832	<b>TOTAL SERVICE EXPENDITURE</b>	68,735	69,075	525	0	69,600
-255	Interest on Balances	-332	-367	0	0	-367
65,577	<b>NET OPERATING EXPENDITURE</b>	68,403	68,708	525	0	69,233
	<u>Contribution to /(from) reserves</u>					
	<u>Spate/Other Emergency Related Res's</u>					
1,000	Catastrophe Reserve	0	0	0	0	0
	<u>Modernisation Challenge</u>					
3,454	Smoothing Reserve	0	-250	0	0	-250
-1,446	Severance Reserve	0	-150	-15	0	-165
355	Ill Health Penalty Reserve	0	0	0	0	0
1,000	Recruitment Reserve	0	0	0	0	0
0	SMG Reserve	100	100	0	0	100
	<u>Capital Investment Reserve</u>					
30	FMIS Reserve	0	0	0	0	0
38	TDA Refurbishment Reserve	0	0	0	0	0
-64	PFI GAP Reserve	-1,818	-2,050	-470	0	-2,520
-812	Capital Investment Reserve	0	0	-14	0	-14
1,420	PFI Annuity Reserve	0	259	0	0	259
510	Equality / DDA Investment Reserve	0	0	0	0	0
1,000	Firefighter Safety Investment Res	0	0	0	0	0
800	Facing the Future Challenge Res	0	0	0	0	0
	<u>Specific Projects</u>					
-230	Job Evaluation Reserve	0	0	0	0	0
98	Community Sponsorship Reserve	0	-94	0	0	-94
-100	Regional Reserve	0	0	0	0	0
-217	Equipment Reserve	0	0	0	0	0
-17	Contestable Research Fund Reseve	0	0	0	0	0
-285	Training Reserve	0	0	0	0	0
-196	Pre Retirement reserve	0	0	0	0	0
18	FSD Reserve	0	0	0	0	0
4	Healthy Living / Olympic Legacy	0	-54	0	0	-54
-38	Water Rescue Reserve	0	0	0	0	0
-500	Inflation Reserve	0	0	0	0	0
	<u>Ringfenced Reserves</u>					
2	F.R.E.E. Reserve	0	0	0	0	0
-40	Princes Trust Reserve	0	250	-75	0	175
0	Community Youth Team Reserve	0	0	0	0	0
-43	Beacon Peer Project Reserve	0	-12	0	0	-12
12	Innovation Fund Reserve	0	0	0	0	0
0	Concept Knowsley	0	0	0	0	0
-16	Regional Control Reserve	0	0	0	0	0
0	Energy Reseve	36	36	49	0	85
-18	St Helens District Reserve	0	-22	0	0	-22
237	New Dimensions Reserve	0	0	0	0	0
-1,790	Appropriation to/From Revenue Balances	0	0	0	0	0
4,166	Reserve Movement	-1,682	-1,987	-525	0	-2,512
69,743	<b>BUDGET REQUIREMENT</b>	66,721	66,721	0	0	66,721
0		0	0	0	0	0
-41,162	Government Funding / NNDR	-39,963	-39,963	0	0	-39,963
-105	Collection Fund Deficit	-55	-55	0	0	-55
-28,476	Precept Income	-26,703	-26,703	0	0	-26,703
0		-66,721	-66,721	0	0	-66,721

**Budgeted Movement on Reserves 2013/14**

	Opening Balance	Original Budget Planned Use	Qtr 1 Draw-down	Further draw-down Qtr 2	Closing Balance
	£'000	£'000	£'000	£'000	£'000
<b>Earmarked Reserves</b>					
<b>Spate/Emergency Related Reserves</b>					
Bellwin Reserve	147		0		147
Insurance Reserve	620		0		620
Emergency planning Reserve	75		0		75
Catastrophe Reserve	1,000		0		1,000
<b>Modernisation Challenge</b>					
Smoothing Reserve	5,500		-250		5,250
Severance Reserve	902		-150	-15	737
Ill Health Penalty Reserve	599		0		599
Recruitment Reserve	1,000		0		1,000
SMG Reserve	0	100	0		100
<b>Capital Investment Reserve</b>					
PFI Reserve	108		0		108
FMIS Reserve	129		0		129
TDA Refurbishment Reserve	88		0		88
Capital Projects Reserve	5,421	-1,818	-232	-470	2,901
Capital Investment Reserve	90		0	-14	76
PFI Annuity Reserve	2,010		259		2,269
Equality / DDA Investment Res	510		0		510
Firefighter Safety Investment Res	1,000		0		1,000
Facing the Future Challenge Res	800		0		800
<b>Specific Projects</b>					
Community Sponsorship Res	113		-94		19
Equipment Reserve	56		0		56
Contestable Research Fund Res	25		0		25
FSD Reserve	53		0		53
Healthy Living / Olympic Legacy	113		-54		59
Water Rescue Reserve	9		0		9
Inflation Reserve	1,500		0		1,500
<b>Ringfenced Reserves</b>					
F.R.E.E. Reserve	37		0		37
Princes Trust Reserve	144		250	-75	319
Community Youth Team Reserve	54		0		54
Beacon Peer Project Reserve	65		-12		53
Innovation Fund Reserve	168		0		168
Concept Knowsley	0		0		0
Regional Control Reserve	18		0		18
Energy Reseve	0	36		49	85
St Helens District Reserve	22		-22		0
New Dimensions Reserve	706		0		706
<b>Total Earmarked Reserves</b>	<b>23,082</b>	<b>-1,682</b>	<b>-305</b>	<b>-525</b>	<b>20,570</b>
<b>General revenue Reserve</b>	<b>2,894</b>		<b>0</b>	<b>0</b>	<b>2,894</b>
<b>Total Reserves</b>	<b>25,976</b>	<b>-1,682</b>	<b>-305</b>	<b>-525</b>	<b>23,464</b>

**2013/14 FIRE SERVICE REVENUE BUDGET MOVEMENT SUMMARY**

Actual 2012/13	SERVICE REQUIREMENTS	Base Budget 2013/14	Qtr 1 Budget 2013/14	Reserve Draw- down	Vire- ments	Qtr 2 Budget 2013/14
£'000		£'000	£'000	£'000	£'000	£'000
	<b>EMPLOYEES</b>					
	<b>Uniformed</b>					
35,142	Firefighters	35,592	35,655		276	35,931
1,394	Control	1,220	1,220		10	1,230
2,242	Additional Hours	1,170	1,260		36	1,296
<b>38,778</b>	<b>TOTAL UNIFORMED</b>	<b>37,982</b>	<b>38,135</b>	<b>0</b>	<b>322</b>	<b>38,457</b>
	<b>APT&amp;C and Manual</b>					
8,678	APT&C	9,066	8,383	95	321	8,799
364	Handymen/Cleaning	485	485		-202	283
144	Catering	180	119		1	120
537	Transport Maintenance	558	558		5	563
57	Other Manual	92	92		1	93
222	Casuals	0	19		2	21
<b>10,002</b>	<b>TOTAL APT&amp;C/MANUAL</b>	<b>10,381</b>	<b>9,656</b>	<b>95</b>	<b>128</b>	<b>9,879</b>
	<b>Other Employee Expenses</b>					
9	Rent & Lodging	3	1			1
166	Allowances	967	935		20	955
11	Removal Expenses	2	5			5
442	Training Expenses	600	583		41	624
0	Interview Expenses	1	0			0
910	Other Expenses	40	186	15		201
4	Staff Advertising	30	30			30
29	Development Expenses	106	97			97
424	Employee Insurance	131	134		-2	132
796	MPF Pen Fixed Rate	833	833			833
241	Enhanced pensions	46	46			46
3	SSP & SMP Reimbursements	-16	-16			-16
102	Catering Expenditure	113	117			117
-477	HFRA Capitalisation Payroll	0	0			0
<b>2,660</b>	<b>TOTAL OTHER EMPLOYEE EXPEND</b>	<b>2,856</b>	<b>2,951</b>	<b>15</b>	<b>59</b>	<b>3,025</b>
	<b>Pensions</b>					
1,719	Injury Pension	1,694	1,694			1,694
353	Ill Health Ret charges	174	174			174
12	Injury Gratuity	0	0			0
<b>2,084</b>	<b>TOTAL PENSIONS</b>	<b>1,868</b>	<b>1,868</b>	<b>0</b>	<b>0</b>	<b>1,868</b>
<b>53,524</b>	<b>TOTAL EMPLOYEES</b>	<b>53,087</b>	<b>52,610</b>	<b>110</b>	<b>509</b>	<b>53,229</b>
	<b>PREMISES</b>					
364	Building Maintenance Repairs	393	365		-9	356
216	Site Maintenance Costs	157	182		1	183
693	Energy	653	653	-35	6	624
121	Rent	946	449		2	451
963	Rates	946	946			946
221	Water	253	248		-4	244
50	Fixtures	74	69		-1	68
29	Contract Cleaning	28	36		122	158
47	Insurance	61	48			48
<b>2,704</b>	<b>TOTAL PREMISES</b>	<b>3,511</b>	<b>2,996</b>	<b>-35</b>	<b>117</b>	<b>3,078</b>
	<b>TRANSPORT</b>					
397	Direct Transport	331	329		31	360
27	Tunnel Fees	29	29			29
100	Operating Lease	198	199		4	203
509	Other Transport Costs	589	590			590
231	Car Allowances	118	119		26	145
318	Insurance	344	354			354
<b>1,582</b>	<b>TOTAL TRANSPORT</b>	<b>1,609</b>	<b>1,620</b>	<b>0</b>	<b>61</b>	<b>1,681</b>

**2013/14 FIRE SERVICE REVENUE BUDGET MOVEMENT SUMMARY**

Actual 2012/13 £'000	SERVICE REQUIREMENTS	Base Budget 2013/14 £'000	Qtr 1 Budget 2013/14 £'000	Reserve Draw- down £'000	Vire- ments £'000	Qtr 2 Budget 2013/14 £'000
	<b>SUPPLIES &amp; SERVICES</b>					
35	Administrative Supplies	40	42		11	53
319	Operational Supplies	274	279		-2	277
14	Hydrants	20	20			20
65	Consumables	72	75		0	75
178	Training Supplies	147	163		-2	161
92	Fire Prevention Supplies	133	157		5	162
37	Catering Supplies	30	40		9	49
344	Uniforms	418	423		13	436
123	Printing & Stationery	164	165		-2	163
12	Operating Leases	2	11			11
714	Professional Fees/Service	860	1,072		-3	1,069
595	Communications	680	681		-8	673
27	Postage	38	35			35
4	Command/Control	5	5		4	9
321	Computing	405	406		2	408
254	Medicals	288	304		1	305
73	Travel & Subsistence	79	115		23	138
63	Grants/Subscriptions	78	93		-5	88
11	Advertising	15	32		5	37
19	Furniture	44	46			46
73	Laundry	81	81			81
33	Insurances	47	46			46
8	Hospitality	16	18		13	31
<b>3,414</b>	<b>TOTAL SUPPLIES &amp; SERVICES</b>	<b>3,936</b>	<b>4,309</b>	<b>0</b>	<b>64</b>	<b>4,373</b>
	<b>AGENCY SERVICES</b>					
76	Super Fund Admin	73	73			73
1,535	ICT Service Provider	1,434	1,434		26	1,460
197	Third Party Payments (FSN)	197	197			197
458	ICT Managed Suppliers	459	459		13	472
1,177	PFI Unitary Charges ((Int/Principal/Op Cost	0	2350			2350
<b>3,443</b>	<b>TOTAL AGENCY SERVICES</b>	<b>2,163</b>	<b>4,513</b>	<b>0</b>	<b>39</b>	<b>4,552</b>
	<b>CENTRAL EXPENSES</b>					
227	R01 Finance & Computing	241	241			241
<b>227</b>	<b>TOTAL CENTRAL EXPENSES</b>	<b>241</b>	<b>241</b>	<b>0</b>	<b>0</b>	<b>241</b>
	<b>CAPITAL FINANCING</b>					
5,199	PWLB Debt Charges	5,722	5,722			5,722
83	MRB Debt Charges	76	76			76
22	Finance Lease Debt Charges	23	23			23
1,954	Revenue Contribution to Capital	1,868	2,110	450	76	2,636
<b>7,258</b>	<b>TOTAL CAPITAL FINANCING</b>	<b>7,689</b>	<b>7,931</b>	<b>450</b>	<b>76</b>	<b>8,457</b>
<b>72,152</b>	<b>TOTAL EXPENDITURE</b>	<b>72,236</b>	<b>74,220</b>	<b>525</b>	<b>866</b>	<b>75,611</b>
	<b>INCOME</b>					
3,722	Specific Grants	1,168	3,363		48	3,411
16	Sales	0	0		2	2
1,904	Fees & Charges	950	1,043		475	1,518
7	Reinforcing moves	5	5			5
3	Rents etc	2	2			2
879	Recharges Secondments	456	528		8	536
108	Contributions	105	105			105
106	Recharges Internal	114	115		-6	109
123	Other Income	132	132		2	134
0	UKRO Income	0	46		3	49
<b>6,868</b>	<b>TOTAL INCOME</b>	<b>2,932</b>	<b>5,339</b>	<b>0</b>	<b>532</b>	<b>5,871</b>
<b>65,284</b>	<b>NET EXPENDITURE</b>	<b>69,304</b>	<b>68,881</b>	<b>525</b>	<b>334</b>	<b>69,740</b>

**2013/14 CORPORATE SERVICES REVENUE BUDGET MOVEMENT SUMMARY**

Actual 2012/13	SERVICE REQUIREMENTS	Base Budget 2013/14	Qtr 1 Budget 2013/14	Reserve Draw- down	Vire- ments	Qtr 2 Budget 2013/14
£'000		£'000	£'000	£'000	£'000	£'000
	<b>EXPENDITURE</b>					
	<b>Finance &amp; Legal costs</b>					
79	Finance Officer	79	79			79
95	Legal Officer	82	82		2	84
0	Regionalisation Costs	0	0			0
	<b>Democratic Rep (1020)</b>					0
26	- Travel & Subsistence	48	48			48
5	- Conference fees	15	15			15
249	- Members Allowances	240	240			240
0	- Telephones	2	2			2
2	- Training	1	1			1
0	- Hospitality	3	3			3
	<b>Central Expenses (1030)</b>					0
18	Bank charges	18	18			18
39	District Audit Fees	68	68			68
35	Subscriptions	43	43			43
<b>548</b>	<b>TOTAL EXPENDITURE</b>	<b>599</b>	<b>599</b>	<b>0</b>	<b>2</b>	<b>601</b>

This page is intentionally left blank



**Capital Programme 2013/14**

	Approved Budget	Qtr 1 Budget	Qtr 2 Re-Phasing of Schemes	QTR 2 Virem- ents	Qtr 2 Current Budget	Actual to Sept 2013	
	£	£	£	£	£	£	
<b><u>BUILDING &amp; LAND PROGRAMME</u></b>							
BLD001	Roofs & Canopy Replacements	90,000	118,000	-75,000	43,000	0	
BLD004	Concrete Yard Repairs	15,000	35,500	-20,000	15,500	345	
BLD005	Tower Improvements	0	45,500		45,500	36,020	
BLD011	Capital Refurbishment	0	0		0	0	
BLD013	Appliance Room Floors	46,500	53,000	-40,000	13,000	0	
BLD014	Boiler Replacements	50,000	54,000		54,000	1,687	
BLD016	Community Station Investment	66,000	79,000	-55,000	24,000	5,415	
BLD017	F.S. Refurbishment Toxteth	0	0		0	-91,035	
BLD018	Conference Facilities H/Q	5,000	14,000	-14,000	0	0	
BLD020	5 Year Electrical Test	89,000	112,000		112,000	0	
BLD026	Corporate Signage	0	5,000	5,000	10,000	3,460	
BLD030	Kensington C.F.S.	0	5,000	-5,000	0	0	
BLD031	Diesel Tanks	0	150,000		150,000	0	
BLD032	Power Strategy (Generators)	0	1,500		1,500	0	
BLD033	Sanitary Accommodation Refurb	87,500	118,500	-60,000	58,500	0	
BLD034	Office Accommodation	0	47,000		47,000	0	
BLD035	Accommodation Marine Fire 1	0	619,000	25,000	644,000	643,548	
BLD036	L.L.A.R. Accommodation Formby	0	533,000		533,000	219,351	
BLD040	F.S. Refurbishment Whiston	152,500	152,500	-152,500	0	0	
BLD041	F.S. Refurbishment Aintree	250,000	280,000	-277,000	3,000	0	
BLD042	St Helens Conversion	0	511,000	-507,000	4,000	0	
BLD044	Asbestos Surveys	0	19,500		19,500	0	
BLD045	City Centre Community Facility	80,000	80,000		80,000	636	
BLD055	F.S. Refurbishment Bromborough	329,000	329,000	-310,000	19,000	16,299	
BLD056	F.S. Refurbishment Eccleston	338,000	338,000	-338,000	0	0	
BLD057	F.S. Refurbishment Crosby	375,000	375,000	-375,000	0	0	
BLD058	H.V.A.C. Heating, Vent & Air Con	150,000	194,000	-102,000	92,000	0	
BLD059	Llar Accomodation Eccleston	237,500	237,500	-237,500	0	0	
BLD060	D.D.A. Compliance Work	0	89,000		89,000	0	
BLD061	Lighting Conductors Surge Protectors	55,000	55,000		55,000	0	
BLD062	Emergency Lighting	0	44,500	-18,000	26,500	0	
BLD063	F.S. Refurbishment Kirby	0	0		0	0	
BLD065	MACC Server Room Extension	0	4,000		4,000	0	
BLD067	Gym Equipment Replacement	125,000	215,000		215,000	104,658	
BLD068	SHQ Joint Control Room	7,570,000	8,635,000	684,000	9,319,000	2,379,790	
BLD069	F.S. Refurbishment Allerton	0	0		0	0	
BLD070	Workshop Enhancement	0	0	350,000	350,000	0	
BLD071	Station Refresh	0	0	100,000	100,000	0	
BLD072	SHQ Tower	0	0	50,000	50,000	0	
BLD073	SHQ Museum	0	0	75,000	75,000	0	
CON001	Energy Conservation Salix	0	8,500		8,500	0	
DSO001	D.S.O. Cleaning Equipment	6,000	6,000		6,000	0	
EQU002	Fridge/Freezer Rep Prog	16,500	16,500		16,500	3,400	
EQU003	Furniture Replacement Prog	10,500	10,500	10,000	20,500	9,290	
TDA001	Fire House Refurbishment	0	80,000	-80,000	0	0	
TDA006	T.D.A. Server Room Expansion	0	1,500		1,500	0	
TDA008	Generator MACC	0	43,000	-43,000	0	0	
	<b>Total</b>	<b>10,144,000</b>	<b>13,715,000</b>	<b>-2,277,000</b>	<b>867,000</b>	<b>12,305,000</b>	<b>3,332,863</b>
<b><u>FIRE SAFETY</u></b>							
FIR002	Smoke Alarms (H.F.R.A.)	500,000	500,000		500,000	133,321	
FIR005	Installation Costs (H.F.R.A.)	730,000	730,000		730,000	0	
FIR006	Deaf Alarms (H.F.R.A.)	49,000	49,000		49,000	0	
FIR007	Replacement Batteries (H.F.R.A.)	4,000	4,000		4,000	1,999	
	<b>Total</b>	<b>1,283,000</b>	<b>1,283,000</b>	<b>0</b>	<b>0</b>	<b>1,283,000</b>	<b>135,320</b>

**Capital Programme 2013/14**

	Approved Budget	Qtr 1 Budget	Qtr 2 Re-Phasing of Schemes	QTR 2 Virem- ents	Qtr 2 Current Budget	Actual to Sept 2013
	£	£	£	£	£	£
<b>ICT</b>						
FIN001	F.M.I.S. / Sophtlogic Replacement	225,000	450,000		450,000	59,785
IT002	I.C.T. Software	2,000	2,000		2,000	1,165
IT003	I.C.T. Hardware	91,000	151,700		200 151,900	98,727
IT005	I.C.T. Servers	120,000	175,000		175,000	22,695
IT018	I.C.T. Network	104,000	183,500		183,500	42,853
IT026	I.C.T. Operational Equipment	14,000	28,000		28,000	3,726
IT028	System Development Portal	90,000	105,500		105,500	0
IT030	I.C.T. Projects / Upgrades	5,000	10,000		10,000	2,740
IT034	E-Mail Retention	45,000	45,000		45,000	0
IT036	Portable Storage Media	27,000	27,000		27,000	0
IT037	Emerging Technologies	0	10,500		10,500	10,364
IT039	Estates Management System	20,000	20,000		20,000	0
IT040	Analytical Tool CFS Work	30,000	30,000		30,000	0
IT043	E Recruitment System	8,000	19,000		19,000	17,993
IT045	PFI ICT Equipment	0	47,500		47,500	29,384
IT046	Integrated HR System	225,000	0		0	0
IT047	Legl Case Management system	0	4,500		4,500	0
IT049	Wireless Rollout	0	15,000		15,000	5,850
IT050	Community Protection System	25,000	30,000		30,000	0
IT051/2/3/4	JCC ICT Project	0	985,000		985,000	49,150
RC001	Vision F.X.	0	10,000		10,000	0
RC003	Corporate Gazateer	17,000	19,500		19,500	0
	<b>Total</b>	<b>1,048,000</b>	<b>2,368,700</b>	<b>0</b>	<b>200 2,368,900</b>	<b>344,432</b>
<b>OPERATIONAL EQUIP. &amp; HYDRANTS</b>						
OPS001	Gas Tight Suits Other Ppe	0	10,000		10,000	0
OPS003	Hydraulic Rescue Equipment	75,000	143,500		143,500	9,025
OPS005	Resuscitation Equipment	0	55,500		55,500	21,875
OPS009	Pod Equipment	50,000	50,000		50,000	0
OPS011	Thermal Imaging Cameras	24,000	24,000		24,000	0
OPS019	Other Operational Equipment (Floodlights)	40,000	40,000		40,000	0
OPS022	Improvements To Fleet	20,000	20,000		20,000	16,510
OPS023	Water Rescue Equipment	18,000	24,000		24,000	8,820
OPS024	BA equipment / Comms	150,000	350,000		350,000	0
OPS026	Rope Replacement	15,000	15,000		15,000	0
OPS027	Light Portable Pumps	20,000	20,000		20,000	0
OPS031	Cctv Equipment/Drone	11,000	32,000		32,000	0
OPS033	Marine Rescue Launch	0	5,000		5,000	0
OPS035	Operational Compressors	10,000	28,000		28,000	11,642
OPS038	Water Delivery System	66,000	66,000		66,000	0
OPS039	Water Delivery Hoses	50,000	84,000		84,000	0
OPS044	Acetylene Cylinders	14,000	14,000		14,000	0
OPS049	Bulk Foam Attack Equipment	48,000	48,000		48,000	0
OPS052	DEFRA FRNE Water Rescue Grant	19,000	20,000		20,000	0
HYD001	Hydrants (New Installations)	18,500	18,500		18,500	0
HYD002	Hydrants (Rep Installations)	18,500	23,000		23,000	4,130
	<b>Total</b>	<b>667,000</b>	<b>1,090,500</b>	<b>0</b>	<b>0 1,090,500</b>	<b>72,002</b>
<b>VEHICLES</b>						
VEH001	Wtl'S Purchased	0	0		0	0
VEH002	Ancilliary Vehicles	730,900	779,900	-482,100	297,800	79,223
VEH004	Special Vehicles	956,000	992,500	-685,000	307,500	5,000
VEH005	Vehicles water Strategy	29,000	29,000		29,000	0
VEH006	Motorcycle Response	44,000	44,000	-44,000	0	0
WOR001	Workshop Equipment	24,000	36,500		36,500	4,325
	<b>Total</b>	<b>1,783,900</b>	<b>1,881,900</b>	<b>-1,211,100</b>	<b>0 670,800</b>	<b>88,548</b>
	<b>Grand Total</b>	<b>14,925,900</b>	<b>20,339,100</b>	<b>-3,488,100</b>	<b>867,200 17,718,200</b>	<b>3,973,165</b>

**Capital Programme 2013/14**

	Approved Budget	Qtr 1 Budget	Qtr 2 Re-Phasing of Schemes	QTR 2 Virem- ents	Qtr 2 Current Budget	Actual to Sept 2013
	£	£	£	£	£	£
<b><u>FINANCING</u></b>						
<b>Capital Receipts</b>						
Sale of Toxteth FS	250,000	250,000	-250,000	0	0	0
Sale of Formby LLAR House	350,000	350,000	-350,000	0	0	0
Sale of Derby Road	700,000	700,000	-700,000	0	0	0
<b>R.C.C.O. R.C.C.O.</b>						
Capitalisation of Sals HFRA	730,000	730,000	0	0	730,000	0
It Equipment (IT003)	0	2,200	0	200	2,400	2,200
E recruitment Systems (IT043)	0	8,000	0	0	8,000	8,000
Joint Control Room (BLD068)	1,768,000	1,768,000	0	0	1,768,000	1,768,000
Gym Equipment (BLD067)	50,000	50,000	0	0	50,000	50,000
JCC IT Works (IT051-54)	0	232,000	0	0	232,000	232,000
FSN Charge for Alarms (FIR002)	0	50,000	0	0	50,000	50,000
Workshop Enhancement (BLD070)	0	0	0	350,000	350,000	350,000
Station Refresh (BLD071)	0	0	0	100,000	100,000	100,000
SHQ Museum (BLD073) Telent Year 1	0	0	0	40,000	40,000	40,000
SHQ Museum (BLD073) Nwas Year 1	0	0	0	35,000	35,000	35,000
SHQ Museum (BLD073) Cap Inv Res Year2	0	0	0	0	0	0
<b>Grant</b>						
(Capital Grant) Fire Control Grant	1,100,000	1,100,000	0	0	1,100,000	0
(Capital Grant) Fire Control Grant	0	700,000	0	0	700,000	0
<b>External Contributions</b>						
Police contribution to JCC	4,002,000	4,817,000	0	89,799	4,906,799	1,141,524
Capital Grant CSR07 (1,728,900) (BLD067)	1,243,966	1,243,966	0	0	1,243,966	1,243,966
<b>Total Non Borrowing</b>	<b>10,193,966</b>	<b>12,001,166</b>	<b>-1,300,000</b>	<b>614,999</b>	<b>11,316,165</b>	<b>5,020,690</b>
<b>Borrowing Requirement</b>						
Unsupported Borrowing	4,731,934	8,337,934	-2,188,100	252,201	6,402,035	-1,047,525
<b>Borrowing</b>	<b>4,731,934</b>	<b>8,337,934</b>	<b>-2,188,100</b>	<b>252,201</b>	<b>6,402,035</b>	<b>-1,047,525</b>
<b>Total Funding</b>	<b>14,925,900</b>	<b>20,339,100</b>	<b>-3,488,100</b>	<b>867,200</b>	<b>17,718,200</b>	<b>3,973,165</b>

This page is intentionally left blank

## Authority Capital Programme for 2013/2014 - 2017/2018

Expenditure	Total Cost £	2013/14				
		2013/14 £	2014/15 £	2015/16 £	2016/17 £	2017/18 £
Building/Land	18,891,000	12,305,000	3,842,500	1,896,000	475,500	372,000
Fire Safety	6,403,000	1,283,000	1,281,000	1,281,000	1,279,000	1,279,000
ICT	4,458,900	2,368,900	396,000	637,000	516,000	541,000
Operational Equipment & Hydrants	1,708,500	1,090,500	142,000	57,000	352,000	67,000
Vehicles	6,472,100	670,800	1,330,200	1,465,300	1,793,800	1,212,000
<b>TOTAL</b>	<b>37,933,500</b>	<b>17,718,200</b>	<b>6,991,700</b>	<b>5,336,300</b>	<b>4,416,300</b>	<b>3,471,000</b>
2013/14 - 2017/18 Quarter 1 Approved Programme	36,697,300	20,339,100	3,054,100	5,331,800	4,501,300	3,471,000
Q2 Current to Quarter 1 Change	1,236,200	(2,620,900)	3,937,600	4,500	(85,000)	0
<b>Q2 Movements Explained by:</b>						
<u>Approved Scheme Additions</u>						
BLD070 Workshop Enhancement CFO/104/13 (Cap Res)	350,000	350,000				
BLD071 Station Refresh CFO/102/13 (Cap Res)	500,000	100,000	400,000			
<u>Scheme Re-Phasings</u>						
Re-Phasing to 2012/13						
Total Buildings	0	(2,277,000)	2,277,000			
Total Vehicles	0	(1,211,100)	1,126,100	85,000		
Total IT	200	200				
<u>Other</u>						
JCC Amendment	236,000	417,000	(15,500)	(80,500)	(85,000)	
New SHQ Training Tower	0	(75,000)	75,000			
New SHQ Museum investment	150,000	75,000	75,000			
	1,236,200	(2,620,900)	3,937,600	4,500	(85,000)	0

Financing Available:	Total	2013/14	2014/15	2015/16	2016/17	2017/18
<b>Capital Receipts</b>						
Toxteth Fire Station (Firefit Hub)	250,000		250,000			
Sale of 2 existing N-le-W LLAR properties	275,000			275,000		
Sale of LLAR house Cable Street, Formby	350,000		350,000			
Sale of Derby Road	700,000		700,000			
<b>R.C.C.O.</b>						
CFS alarm installation (salaries)	3,650,000	730,000	730,000	730,000	730,000	730,000
CFS alarm installation (FSD)	50,000	50,000				
Capital Reserve to Gym Equipment	50,000	50,000				
Capital Reserve to JCC	1,768,000	1,768,000				
Capital Reserve - IT JCC Airwave	232,000	232,000				
IT Laptops/e-recruiting	10,400	10,400				
Capital Reserve to JCC	75,000		75,000			
<b>Grant</b>						
CLG General Capital Grant Allocation	2,487,932	1,243,966	1,243,966			
CLG Fire Control Grant (£1.8m in total)	1,800,000	1,800,000				
<b>Other</b>						
BLD068 JCC MPA Contribution	4,817,000	4,817,000				
BLD068 JCC MPA Contribution to £5.053m	236,000	236,000				
BLD068 JCC MPA Funding already applied 2012/13	(146,201)	(146,201)				
BLD070 Workshop Enhancement CFO/104/13	350,000	350,000				
BLD071 Station Refresh CFO/102/13	500,000	100,000	400,000			
BLD073 Museum - N-WAS Contribution	35,000	35,000				
BLD073 Museum - Telent Contribution	40,000	40,000				
<b>Total Non Borrowing</b>	<b>17,530,131</b>	<b>11,316,165</b>	<b>3,748,966</b>	<b>1,005,000</b>	<b>730,000</b>	<b>730,000</b>
<b>Unsupported Borrowing</b>	<b>20,403,369</b>	<b>6,402,035</b>	<b>3,242,734</b>	<b>4,331,300</b>	<b>3,686,300</b>	<b>2,741,000</b>
<b>Total Funding</b>	<b>37,933,500</b>	<b>17,718,200</b>	<b>6,991,700</b>	<b>5,336,300</b>	<b>4,416,300</b>	<b>3,471,000</b>
Q1 Funding Level for 2013/14 - 2017/18 Programme	36,697,300	20,339,100	3,054,100	5,331,800	4,501,300	3,471,000
Q2 Current to Q1 Change	1,236,200	(2,620,900)	3,937,600	4,500	(85,000)	0
<b>Qtr 2 Funding Change Explained by:</b>						
<u>Capital Reserves</u>						
BLD070 Workshop Enhancement CFO/104/13	350,000	350,000				
BLD071 Station Refresh CFO/102/13	500,000	100,000	400,000			
BLD072 SHQ Museum	75,000		75,000			
<u>Borrowing:</u>						
Scheme Re-Phasings						
Buildings	0	(2,277,000)	2,277,000			
Vehicles	0	(1,211,100)	1,126,100	85,000		
Scheme Re-Phasings/Virement						
SHQ Tower	0	(75,000)	75,000			
JCC Amendment; Movement on Borrowing	146,201	327,201	(15,500)	(80,500)	(85,000)	
<u>Other</u>						
JCC Amendment; Net Increase in MPA Funding	89,799	89,799				
<u>R.C.C.O.</u>						
ICT Hardware	200	200				
SHQ Museum	75,000	75,000				
	1,236,200	(2,620,900)	3,937,600	4,500	(85,000)	0

Page 40  
**Building / Land - Budget 2013/14 to 2017/18**

Job Code	Type of Expenditure	Total Cost		2013/14 £	2014/15 £	2015/16 £	2016/17 £	2017/18 £
		£	£					
	<b>Site Refurbishment</b>							
BLD016	Community Station Investment		180,500	24,000	55,500		56,000	45,000
BLD030	Kensington CFS							
BLD035	Accommodation MF1		644,000	644,000				
BLD039	FS Refurbishment Heswall		150,000			150,000		
BLD040	FS Refurbishment Whiston		152,500		152,500			
BLD041	FS Refurbishment Aintree		280,000	3,000	277,000			
BLD042	St Helens Conversion		511,000	4,000	507,000			
BLD055	FS Refurbishment Bromborough		329,000	19,000	310,000			
BLD056	FS Refurbishment Eccleston		338,000		338,000			
BLD057	FS Refurbishment Crosby		375,000		375,000			
BLD063	FS Refurbishment Kirkby		326,000		326,000			
BLD068	SHQ Joint Control Room		9,319,000	9,319,000				
BLD069	FS Refurbishment Allerton		341,000		341,000			
	FS Refurbishment Huyton		350,000			350,000		
	FS Refurbishment Upton		275,000			275,000		
	FS Refurbishment West Kirby		400,000			400,000		
BLD070	Workshop Enhancement		350,000	350,000				
BLD071	Station Refresh		500,000	100,000	400,000			
		14,821,000						
	<b>LLAR Accomodation</b>							
BLD036	LLAR Accomodation Formby		533,000	533,000				
BLD045	City Centre Community Facility		80,000	80,000				
BLD059	LLAR Accomodation Eccleston		237,500		237,500			
	LLAR Accomodation Newton-le-Willows		375,000			375,000		
		1,225,500						
	<b>General Station Upgrades</b>							
BLD001	Roofs & Canopy Replacements		233,000	43,000	50,000	50,000	50,000	40,000
BLD004	Concrete Yard Repairs		95,500	15,500	20,000	20,000	20,000	20,000
BLD005	Tower Improvements		73,500	45,500			18,000	10,000
BLD072	SHQ Tower		125,000	50,000	75,000			
BLD073	SHQ Museum		150,000	75,000	75,000			
BLD011	Capital Refurbishment		57,000		57,000			
BLD013	Non Slip Coating to Appliance Room Floors		192,500	13,000	46,500	46,500	46,500	40,000
BLD014	Boiler Replacements		54,000	54,000				
BLD020	Electrical Testing		256,000	112,000	38,000	38,000	38,000	30,000
BLD031	Diesel Tanks		150,000	150,000				
BLD033	Sanitary Accomodation Refurbishment		148,500	58,500		30,000	30,000	30,000
BLD044	Asbestos Surveys		144,500	19,500		50,000	50,000	25,000
BLD060	DDA Compliance		139,000	89,000			30,000	20,000
		1,818,500						
	<b>Other</b>							
BLD018	Conference Facilities SHQ		24,000		4,500	4,500	10,000	5,000
BLD026	Corporate Signage		25,000	10,000		5,000	5,000	5,000
BLD032	Power Strategy		31,500	1,500			20,000	10,000
BLD034	Office Accomodation		112,000	47,000		25,000	25,000	15,000
BLD058	HVAC - Heating, Ventilation & Air Con		92,000	92,000				
BLD061	Lightening Conductors & Surge Protection		55,000	55,000				
BLD062	Emergency Lighting		26,500	26,500				
BLD065	MACC Server Room Extension		4,000	4,000				
BLD067	Gym Equipment Replacement		315,000	215,000	25,000	25,000	25,000	25,000
CON001	Energy Conservation Salix		108,500	8,500	25,000	25,000	25,000	25,000
DSO001	DSO Cleaning Equipment		6,000	6,000				
EQU002	Replacement programme for Fridge Freezers		82,500	16,500	16,500	16,500	16,500	16,500
EQU003	Bulk purchase of furniture for refurbished premises		62,500	20,500	10,500	10,500	10,500	10,500
		944,500						
	<b>TDA</b>							
TDA001	Fire house refurbishment		80,000		80,000			
TDA006	TDA Server Room Expansion		1,500	1,500				
		81,500						
		18,891,000		12,305,000	3,842,500	1,896,000	475,500	372,000
	<b>Original Budget</b>	14,084,000		10,144,000	1,031,000	1,976,500	560,500	372,000
	<b>Current Programme</b>	18,891,000		12,305,000	3,842,500	1,896,000	475,500	372,000
	<b>Changes</b>	4,807,000		2,161,000	2,811,500	(80,500)	(85,000)	
	<b>Q1 Movements/Adjustments</b>	3,571,000		3,571,000				
	<b>Q2 Movements/Adjustments</b>	1,236,000		(1,410,000)	2,811,500	(80,500)	(85,000)	

## Fire Safety - Budget 2013/14 to 2017/18

Job Code	Type of Expenditure	Total Cost £	2013/14	2014/15	2015/16	2016/17	2017/18
			£	£	£	£	£
FIR002	Smoke Alarms (100,000 HFRA target)	<b>2,500,000</b>	500,000	500,000	500,000	500,000	500,000
FIR005	Installation costs (HFRA)	<b>3,650,000</b>	730,000	730,000	730,000	730,000	730,000
FIR006	Deaf Alarms (HFRA)	<b>245,000</b>	49,000	49,000	49,000	49,000	49,000
FIR007	Replacement Batteries (12,000)	<b>8,000</b>	4,000	2,000	2,000		
		<b>6,403,000</b>	<b>1,283,000</b>	<b>1,281,000</b>	<b>1,281,000</b>	<b>1,279,000</b>	<b>1,279,000</b>
	<b>Original Budget</b>	<b>6,403,000</b>	<b>1,283,000</b>	<b>1,281,000</b>	<b>1,281,000</b>	<b>1,279,000</b>	<b>1,279,000</b>
	<b>Current Programme Changes</b>	<b>6,403,000</b>	<b>1,283,000</b>	<b>1,281,000</b>	<b>1,281,000</b>	<b>1,279,000</b>	<b>1,279,000</b>

**ICT including Regional Control - Budget 2013/14 to 2017/18**

Job Code	Type of Expenditure	Total Cost £					
			2013/14 £	2014/15 £	2015/16 £	2016/17 £	2017/18 £
<u>IT002</u>	<u>ICT Software</u>	<b>395,000</b>					
	SSI/Autocad for CAD Department		2,000	2,000	2,000	2,000	2,000
	3 Year Licences Antivirus & Filtering						155,000
	Microsoft EA Agreement (Servers & Security)				60,000	60,000	60,000
	Microsoft EA Agreement (Windows Desktop)						
	Microsoft EA Agreement (Office Desktop)						
	Microsoft SQL Upgrade				50,000		
<u>IT003</u>	<u>ICT Hardware</u>	<b>665,900</b>					
	PC, monitor and laptop replacement (target 20%)		140,900	80,000	80,000	80,000	80,000
	PC, monitor and laptop growth		5,000	5,000	5,000	5,000	5,000
	Peripherals replacement (target 20%)		6,000	6,000	6,000	6,000	6,000
	Appliance Toughbook Replacement				110,000		
	LFS Laptops					40,000	
<u>IT005</u>	<u>ICT Servers</u>	<b>620,000</b>					
	Server/storage replacement (target 20%)		160,000	190,000	65,000	65,000	65,000
	Server/storage growth		15,000	15,000	15,000	15,000	15,000
<u>IT018</u>	<u>ICT Network</u>	<b>695,500</b>					
	Local Area Network replacement (discrete)		4,000	4,000	4,000	4,000	4,000
	Network Switches/Routers replacement		169,500		141,000		100,000
	Network Switches/Router growth		5,000	5,000	5,000	5,000	5,000
	Vesty Road Network Link Refresh			40,000			
	IP Telephony		5,000	5,000	50,000	100,000	
	Wireless Network					40,000	
<u>IT026</u>	<u>ICT Operational Equipment</u>	<b>132,000</b>					
	Pagers/Alerters		14,000	7,000	7,000	7,000	7,000
	Station End Kit		10,000	5,000	5,000	5,000	5,000
	Remote access Security FOBS		4,000	2,000	2,000		2,000
	Incident Ground Management System					50,000	
<u>IT027</u>	<u>ICT Security</u>	<b>2,000</b>					
	Remote Access Security FOBS					2,000	
IT028	Portal Development	<b>205,500</b>	105,500	25,000	25,000	25,000	25,000
IT030	ICT Projects/Upgrades	<b>30,000</b>	10,000	5,000	5,000	5,000	5,000
IT034	E-Mail retention (legal requirement)	<b>45,000</b>	45,000				
IT036	Portable Storage Media Security	<b>27,000</b>	27,000				
IT037	Emerging Technologies	<b>10,500</b>	10,500				
IT039	Estates Management System (RCCO)	<b>20,000</b>	20,000				
IT040	Analytical Tool CFS Work (IRMP 09-01-15)	<b>30,000</b>	30,000				
IT043	E-Recruitment System	<b>19,000</b>	19,000				
IT045	PFI ICT Transition	<b>47,500</b>	47,500				
IT049	Wireless Rollout	<b>15,000</b>	15,000				
IT051/4	JCC ICT	<b>985,000</b>	985,000				
	<u>Other</u>						
FIN001	FMIS Replacement (inc slippage)	<b>450,000</b>	450,000				
IT046	Computerised Integrated HR System						
IT047	Computerised Legal Case Management System	<b>4,500</b>	4,500				
IT050	Community Protection IMS System	<b>30,000</b>	30,000				
RC001	ICT Security	<b>10,000</b>	10,000				
RC003	Corporate Gazetteer	<b>19,500</b>	19,500				
		<b>4,458,900</b>	<b>2,368,900</b>	<b>396,000</b>	<b>637,000</b>	<b>516,000</b>	<b>541,000</b>
	<b>Original Budget</b>	<b>3,138,000</b>	<b>1,048,000</b>	<b>396,000</b>	<b>637,000</b>	<b>516,000</b>	<b>541,000</b>
	<b>Current Programme</b>	<b>4,458,900</b>	<b>2,368,900</b>	<b>396,000</b>	<b>637,000</b>	<b>516,000</b>	<b>541,000</b>
	<b>Changes</b>	<b>1,320,900</b>	<b>1,320,900</b>				
	<b>Q1 Movements/Adjustments</b>	<b>1,320,700</b>	<b>1,320,700</b>				
	<b>Q2 Movements/Adjustments</b>	<b>200</b>	<b>200</b>				
		<b>1,320,900</b>	<b>1,320,900</b>				



**Operational Equipment - Budget 2013/14 to 2017/18**

Job Code	Type of Expenditure	Total Cost £	2013/14	2014/15	2015/16	2016/17	2017/18
			£	£	£	£	£
OPS001	Gas Tight Suits Other PPE	10,000	10,000				
<u>OPS003</u>	<u>Hydraulic Rescue Equipment</u>	208,500					
	Hydraulic Rescue Equipment - Replacement Programme		143,500				
	Air Lifting units - Replacement programme						
	Pneumatic Rescue Equipment - Air Bags			65,000			
OPS005	Resuscitation Equipment	55,500	55,500				
<u>OPS009</u>	<u>POD Equipment</u>						
	Demountable Unit (POD) Refurbishment - 2013/14 IRMP	50,000	50,000				
<u>OPS022</u>	<u>Improvements to Fleet</u>						
	Equipment to utilise new emergency response vehicles	110,000	20,000	20,000	20,000	20,000	30,000
OPS011	Thermal imaging cameras	24,000	24,000				
<u>OPS019</u>	<u>Other Operational Equipment</u>						
	Battery Operated Floodlights	40,000	40,000				
OPS023	Water Rescue Equipment	274,000	24,000			250,000	
<u>OPS024</u>	<u>BA Equipment/Comms</u>	350,000					
	Breathing Apparatus Cylinder Replacement Programme		200,000				
	Replacement of hand held communication radios		150,000				
OPS026	Rope Replacement	35,000	15,000	20,000			
OPS027	Light portable Pumps	20,000	20,000				
OPS031	CCTV Equipment (IRMP2 CCTV Drone)	32,000	32,000				
OPS033	Marine Rescue Launch	5,000	5,000				
OPS035	Operational Compressors	28,000	28,000				
OPS036	Radiation Detection Equipment	45,000				45,000	
OPS038	Water Delivery System	66,000	66,000				
OPS039	Water Delivery Hoses	84,000	84,000				
OPS044	Other - Acetylene Cylinders Modernisation Procedures	14,000	14,000				
OPS049	Bulk Foam Attack Equipment	48,000	48,000				
OPS052	DEFRA FRNE	20,000	20,000				
	<u>Hydrants</u>						
HYD001	Hydrants (New Installations)	92,500	18,500	18,500	18,500	18,500	18,500
HYD002	Hydrants (Replacements)	97,000	23,000	18,500	18,500	18,500	18,500
		<b>1,708,500</b>	<b>1,090,500</b>	<b>142,000</b>	<b>57,000</b>	<b>352,000</b>	<b>67,000</b>

<b>Original Budget</b>	<b>1,485,000</b>	<b>667,000</b>	<b>342,000</b>	<b>57,000</b>	<b>352,000</b>	<b>67,000</b>
<b>Current Programme</b>	<b>1,708,500</b>	<b>1,090,500</b>	<b>142,000</b>	<b>57,000</b>	<b>352,000</b>	<b>67,000</b>
<b>Changes</b>	<b>223,500</b>	<b>423,500</b>	<b>(200,000)</b>			
<b><u>Q1 Movements/Adjustments</u></b>	<b>223,500</b>	<b>423,500</b>	<b>(200,000)</b>			

### Operational Equipment - Budget 2013/14 to 2017/18

Job Code	Capital Scheme/Vehicle Type	Price Per Unit	Total for 5 years		2013/14		2014/15		2015/16		2016/17		2017/18	
			Units	Cost	Units	£	Units	£	Units	£	Units	£	Units	£
VEH001	Fire Appliances	245,000	12	2,940,000					4	980,000	4	980,000	4	980,000
VEH002	<u>Ancillary Vehicles</u>													
	Water Training Vehicle (Mercedes Sprinter)	22,000	1	22,000	1	22,000								
	Cars (5 door - Fiesta/Corsa/Focus)	8,300	49	406,700	3	24,900	29	240,700	1	8,300	16	132,800		
	Small Vans (Fiesta/Corsa)	7,000	5	35,000			5	35,000						
	Renault Master Panel Vans	18,200	16	291,200	6	109,200	10	182,000						
	<i>Invoiced</i> Mini Buses (Princes Trust)	22,750	2	45,500	2	45,500								
	Panel Vans	18,500	6	111,000					4	74,000	2	37,000		
	Panel Vans	25,000	2	50,000									2	50,000
	Ford Connect Vans	9,500	8	76,000	1	9,500	3	28,500	2	19,000			2	19,000
	PCVs (Ford Transit)	18,000	4	72,000	1	18,000	3	54,000						
	4x4s (Ford Ranger/Toyota Hilux)	16,000	5	80,000	2	32,000	1	16,000					2	32,000
	4x4s (Ford Ranger/Toyota Hilux)	21,000	3	63,000					3	63,000				
	4x4s (Isuzu)	27,000	2	54,000									2	54,000
	Officer response Cars	22,000	2	44,000							2	44,000		
	Officer response Cars	26,000	2	52,000									2	52,000
	<i>Order on</i> Officer response Cars - Insignia (With Blues & Twos)	18,350	2	36,700	2	36,700								
	Car -Automatc	25,000	1	25,000									1	25,000
VEH004	<u>Special Vehicles</u>													
	<u>CPL's</u>													
	Vehicle 2 (refurbished)	300,000	1	300,000			1	300,000						
	Vehicle 3 (refurbished)	300,000	1	300,000			1	300,000						
	Vehicle 4 (NEW)	600,000	1	600,000							1	600,000		
	<u>Other</u>													
	IMU - Prime Movers	98,000	4	392,000	2	196,000			2	196,000				
	contribution to price increase (Slippage)			36,500		36,500								
	BA Support Unit (POD)	75,000	1	75,000	1	75,000								
	SFU Vehicle	85,000	2	170,000			1	85,000	1	85,000				
	Water Rescue Unit	45,000	1	45,000			1	45,000						
VEH005	Water Strategy			29,000		29,000								
VEH006	<u>Motorcycle Response</u>													
	AFA/RTC Bikes	6,000	2	12,000			2	12,000						
	Firefighting bikes	16,000	2	32,000			2	32,000						
WOR001	<u>Workshop Equipment</u>													
	Equipment			36,500		36,500								
	Replace steam clean lift			40,000					40,000					
	Workshop MOT/LCC contract													
				<b>6,472,100</b>		<b>670,800</b>		<b>1,330,200</b>		<b>1,465,300</b>		<b>1,793,800</b>		<b>1,212,000</b>
<b>Original Budget</b>				<b>6,374,100</b>		<b>1,783,900</b>		<b>204,100</b>		<b>1,380,300</b>		<b>1,793,800</b>		<b>1,212,000</b>
<b>Current Programme</b>				<b>6,472,100</b>		<b>670,800</b>		<b>1,330,200</b>		<b>1,465,300</b>		<b>1,793,800</b>		<b>1,212,000</b>
<b>Changes</b>				<b>98,000</b>		<b>(1,113,100)</b>		<b>1,126,100</b>		<b>85,000</b>				
<b><u>Q1 Movements/Adjustments</u></b>				<b>98,000</b>		<b>98,000</b>								
<b><u>Q2 Movements/Adjustments</u></b>						<b>(1,211,100)</b>		<b>1,126,100</b>		<b>85,000</b>				
				<b>13,000</b>		<b>(1,113,100)</b>		<b>1,126,100</b>						

**List of write-offs - Q2 2013/14**

Invoice Date	Invoice Number	Provision Bad Debt List	Customer Code	Customer Name	Line Description	Write Off Reason	Original Invoice Value			Amount Paid	Outstanding Balance	Amount To Be Written Off		
							Nett	VAT	Gross			Nett	VAT	Gross
15/11/11	I0013664	YES	GLA019	DAVID CLIFFE	TRAINING COURSE	LITIGATION ADVICE	450.00	90.00	540.00		540.00	450.00	90.00	540.00
26/03/12	I0014065	YES	SEA004	SEASCOPE MARINE SERVICES LTD	TRAINING COURSE	LITIGATION ADVICE	450.00	90.00	540.00		540.00	450.00	90.00	540.00
												900.00	180.00	1,080.00

This page is intentionally left blank

**AGENDA ITEM:**

<b>REPORT TO:</b> Meeting of the	<b>MERSEYSIDE FIRE &amp; RESCUE AUTHORITY POLICY AND RESOURCES</b>
<b>DATE:</b>	<b>19<sup>th</sup> NOVEMBER 2013</b>
<b>REPORT NO.</b>	<b>CFO/130/13</b>
<b>REPORTING OFFICER:</b>	<b>DEPUTY CHIEF FIRE OFFICER</b>
<b>CONTACT OFFICER:</b>	<b>DIRECTOR OF STRATEGY AND PERFORMANCE, DEB APPLETON, EXTN, 4402</b>
<b>OFFICERS CONSULTED:</b>	<b>JEAN CRIMMINS, JULIE YARE; CORPORATE INFORMATION SHARING OFFICER, INFORMATION SECURITY FORUM</b>
<b>SUBJECT:</b>	<b>REVIEW OF THE INFORMATION GOVERNANCE AND SECURITY POLICY AND ASSOCIATED SERVICE INSTRUCTIONS</b>

<b>APPENDIX</b>	<b>A</b>	<b>TITLE</b>	<b>Information Governance and Security Policy</b>
	<b>B</b>		<b>SI 0435 Data Protection Instructions</b>
	<b>C</b>		<b>SI 0437 Freedom of Information Requests and Publication Scheme</b>
	<b>D</b>		<b>SI (reference to be allocated) CCTV Use</b>
	<b>E</b>		<b>SI 0759 Destruction of Information Assets (including Protectively Marked information)</b>
	<b>F</b>		<b>SI 0687 Preparing and transferring records to storage in the archive store, Vesty building</b>
	<b>G</b>		<b>Equality Impact Assessment</b>

---

**ATTACHED – ELECTRONIC / HARD COPY**

Purpose of Report

1. To request that Members consider the revised Policy and Service Instructions that have resulted from a fundamental review of existing Information Governance and Security documents, taking into account new legal and best practice requirements.

Recommendation

2. That Members approve the revised Policy and Service Instructions attached at appendices A to F. Following approval the Service Instructions will be subject to the internal consultation process adopted for all Service Instructions.

Executive Summary

A review has taken place of Policies and Service Instructions related to information governance and security to ensure that guidance related to the management of information assets is streamlined and up to date.

The outcomes are detailed in section 5 below, but in brief the following changes are proposed:

**Information Governance and Security Policy** – updated and a Data Quality Policy deleted

**SI 0435 Data Protection Instructions** – updated and incorporating new sections

**SI 0437 Freedom of Information Requests and Publication Scheme** – updated to incorporate new legislation

**SI (reference to be allocated) CCTV Use** – a merger of two existing SIs

**SI 0759 Destruction of Information Assets (including Protectively Marked information)** – merger with two other SIs (0675, 0146) updated and renamed

**SI 0687 Preparing and transferring records to storage in the archive store, Vesty building** – merger of two previous SIs

An Equality Impact Assessment has considered for the Policy and related SIs.

Introduction & Background

3. Information and data are necessary for Merseyside Fire and Rescue Authority (MFRA) to comply with its statutory duties and to arrange and provide services for the citizens of Merseyside. All Members, employees, contract and temporary workers and volunteers have a responsibility to ensure that information and data are managed properly and are secure and safeguarded from inappropriate release, modification or misuse. This includes the associated supporting technology. Information Governance is the way in which we bring together all of the requirements and standards that apply to the handling of information on all media. This ensures that the organisation and individuals have information that is accurate, meets legal requirements, is dealt with efficiently and is secure.
4. MFRA has had in place for some years a number of Policies and Service Instructions (SIs) that have been developed over time to help the Authority meet its legal obligations regarding information assets and to provide guidance to staff, Members, volunteers and contractors. In order to streamline those policies and SIs and to ensure that recent legal and best practice changes are incorporated into fewer policies and SIs a full review has taken place.

5. A summary of the major changes can be found below:
- i. The previous **“Information Security Policy”** has been expanded to include information Governance and reference to Government Protective Security because effective management and security of information is a key part of implementing Protective Security. There will also be a separate **“Protective Security Policy”** presented to Members in the near future, as the implementation of the Fire and Rescue Service Protective Security Strategy is of significant importance in its own right.
  - ii. An existing **“Data Quality Policy”** will be deleted as the content from that Policy has been incorporated into SI 0435 **“Data Protection Instructions”**.
  - iii. **SI 0435 “Data Protection Instructions”** has also been updated and amended to include reference to Protective Security and guidance on reporting data loss, protecting information through the use of encrypted portable devices and information disclosure and sharing. The SI also has direct references to Policies and SIs created by the ICT department, highlighting the close links between ICT and Information Governance and security.
  - iv. Two SIs relating to CCTV use will be deleted (**SI 0049 “CCTV on Service Vehicles”**; **SI 0725 “CCTV - Dealing with requests to view images or request copies of images”**) and replaced with one new SI called **“CCTV Use”** which will provide guidance on all aspects of CCTV use by the Authority.
  - v. **SI 0759 “Handling and Destruction of Confidential Waste”** will be renamed **“Destruction of Information Assets (including Protectively Marked information)”** to ensure it links with future a Protective Security Policy and Service Instructions (currently in development) and to remove the ambiguity regarding the word “confidential” which has both a common meaning and is also currently a specific Protective Marking. This SI has also been updated and includes links to records management to ensure that information is destroyed in accordance with agreed retention schedules.
  - vi. **SI 0687 “Preparing and transferring records to storage in the archive store, Vesty building”** has been created by merging two previous SIs that dealt separately with preparation and transferring and contained several overlapping areas which have now been removed.
  - vii. **SI 0437 “Freedom of Information Requests and Publication Scheme”** has been updated and also incorporates changes due to new legislation, the Protection of Freedoms Act 2012.

#### Training and Notification

6. When the Service Instructions have been approved for publication all staff will be notified. It is planned that the Information Asset Owners will be champions for their departments and that they will help re launch the Policy and full suite of Service Instructions. In addition training is already provided to staff on a risk basis and this

will continue. To ensure that all staff receive training an e-learning solution is being considered using packages prepared by the National Records Office. There is currently no cost associated with this solution.

#### Equality & Diversity Implications

7. The Equality Impact Assessment (EAI) attached at Appendix G considered the Policy and its associated Service Instructions. The outcome of the EIA included changes to the Freedom of Information and Publication Scheme Service Instruction.

#### Staff Implications

8. There are implications for all staff, volunteers, Members and contractors, as all are required to comply with the Policy and SIs.

#### Legal Implications

9. There are a number of pieces of legislation that are directly connected with information governance and security. These are the Data Protection Act 1998, the Freedom of Information Act 2000, the Protection of Freedoms Act 2012, the Human Rights Act 1998. Also relevant are the Common Law Duty of Confidence and the Common Law Duty of Confidentiality. The attached policy and SIs are designed to assist the Authority in ensuring compliance with this legislation.

#### Financial Implications & Value for Money

10. There are no financial implications arising from this report.

#### Risk Management, Health & Safety, and Environmental Implications

11. There are significant risks associated with the poor management and security of information assets, including fines of up to £500,000 from the Information Commissioner for personal data breaches. Any such fines would also carry with them significant reputational risks for the Authority. The attached Policy and SIs are designed to assist the authority in maintaining good information governance and security.

#### Contribution to Our Mission – To Achieve; Safer Stronger Communities – Safe Effective Firefighters”

12. Information is an important resource, with the Authority relying on it to support all the Services provided by MFRS. A thorough approach to information governance and security is essential to ensure good management of information assets.



**BACKGROUND PAPERS**

List any supporting documents/evidence here

**\*Glossary of Terms**

Please list any acronyms used within this Report and appendices, including their meaning.

This page is intentionally left blank

## APPENDIX A



*“An Excellent Authority”*

**Service Policy No. STRPOL09  
Information Governance &  
Security Policy**

This is an unpublished work, the Copyright in which vests in Merseyside Fire & Rescue Authority. All rights reserved. The information contained herein is the property of Merseyside Fire & Rescue Service, and is supplied without liability for errors or omissions. No part may be reproduced or used except as authorised by Contract or other written permission. The Copyright and the foregoing restriction on reproduction and use extend to all media in which information may be embodied ©

**Document Control**

Active date	Review date	Department	Author	Editor	Publisher
	April 2014	Strategy & Performance	Julie Yare	Information Security Forum (ISF)	Sue Coker

**Legislation**

Title	
Data Protection Act 1998 Freedom of Information Act 2000 Protection of Freedoms Act 2012	

**Amendment History**

Version	Date	Author	Reasons for Change
3	October 13	Julie Yare	Combined Information Governance, Data Protection & Security Policy.

**Amendment History**

Version	Date	Author	Reasons for Change
1	October 13	Julie Yare	Combined Information Governance, Data Protection & Security Policy.

**Equalities Impact Assessment**

Initial	Full	Date	Reviewed by	Comments
X		09.05.07		
JY	YES	July 2013	Wendy Kenyon	

**Civil Contingencies Impact Assessment**

Date	Reviewed by	Comments

**Related Policies**

Title	Author	Department

**Distribution List**

Name	Position	I/R
Information Security Forum		I
Senior Management Group		R

**Sign-Off List**

Name	Position
Information Security Forum	
Senior Management Group	

**Related Documents**

Ref No.	Title	Author	Version & Date
SI 0435	Data Protection Instructions	J. Crimmins	
SI 0437	Freedom of Information Requests/Publication Scheme	J. Crimmins	
SI xxxx	CCTV	G. Davies	
SI 0759	Destruction of Information Assets (including Protectively Marked Information)	J. Crimmins	
SI 0687	Preparing and transferring records to storage in the Archive Store, Vesty building	J. Crimmins	
ICTPOL03	Acceptable use policy	Bernie Kenny	
SI0730	Internet Access & Usage	Bernie Kenny	
SI0703	Email	Ed Franklin	
SI0699	Using Social Media	Bernie Kenny	

**Target audience**

All MFS	x	Ops Crews		Fire safety		Community FS		Support Staff	
Principal off.		Senior off.		etc.		etc.		etc.	

**Ownership**

FOI exemption required?	Yes		URL	
	No	x	Reason	



*"An Excellent Authority"*

## **Information Governance & Security Policy**

### **Service Policy No. STRPOL09**

#### **1. Policy Introduction and Background**

Information and data are necessary for Merseyside Fire and Rescue Authority (MFRA) to comply with its statutory duties and to arrange and provide services for the citizens of Merseyside.

All Members, employees, contract and temporary workers and volunteers have a responsibility to ensure that information and data are managed properly and are secure and safeguarded from inappropriate release, modification or misuse.

This includes the associated supporting technology.

Information Governance is the way in which we bring together all of the requirements and standards that apply to the handling of information on all media. This ensures that the organisation and individuals have information that is accurate, meets legal requirements, is dealt with efficiently and is secure.

#### **2. Policy Explanation**

The objective of this Information Governance, & Security Policy is to protect MFRA's information and data assets<sup>1</sup> from all threats, whether internal or external, deliberate or accidental, to ensure business continuity, minimise damage and maximise our ability to deliver services by bringing together all of the requirements, standards and best practice that apply to the handling of information. It has four fundamental aims:

- To support and promote the effective and appropriate use of information to deliver services;
- To encourage responsible staff to work closely together, preventing duplication of effort and enabling more efficient use of resources;
- To develop support arrangements and provide staff with appropriate tools and support to enable them to discharge their responsibilities to consistently high standards and to ensure statutory obligations are met;

<sup>1</sup> This includes data & information printed or written on paper, stored electronically, and transmitted by post or electronic means, stored on tape or video, spoken in conversation.

- To enable the organisation to understand its own performance against its objectives.

Information Governance and security currently encompasses:

- Data Protection Act 1998
- Freedom of Information Act 2000
- Protection of Freedoms Act 2012
- Environmental Information Regulations 2004
- Information Sharing
- The Confidentiality Code of Practice
- Records Management
- Information Quality Assurance
- Information Security
- Information Governance Management
- Risk Management
- Protective Security

### Scope

The scope of this Information Governance & Security Policy covers all MFRA information and data held in any format and in any location including that held and used by Partner Organisations delivering services on behalf of the MFRA.

### Policy

It is the policy of MFRA to ensure that:

- Information and data are protected from the loss of confidentiality<sup>2</sup>, integrity<sup>3</sup> and availability<sup>4</sup>.
- Legislative and regulatory requirements are met<sup>5</sup>.
- Business continuity plans are produced, maintained and tested.
- Information security awareness training is made available to all employees and Members.
- All breaches of information and data security, actual or suspected, are reported to, and investigated by, the Information Security Forum and designated officers, and escalated to the Senior Information Risk Owner (SIRO); the Director of Strategy & Performance.
- All Strategic Management Group members and heads of department are responsible for implementing the Information Governance & Security Policy within their respective business areas.
- It is the responsibility of each member, employee, contract and temporary workers and volunteers to adhere to this policy.

### 3. Policy Implementation

This Policy relates to the following Service Instructions and Policy.

SI 0437 Freedom of Information requests and Publication Scheme

SI xxxx CCTV Use

SI 0759 Destruction of Information Assets (including protectively marked document)

<sup>2</sup> Confidentiality: ensuring that information is accessible only to authorised individuals.

<sup>3</sup> Integrity: safeguarding the accuracy and completeness of information and processing methods.

<sup>4</sup> Availability: ensuring that authorised users have access to relevant information when required.

<sup>5</sup> Includes legislation such as the Data Protection Act 1998, Freedom of Information Act 2000 and the Computer Misuse Act 1990.

SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.  
ICTPOL03 Acceptable use policy  
SI0703 Internet Access and Usage  
SI0699 Using Social Media  
SI0730 Email  
STRPOL (to be agreed) – Protective Security Policy – in draft  
Protective Marking SI in draft  
Personal Security SI in draft

This page is intentionally left blank





*"An Excellent Authority"*

## SERVICE INSTRUCTION 0435 DATA PROTECTION INSTRUCTIONS

### Document Control

#### Description and Purpose

This document is intended to give guidance to all MFRS personnel about the Data Protection Act 1998 and processing personal data.

Active date	Review date	Author	Editor	Publisher
27/11/08	01/11/2014	J.Yare	D. Appleton	Sue Coker
Permanent	*	Temporary	If temporary, review date must be 3 months or less.	

### Amendment History

Version	Date	Reasons for Change - update	Amended by
2	16/10/2014	Update and to tie in with other policies and SI's	J. Yare

### Risk Assessment (if applicable)

Date Completed	Review Date	Assessed by	Document location	Verified by(H&S)
N/A	N/A	N/A	N/A	N/A

### Equalities Impact Assessment

Initial	Full	Date	Reviewed by	Document location
N/A	N/A	N/A	N/A	N/A

### Civil Contingencies Impact Assessment (if applicable)

Date	Assessed by	Document location
N/A	N/A	N/A

### Related Documents

Doc. Type	Ref. No.	Title	Document location
Old SOP	ADM0041		Document Archived
Policy	STRPOL09	Information Governance & Security	Portal
Service Instruction	SI 0437	Freedom of information	Portal
Service Instruction	SI0725	Close Circuit Television	Portal
Service Instruction	SI	Destruction of information Assets (Including Protectively Marked Information)	Portal
Service	SI	Service Leavers	Portal

<b>Instruction</b>			
<b>Service Instructions</b>	ICTPOL03	Acceptable Use Policy	Portal
<b>Service Instruction</b>	SI 0703	Internet Access and Usage	Portal
<b>Service Instruction</b>	SI 0699	Using Social Media	Portal
<b>Service Instruction</b>	SI 0730	Email	Portal

**Contact**

<b>Department</b>	<b>Email</b>	<b>Telephone ext.</b>
Strategy & Performance	<a href="mailto:jeancrimmins@merseyfire.gov.uk">jeancrimmins@merseyfire.gov.uk</a> <a href="mailto:julieyare@merseyfire.gov.uk">julieyare@merseyfire.gov.uk</a>	4474/4479

**Target audience**

<b>All MFS</b>		<b>Ops Crews</b>		<b>Fire safety</b>		<b>Community FS</b>			
<b>Principal officers</b>		<b>Senior officers</b>		<b>Non uniformed</b>					

**Relevant legislation (if any)**

Data Protection Act 1998
Common Law Duty of Confidentiality
Common Law Duty of Confidence

## **DATA PROTECTION**

### **Table of Contents**

1. Introduction
2. Principles
3. Fair Processing
4. Data Uses and Processes
5. Data Quality & Integrity
6. Retention of Records
7. Subject Access
8. Technical & Organisational Security
9. Portable Storage devices
10. Information Disclosure and Sharing
11. Reporting the loss of Personal Data
12. Appendix - Data Processors
13. Glossary

### **1. Introduction**

The Data Protection Act 1998 also supports the Fire and Rescue Service Protective Security Strategy which will ensure that access to information is correctly managed and safeguarded to an agreed and proportionate level throughout the information lifecycle, including creation, storage, transmission and destruction.

It is the aim of MFRA that all appropriate staff are properly trained, fully informed of their obligations under the Data Protection Act 1998 and are aware of their personal liabilities.

Any employee acting outside the requirements of the Authority's Data Protection Instructions will be subject to MFRA's disciplinary procedures, and possible legal action. Individuals whose information is held and processed by MFRA can be assured that MFRA will treat their personal data with all due care. It is possible that at times disclosures of information may be made through other legislation or through the non-disclosure provisions/exemptions of Data Protection law.

The Authority's Senior Information Risk Owner (SIRO), with the support of the Information Security Forum is responsible for ensuring that the overall Information Security and Governance Policy is adhered to and that it reflects the information security needs of MFRA.

This document explains how Merseyside Fire & Rescue Authority (MF&RA) will meet the legal requirements of the Data Protection Act 1998. The Data Protection Act 1998 established a framework of rights and duties which are designed to safeguard personal data. This framework balances the legitimate needs of organisations to collect and use personal data for business and other purposes against the right of individuals to respect for the privacy of their personal details.

---

Service Instruction 0435: Data Protection Instructions

---

The Act extended the rights given to individuals in previous legislation and requires data controllers (people or organisations that hold and process details of living individuals) to comply with the Eight Principles (rules governing the use of personal data). Also they must bear in mind the rights and freedoms of those individuals when processing their details.

## 2. The Eight Principles

- Personal data shall be processed fairly and lawfully.
- Personal data shall only be obtained for specified and lawful purposes, and shall not be processed for any other incompatible purpose
- Personal data obtained shall be adequate, relevant and not excessive.
- Personal Data should be accurate
- Personal data shall not be kept any longer than necessary.
- Personal data shall be processed in accordance with the rights of the data subject.
- Appropriate measures shall be taken against unauthorised or unlawful processing of data, and against accidental loss or destruction of, or damage to, personal data.
- Personal data shall not be transferred outside the European Economic Area (EEA) unless adequate protection is afforded to the rights and freedoms of the data subject.

## 3. Fair Obtaining/Processing

MFRA will, as far as it is practicable, ensure that all individuals whose details we hold are aware of the way in which that information will be held, used and disclosed. Individuals will, where possible, be informed of the likely recipients of the information – whether the recipients are internal or external to MFRA. Processing within MFRA will be fair and lawful, individuals will not be misled as to the uses to which MFRA will put the information given. If a person feels they have been deceived or misled as to the reason for which their information was collected, they should use the MFRA'

Collection forms requiring personal information will contain a 'fair processing' statement giving details of the likely uses of the information, where information is collected in person or by telephone the employee asking for the details will tell the individual how those details will be used. People are free to ask the person collecting the information why they want the details and what they will be used for.

### Example of 'Fair Processing' Statement

"The information you have provided will be held by Merseyside Fire and Rescue Authority for the purposes of processing and administration and will be added to your personal file. Please notify us immediately of any changes so that we can keep your information up to date. Personal data may be disclosed to the data subject, data processors and Personnel staff. Occasionally we may be required by legislation to disclose data to Government Agencies".

If a person's details are going to be used for 'auto decision' processing (where a computer or other process decides something based on a score or other information) the person will be told about how the system works and whether the decision can be challenged.

---

Service Instruction 0435: Data Protection Instructions

---

If a person's details are to be processed for a purpose that does not appear on MFRA's notification submitted to the Information Commissioner, the individual will be given the information that would be necessary to make the processing fair and lawful.

Any person whose details are to be included in the organisation's website will be asked to give written consent. At the time the information is inserted, all such individuals will be properly informed about the consequences of their data being disseminated worldwide.

For further information on the processing of personal data please refer to guidance on the portal at <http://intranetportal/sites/kim/InformationGovernance/default.aspx> or go to the Information Commissioners website [www.ico.gov.uk](http://www.ico.gov.uk).

#### 4. Data Uses and Processes

MFRA will not use or process personal information in any way that contravenes its notified purposes or in any way that would constitute a breach of Data Protection Law. Any new purposes introduced will, where appropriate, be notified to the individual and - if required by the law – their consent will be sought. A copy of the appropriate notification document is available from MFRA's Corporate Information Sharing Officer (CISO). The notification document can also be viewed on the Information Commissioner's web page [www.ico.gov.uk](http://www.ico.gov.uk) registration no Z4919035

MFRA has a reporting structure headed by the Senior Information Risk Owner (SIRO), with an Information Asset Owner (please see Appendix 1) (IAO), in each department to ensure the following:

- all purposes and disclosures are co-ordinated and consistent
- all new purposes are documented and notified to the Information Commissioner
- all problems can be investigated thoroughly
- the SIRO and/or the Service CISO is informed of all new databases or other IT systems using or processing personal data to ensure the specification and the chosen system database addresses the principles of Data Protection.

#### 5. Data Quality and Integrity

MFRA will not collect data from individuals where that information is excessive or irrelevant in relation to the notified purpose(s). Details collected will be adequate for the purpose and no more. Information collected which becomes (over time or by virtue of changed purposes) irrelevant or excessive will be deleted. **Staff responsible for particular data sets will take on the role of IAO as previously mentioned (List at Appendix 1), and with it the responsibility for working with the SIRO to implement best practice and reduce risk to personal data.**

MFRA will ensure, as far as it is practicable, that the information held is accurate and up to date. It is the intention of MFRA to check wherever possible the details given. Information received from third parties will carry a marker indicating the source. Where a person informs MFRA of a change of their own circumstances, such as home address or non-contentious data, their record(s) will be updated as soon as possible. Where the individual requests that information be changed and it is not possible to update it immediately, or where the new information needs to be checked for its accuracy or validity, a marker will be placed on the disputed record indicating the nature of the problem.

MFRA and the individual will attempt to reach an amicable agreement on the dispute but where this is not possible MFRA's grievance or complaints procedures will be implemented.

## 6. Retention of Records

Personal data processed for any purpose or purposes shall not be kept for longer than is necessary for that purpose or those purposes. In practice, it means that the person responsible for the data will need to:

- Review the length of time personal data is kept by working with the CISO to set a retention schedule.
- Consider the purpose or purposes for which the information is held in deciding whether (and for how long) to retain it;
- Securely dispose of or delete information that is no longer needed for this purpose or these purposes; and
- Update, archive or securely dispose of or delete information if it goes out of date.

Where details of individuals are stored for long-term archive or historical reasons and where it is necessary to retain the personal detail within the records it will always be done within the requirements of the legislation. In many cases personal details will be removed from the record so that individuals cannot be identified. For individual retention schedules please refer to the portal on <http://intranetportal/sites/kim/recordsmanagement/Pages/ArchivedRecords.aspx> or Contact the CISO. Also see SI 0687 for more details on Preparing and Transferring records to the Records Management Archive Store/Vesty Building.

**Redundant personal data will be destroyed in accordance with the Data Protection Act. For more information on the disposal of personal data please refer to SI 0759 Destruction of Assets (including Protectively Marked Information), on the Portal.**

In general, paper waste is shredded by each individual department or destroyed by a professional records management company. Magnetic media (disks, tapes, etc.) must be physically destroyed beyond recovery.

## 7. Subject Access Requests

Any person whose details are processed by MFRA has a general right to receive a copy of their own information. Individuals will be able to have a copy of the data held on them. MFRA has a policy of charging £10 for such requests in line with the guidance of the Information Commissioner. Any codes used in the record will be fully explained and any inaccurate, out of date, irrelevant or excessive data will be dealt with under the procedures outlined in 'Data Quality & Integrity'.

MFRA will attempt to reply to subject access requests as quickly as possible and in all cases within the 40 days allowed by the Data Protection Act. Repeat requests will be fulfilled unless the period between requests is deemed unreasonable, such as a second request received so soon after the first that it would be impossible for the details to have changed.

A subject access/information request should be submitted on the appropriate forms wherever possible. This will ensure that MFRA has the required information to be able to conduct a data search and to fulfill the request. In some cases, especially with requests not submitted on the correct form, further information may be required from the requester which may delay the start of the 40-day maximum time limit.

Subject Access Request forms are available from the CISO or on the portal at <http://intranetportal/sites/kim/InformationGovernance/default.aspx>

## 8. Technical and Organisational Security

MFRA has implemented appropriate security measures as required under the Data Protection Act 1998. In particular, unauthorised staff and other individuals are prevented from gaining access to personal information. Appropriate physical activity is in place with visitors being received and supervised within MFRA offices where information about individuals is stored. The general public visiting MFRA offices should not feel that the measures are restrictive or oppressive. The measures are there to protect MFRA's data and other assets.

Computer systems are installed with user-profile type password controls and, where necessary, employee and access trail to establish that each user is fully authorised. In addition, employees are fully informed about overall security procedures and the importance of their role within those procedures. **All employees of MFRA are required to save data to their designated network drives and not to their individual PC's** in line with principle 7 of the Data Protection Act 1998.

Manual filing systems are held in secure locations and are accessed on a need-to-know basis only. Records and documents containing personal data must always be secured in a locked room, drawer or cabinet when not being worked on.

MFRA policies on the use of e-mail and internet facilities will also have an impact on technical and organisational security; refer to STRPOL09 Information Governance & Security Policy and associated ICT policies and SIs.

## 9. Portable storage devices

**Storing Personal Data on portable devices e.g. lap tops, portable hard drives; CDs, DVDs and memory sticks should always be avoided. However, if this is essential for organisational reasons, such devices should always be encrypted and/or password protected.**

**Staff, volunteers and where relevant, Elected Members and contractors must order encrypted devices through the telent ICT request forms.**

## 10. Disclosures of Information under Section 29 and Information Sharing

**It is sometimes necessary to disclose or share personal data and this is possible within the Data Protection Act. All staff are informed and reminded about the limits of their authority on disclosing information both inside and outside MFRA.**

**Disclosure on an adhoc basis - personal data on individuals will only be disclosed on a need to know basis inside and outside MFRA. Where details need to be passed outside the organisation it will, in general be done for an already registerable purpose, with the person's consent or through an exemption under the Act. An example of this would be the Police requesting information under Section 29 - Crime & Taxation. A request for disclosure form would always be required from an outside organisation before disclosure was permitted for MFRA's audit trail. When requesting information from other organisations MFRA staff are required to use the disclosure form available on the Portal at <http://intranetportal/sites/kim/InformationGovernance/default.aspx>**

**Information Sharing usually involves sharing bulk data, about many individuals on a regular basis. An example is an Information Sharing Protocol with a local authority, where the local authority provides MFRA with benefits data for prevention purposes with specified field's e.g. name, address, telephone no, postcode and D.O.B.**

---

Service Instruction 0435: Data Protection Instructions

---

MFRA use Information Sharing Protocols, as recommended by the Information Commissioner's Office, to agree terms that ensures that all sharing meets the requirements under the Data Protection Act 1998. The protocols set out the organisations involved, the reason for sharing, and the data fields to be shared, frequency of sharing, the secure system that is to be used and the legislation that the information is being shared under. For advice on Information Sharing contact The CISO.

It is a specific requirement of the Data Protection Act that personal data is not transferred outside the European Economic Area (EEA) without assured safeguards being met or without the individual's consent. Accordingly personnel are instructed to ensure that data is only transferred outside the EEA following consultation with the CISO.

## 11. Reporting the loss of Personal Data

Any member of staff, Authority Member, volunteer or contract worker who thinks they may have lost, had stolen or mistakenly disclosed personal data belonging to MFRA, either in hard copy or electronic form should take the following action as soon as possible after they discover the loss;

- Inform their line manager of the data loss and the circumstances that led to it
- Email [dataprotection@merseyfire.gov.uk](mailto:dataprotection@merseyfire.gov.uk) with the same details or ring the CISO on 0151 296 4479 or 4479 and
- Where the data was held on an electronic device; contact the telent helpdesk to inform them of the loss
- Where the data and/or the device on which it was stored have been stolen; report the theft to the Police

All reported breaches or potential weaknesses are investigated and, where necessary, further or alternative measures will be introduced to secure data. Such reports will be received by the SIRO, the appropriate department head as necessary and in some cases, disciplinary action could be taken.

Security arrangements are reviewed regularly. For further information on Information Security please refer to the Information Governance section located on the Portal or STRP0L09, the Information Governance and Security Policy.

## 12. Data Processors

MFRA will use third parties to carry out various services to allow the Service to work efficiently. The third party will act as a 'data processor' on MFRA's behalf. Where any third party processing takes place there must be a written contract between MFRA and the data processor. In the contract MFRA will oblige the processor to take measures in respect of the personal data processing as would comply with the requirements of the Data Protection Act 1998. In every case, MFRA will take steps to ensure satisfaction that the processor is complying with this contractual obligation. All data processors for MFRA will be given a current copy of its Data Protection Instructions S.I.

## Further Information, Enquiries and Complaints

MFRA's CISO and the SIRO are the first point of contact on any of the issues mentioned in this service instruction. The SIRO and the CISO will be responsible for dealing with all internal and external enquiries and where possible, requests for detailed information should be in writing. MFRA will attempt to complete internal investigations into any complaint within 28 days and in every case the person will receive an acknowledgement within 2 working days after receipt of the complaint.



### Contact Details

The CISO is based at Service Headquarters – 0151 296 4474/4479. For details of IAO please see Appendix 1...

This service instruction is also linked to the following policies and service instructions.

STRPOL09 Information Governance & Security Policy.

SI 0437 Freedom of Information requests and Publication Scheme

SI 0725 CCTV Use

SI 0759 Destruction of Information Assets (including protectively marked document)

SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.

ICTPOL03 Acceptable use policy

SI0703 Internet Access and Usage

SI0699 Using Social Media

SI0730 Email

**STRPOL (to be agreed) – Protective Security Policy – in draft**

**Protective Marking SI in draft**

**Personal Security SI in draft**

Instruction

## Service Instruction 0435: Data Protection Instructions

**APPENDIX 1**

<b>Function/ directorate</b>	<b>Data Manager</b>	<b>Location</b>	<b>Contact Extension No.</b>	<b>System</b>
Assets	Stewart Woods	Estates	EXTN 4514	Word/ Excel
Assets	Jimmy Brannan	Transport	EXTN 4548	Sophtlogic
Corporate Communications	Peter Rushton	Corporate Communication	EXTN 4557	
Finance	Mike Rea	Finance	EXTN 4202	FMIS
Legal and Democratic Services	Sarah Bourne	Legal Services	EXTN 6212	N/A
Operational Response	John McNeill	Health and Safety	EXTN 4362	OSHENS
Operational Response	Mike Pilkington	Time and Resource Management	EXTN 4303	HR system
Operational Preparedness	Cathy Scarth,	Data Management	EXTN 4478	VISION IRS
Operational Preparedness	Ged Sheridan	TDA	EXTN 5022	HR System SPA system
Operational Preparedness	Jim Martin	Appliances/Equip ment	EXTN 4534	REDKITE
Operational Preparedness	Jackie Gleaves	Water Section	EXTN 4511	Infoterra Hydrant Management
People and Organisational Development	Paul Blanchard- Flett	Occupational Health	EXTN 4339	HR System
People and Organisational Development	Suzanne Lea	People Data	EXTN 4320	HR System
People and Organisational Development	Phil Dwyer	Pay and Pensions	EXTN 4219	Professional Standards
People and Organisational Development	John Price	Learning and Development	EXTN 4317	HR System
Prevention and Protection	Caroline Crichton Guy Keen Kevin Johnson Karen Metcalf	Community Prevention and Protection	EXTN 4601	Capita Protection System Goldmine Children and Young People
Procurement	Sharon Matthews	Procurement	EXTN 4556	E- Procurement
Principal Officers	Sandra Wainwright Lin Morrison Nyree Collinson	Principal Officers Suite	EXTN 4102	N/A
Strategy and Performance	Paul Terry,	Systems Support	EXTN 4402	VISION MapInfo Portal SinglePoint
Strategy and Performance	Wendy Kenyon	Diversity Team	EXTN 4564	
Technology	Mark Hulme	ICT	EXTN 4569	Overall Applications Management

## **APPENDIX 2**

### **Glossary of Terms**

#### **Data**

"Data" means information:

- Stored in a form capable of being processed by computer or other automatic equipment (such as most computer files, including word processor, database and spreadsheet files)
- Recorded in any form for later processing by computer or other automatic equipment (such as information collected from registration forms; CCTV pictures)
- Stored as part of a relevant filing system or intended to be included in one in the future (including card files or filing cabinets structured by name, address or other identifier; Rolodex; non-automated microfiche)

#### **Personal Data**

"Personal data" are data which relate to a living individual who can be identified from that information, or from that data and other information in the possession of the data controller or which are likely to come into his or her possession. These include any expression of opinion about the individual and of the intentions of the data controller in respect of that individual.

#### **Sensitive Personal Data**

The 1998 Act distinguishes between "ordinary personal data" such as name, address and telephone number and "sensitive personal data" including information relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and criminal convictions. Under the Act the processing of sensitive data is subject to much stricter conditions.

#### **Data Subject**

A "data subject" is any living individual who is the subject of personal data.

#### **Data Subject Access**

"Data subject access" is the right of an individual to access personal data relating to him or her which is held by a data controller.

#### **Data controller**

A "data controller" is the nominated person in an organisation who makes decisions with regard to particular personal data, including decisions about the purposes for which the personal data are processed and the way in which the personal data are processed.

#### **Data processor**

A "data processor" is a person who processes the data on behalf of the data controller, but who is not an employee of the data controller.

#### **Processing**

The definition of "processing" is no longer confined to technical processing operations on data, such as organisation, retrieval, disclosure, and deletion; it also includes:

---

Service Instruction 0435: Data Protection Instructions

---

- Obtaining and recording data
- The retrieval, consultation or use of data
- The disclosure or otherwise making available of data

Information Sharing plays an important part in the role of CISO working with uniformed members of staff and the Project Manager for the Customer Insight Project, to build relationships with other organisations and highlight the most vulnerable members of the community. This enables MFRA to provide a Home Fire Safety Check to people who need it most and in many cases vital contact with other support agencies.

MFRA has Information Sharing Agreements in place with many partner organisations where these partners hold data that will assist MFRA target vulnerable people examples of these agreements are held on the Portal under Strategic Planning/Knowledge & Management/ Information Governance/Information Sharing.

Sharing personal data with partner organisations is vital to ensuring MFRA continues to target prevention interventions effectively. When approaching external organisations to ask if they would be willing to share personal data with MFRA can you please ensure that your staff are aware of the following process:

- If a meeting is arranged with an organisation please invite the Corporate Information Sharing Officer (CISO) to the meeting.
- At the meeting the CISO will explain that AVCO should be used to transfer the data to MFRA. AVCO is a secure, encrypted way of transferring data with no cost to the external organisation. Also, a specific Data Template is used and this ensures that the data can be matched with our Goldmine database.
- An Information Sharing Protocol should also be set up. MFRA has a template that can be used if the organisation does not have their own and the CISO will liaise with the organisation to advise and draft and complete the protocol.

This will help the organisations that are willing to share information (and MFRA) protect individuals' personal data and demonstrate that MFRA is an organisation that takes information security and data protection seriously.

Records Management, including retention, archiving and destruction of confidential and non-confidential waste are also relevant to the successful handling of personal data.

### **The Information Security Forum**

All matters relating to Information Security including Data Protection are monitored and managed by the MFRA Information Security Forum, chaired by the SIRO to maintain good Information Security.



*“An Excellent Authority”*

## APPENDIX C

Service Instruction 0437

## FREEDOM OF INFORMATION REQUESTS/ PUBLICATION SCHEME

### Document Control Description and Purpose

This document is intended to give guidance to all MFRS personnel about the process of dealing with requests for information under the Freedom of Information Act 2000

Active date	Review date	Author	Editor	Publisher
27/11/08	20/10/2013	Julie Yare	Deb Appleton	Sue Coker
Permanent	<b>x</b>	Temporary	If temporary, review date must be 3 months or less.	

### Amendment History

Version	Date	Reasons for Change	Amended by
N/A	N/A	N/A	N/A
0.1	Nov 2014	Review of SI	Julie Yare

### Risk Assessment (if applicable)

Date Completed	Review Date	Assessed by	Document location	Verified by(H&S)
N/A	N/A	N/A	N/A	N/A

### Equalities Impact Assessment

Initial	Full	Date	Reviewed by	Document location
N/A	N/A	N/A	N/A	N/A

### Civil Contingencies Impact Assessment (if applicable)

Date	Assessed by	Document location
N/A	N/A	N/A

### Related Documents

Doc. Type	Ref. No.	Title	Document location
Old SOP	ADM0033		Document Archived
Service Instructions	SI0435	Data Protection Instructions	Portal
Policy	STRPOL09	Information Governance & Security	Portal

**Contact**

Department	Email	Telephone ext.
Knowledge & Information Management	Knowledge&informationManagement@merseyfire.gov.uk	

**Target audience**

All MFS		Ops Crews		Fire Safety		Community FS			
Principal officers		Senior officers		Non uniformed					

**Relevant legislation (if any)**

Freedom of Information Act 2000
Protection of Freedoms Act 2012

## FREEDOM OF INFORMATION REQUESTS/PUBLICATION SCHEME

### INTRODUCTION

Since the 1<sup>st</sup> January 2005, all public authorities have had a legal obligation under the Freedom of Information Act 2005 to provide information through an approved publication scheme and in response to requests made by anyone regardless of age, location or nationality. **Those requesting information do not need to mention the FOI Act in their request.**

This applies to all information held by the Authority but personal information will also be subject to compliance under the Data Protection Act 1998. All staff have a responsibility to comply with the Freedom of Information Act 2000. Under the Act staff do not have the right to ask why the information is required but, can ask for more details to assist in locating the information.

### PROVIDING ASSISTANCE

If an individual contacts any department within **MFRA** for information (either in person or by telephone) direct them initially to the publication scheme, which is available on [www.merseyfire.gov.uk](http://www.merseyfire.gov.uk) (then click on to the "About Us" link, then into the "Access to Information" link) or in hard copy at **MFRA** locations or from the Corporate Information Sharing Officer in Strategy & Performance.

The Publication Scheme is a guide to information that the Authority holds which is routinely available to the public. It informs the public:

- The classes of information we publish or intend to publish
- The manner in which information will be published
- Whether the information is available free or chargeable

If the publication scheme does not answer their request then the individual may choose to request the information. **MFRA** must provide assistance if required. **Staff should always bear in mind people's abilities and any disabilities when dealing with requests for information and provide additional help if required, to ensure the individual is able to request the information they require. For further guidance on this please contact [foiteam@merseyfire.gov.uk](mailto:foiteam@merseyfire.gov.uk)**

**Section 102 of The Protection of Freedoms Act 2012 adds new provisions to FOIA (in particular sections 11 and 19) regarding datasets. The new provisions are about how information is released. They only relate to information that the public authority holds as a **dataset**, which is defined in the new provisions. They are about the re-use of those datasets that the public authority provides in response to a FOIA request.**

**If the public Authority is providing information that constitutes a dataset and the requester has expressed a preference to receive the information in electronic form, the public Authority must provide it in a re-usable form so far as reasonably practicable.**

**A dataset is a collection of factual information in electronic form to do with the services and functions of the authority that is neither the product of analysis or interpretation, nor an official statistic and has not been materially altered. Please see the Corporate Information Sharing Officer for further advice.**

## DEALING WITH REQUESTS

Requests for information can come in several forms:

- Written form – in both a formal letter and informal hand written note
- Fax
- E-mail

The Freedom of Information Act only applies where the request is in written form (Including e-mail and fax).

Guidance is available on the Portal at [Strategy & Performance](#)/Information Governance or by e-mailing the Freedom of Information Team ([foiteam@merseyfire.gov.uk](mailto:foiteam@merseyfire.gov.uk)). All types of information may be requested, although some exemptions may apply for example; Section 21 of the act states that requested information is exempt if the information is accessible to the applicant by other means e.g. it could be available through the website or on request from a department for a fee.

Section 40 states requested information is exempt if it is personal information as defined in the Data Protection Act 1998 and the applicant is not the data subject.

From the moment a written request is received a 20 working day countdown begins, so staff must take some action immediately. If the recipient cannot deal with the request themselves or has any doubts as to what information can be provided, then forward the request promptly to the Freedom of Information Team at Headquarters.

Freedom of Information Team  
Merseyside Fire & Rescue [Authority](#) Headquarters  
Bridle Road  
Bootleg  
L30 4YD

Tel: 0151 296 4474/4479

E-mail [www.foiteam@merseyfire.gov.uk](mailto:www.foiteam@merseyfire.gov.uk)

**This Service Instruction also refers to the following service instructions and policies.**

STRPOL09 Information Governance & Security Policy.

SI 0437 Freedom of Information requests and Publication Scheme

SI xxxx CCTV Use

SI 0759 Destruction of Information Assets (including protectively marked document)

SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.

ICTPOL03 Acceptable use policy

SI0703 Internet Access and Usage

SI0699 Using Social Media

SI0730 Email

**STRPOL (to be agreed) – Protective Security Policy – in draft**

**Protective Marking SI in draft**

**Personal Security SI in draft**



Service Instruction 0725: Close Circuit Television (CCTV) Dealing with requests to view images or request copies of images



*“An Excellent Authority”*

## SERVICE INSTRUCTION 000 CLOSED CIRCUIT TELEVISION (CCTV) USE

### Document Control

#### Description and Purpose

This instruction is intended to give guidance to staff for the use of CCTV on any fixed or mobile system. It also provides instructions on how to deal with requests to view images or requests for copies.

Active date	Review date	Author	Editor	Publisher
06.09.11	01/11/2014	J.Crimmins/J.Yare	Deb Appleton	Sue Coker
Permanent		Temporary	If temporary, review date must be 3 months or less.	

#### Amendment History

Version	Date	Reasons for Change	Amended by
1.1	23/10/2013	Merger of SI 0725 and SI 0049	

#### Risk Assessment (if applicable)

Date Completed	Review Date	Assessed by	Document location	Verified by(H&S)

#### Equalities Impact Assessment

Initial	Full	Date	Reviewed by	Document location
X	X	01/08/2013	Wendy Kenyon	Strategy & Performance

#### Civil Contingencies Impact Assessment (if applicable)

Date	Assessed by	Document location

#### Related Documents

Doc. Type	Ref. No.	Title	Document location
Policy	ICTPOL03	ICT Acceptable Usage Policy	ICT Directorate Portal
Policy	STRPOL09	Information Governance and Security Policy	Strategy and Performance Directorate Portal
SI	0435	Data Protection Instructions	

#### Contact

Department	Email	Telephone ext.
Strategy and Performance	strategyandperformance@merseyfire.gov.uk	0151 296 4474/4479

Service Instruction:

**Target audience**

All MFS	x	Ops Crews		Fire safety		Community FS			
Principal officers		Senior officers		Non uniformed					

**Relevant legislation (if any)**

Data Protection Act 1998
Human Rights Act 1998
Common Law of Confidentiality
Common Law of Confidence

**Introduction**

This Service Instruction is applicable to any fixed or mobile CCTV system operated by Merseyside Fire and Rescue Authority. It is intended to fully comply with the Code of Practice (Revised Edition 2008) issued by the Information Commissioner. The Code of Practice may be viewed via the Corporate Information Sharing Officer or accessed via [www.ico.gov.uk](http://www.ico.gov.uk).

**Permitted Use**

Any person or Organisation using a CCTV system is required to register the intended use with the Information Commissioner.

CCTV images captured by MF&RS will only be used in the following circumstances:

- To record incidents of violence towards members of MF&RS
- To provide evidence of theft of MF&RS property
- To record acts of vandalism against MF&RS property
- To provide evidence of Road Traffic Collisions
- To assist in fire investigation
- To assist in arson reduction
- Training purposes
- Income generation:
  - Training organisations
  - Fire Services
  - Insurance Companies
  - TV News & Productions

**Anyone proposing to use CCTV images for any of these purposes must first refer to the Director of Legal Services to ensure compliance with the Regulation of Investigatory Powers Act (RIPA).**

Where cameras are mobile or directional they must not be pointed at a person where that person has a reasonable right to the expectation of privacy. The example quoted in the Code of Practice is a person sunbathing in their back garden would have a greater expectation of privacy than a person mowing the lawn in their front garden.

Access to the recorded images will be controlled by MF&RS and an access log will be kept and maintained by the manager at the location where the equipment is sited. Stored images will be held no

---

Service Instruction:

---

longer than is necessary; for example, if images have been collected for evidence purposes then this evidence will be retained only for the duration of any legal proceedings.

Suitable signage will be displayed where applicable so that the public are aware they are entering a zone that is covered by surveillance equipment.

### **Closed Circuit Television on Service Vehicles**

Merseyside Fire & Rescue Authority has CCTV systems installed on the vast majority of operational vehicles. These systems have been fitted to assist in providing a safer working environment for personnel and as a deterrent against the theft of equipment. Footage may also be used for training, de-briefs, commercial or internal publicity purposes.

The CCTV system only records visual images and has **no ability to record audio data**.

#### **Operation**

The system operates using four cameras that are connected to an internal hard drive unit, which gives approximately 25 hours of continuous recording.

- The CCTV will begin recording when the master switch and the ignition are turned on. It will cease recording 15 minutes after the ignition is turned off for 24 Volt vehicles.
- The front facing camera has a trigger handle and is located on the dashboard on a swivel mount allowing it to be moved side to side and up and down. It also has a zoom facility that can be operated by the switch on the dashboard ([fig 1](#)).
- There are a further three fixed cameras, one on each side and one on the back. They give an 81° view of the area adjacent to the appliance ([fig 2](#)).
- It has a monitor at the front of the cab between the OIC and the driver, when it is on it will have a split screen showing images from all 4 cameras ([fig 3](#)).

The hard drive has no user inputs or settings and **MUST NOT** be tampered with.

The system will record for approximately 25 hours in the form of an endless loop. This should allow sufficient time, even at weekends, for images to be removed and stored when appropriate.

If an officer in charge (OIC) believes that they have captured images that have an evidential value or are of interest due to the nature of the incident, they should report this, noting the time and date. The OIC should contact the Incident Investigation Team to arrange for the images to be downloaded. All downloaded images **MUST** be dealt with in accordance with the Data Protection Act 1998 and (any further advice and guidance on these matters contact the Data Protection Team on 0151 296 4474 / 4479).

#### **Standard Tests**

- On acceptance,
- At the change of shift as part of the appliance daily checks.

#### **Test Procedure**

Turn ignition on and check the following LED's on Hard Driver recorder Unit

- Blue, Yellow, Green and Red LED flash (for 10 seconds)
- Following this sequence the diagnostic check will need to be observed. This includes a blue LED which flashes steadily for a short period of time before the flashing rate increases indicating a pass. If observed after 10 minutes of vehicle operation a blue flashing LED is a pass and any other colour LED is a fail.

**NB.** The system will close down 15 minutes after the ignition is turned off.

- Check all 4 cameras are working and the monitor is showing clear images of all cameras.
- Operate the zoom facility fully to ensure it is working properly
- Ensure camera facility is returned to a wide angle view and NOT left in zoom position
- Wipe all camera lenses to remove any surface dust, debris etc.
- Record results of test in Risk Critical handover Book.

### **Simple Fault Diagnosis**

There are a small number of visual indications which personnel can easily identify when either undertaking the daily test regime or when the vehicle is in operation

- If there is no hard drive fitted or has been incorrectly re-installed a small warning message will be displayed on the CCTV monitor when all 4 camera views are visible – **NO HARDDISK INSTALLED.**
- Ensure that the CCTV clock is running correctly, it displays DD/MM – HH:MM. An incorrect date and time will indicate that the CCTV computer has crashed and requires an engineer.

**NB: All defects, damage or warning messages must be reported, at the earliest opportunity, to Workshops, who will attend to diagnose the fault and liaise with Ops Equipment to arrange the attendance of an engineer if necessary.**

**Under no circumstance must personnel attempt to check or change fuses and/or remove and re-install hard drives etc.**

Fig 1



Fig 2

Diagram to show coverage of CCTV

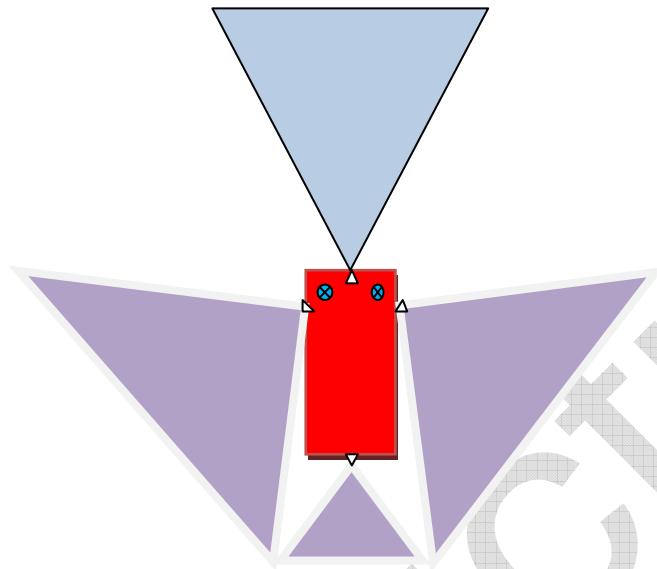


Fig 3



## **Closed Circuit Television on Buildings**

### PFI Stations

- Belle Vale
- Bootle and Netherton
- Formby
- Southport
- Newton Le Willows
- Kirkdale
- Birkenhead

These stations have CCTV systems for the security of the building. The CCTV images are continually recorded and are retained for a minimum of 30 days.

### Toxteth Fire Fit

The CCTV system comprises a number of fixed and PTZ cameras covering Internal and External areas. The system covers both the Fire Fit Hub and the fire station and the images are continually recorded.

### Kensington Fire Station/ Allerton Fire Station/ City Centre Fire Station/ Vesty 1/MACC/

CCTV systems are in place at each of these buildings but only provide minimum cover.

## **Viewing Images**

Any recorded images are the property of MF&RA. Only persons authorised to view stored images may do so. On every occasion when stored images are viewed the following information must be recorded in a log.

- The date and time of removal
- The name of the person removing the images
- The name(s) of the person(s) viewing the images. If this includes third parties, record the organisation of that third party
- The reason for the viewing
- The outcome, if any, of the viewing
- The date and time the images were returned to the system or secure place, if they have been retained for evidential purposes.

The unauthorised copying or reproducing of any stored image in any format is strictly forbidden. The unauthorised transmission of any stored image by fax, e-mail or Internet is also strictly forbidden. All staff should be aware of the ICT Acceptable Usage Policy and Information and Security Policy. Failure to adhere to this and any other related policy is a disciplinary offence.

### **Requests for access or disclosure**

If any employee is approached with a request to view any CCTV images that may have recorded a member of the public (or any other person) a decision to allow such access **must not** be made immediately. Dependant on the location of the CCTV system (appliance or building) any requests should be made to the Incident Investigation Team, MACC.

All requests for access or for disclosure should be recorded. If access or disclosure is denied, the reason should be documented.

If access to or disclosure of the images is allowed, then the following should be documented:

- The date and time at which access was allowed or the date on which disclosure was made
- The identification of any third party who was allowed access or to whom disclosure was made
- The reason for allowing access or disclosure
- The extent of the information to which access was allowed or which was disclosed.

This Service instruction also relates to the following Service Instructions and Policy.

SI 0437 Freedom of Information requests and Publication Scheme

SI xxxx CCTV Use

SI 0759 Destruction of Information Assets (including protectively marked document)

SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.

ICTPOL03 Acceptable use policy

SI0703 Internet Access and Usage

SI0699 Using Social Media

SI0730 Email

**STRPOL (to be agreed) – Protective Security Policy – in draft**

**Protective Marking SI in draft**

**Personal Security SI in draft**

---

Service Instruction:

---

Instruction





*“An Excellent Authority”*

## APPENDIX E

**Service Instruction 0759**

**Destruction of Information Assets  
(Including Protectively Marked  
Information)**

## Document Control

### Description and Purpose

This instruction is intended to provide guidance to all MFRS personnel about the destruction of Information Assets including Home Fire Safety Check Case Files

Active date	Review date	Author	Editor	Publisher
11/05/2012	01/11/2014	Jean Crimmins	Deb Appleton	Sue Coker
Permanent	<input checked="" type="checkbox"/>	Temporary	If temporary, review date must be 3 months or less.	

### Amendment History

Version	Date	Reasons for Change	Amended by
2	03/09/2013	Content of the SI amended (SI 0675, SI0146 and SI 0759 now merged as one instruction) Also included a section on the destruction of Archived paper records held in Vesty Stores	Jean Crimmins

### Risk Assessment (if applicable)

Date Completed	Review Date	Assessed by	Document location	Verified by(H&S)

### Equalities Impact Assessment

Initial	Full	Date	Reviewed by	Document location

### Civil Contingencies Impact Assessment (if applicable)

Date	Assessed by	Document location

### Related Documents

Doc. Type	Ref. No.	Title	Document location
Service Instruction	0438	Data Protection Instructions	Portal
Service Instruction	0400	Waste Management and Minimisation	Portal
Service Instruction	0433	Retention of Records	Portal
Policy	KIMPOL09	Information Governance and Security Policy	Portal

### Contact

Department	Email	Telephone ext.
Strategy and Performance	strategyandperformance@merseyfire.gov.uk	4474/4479

### Target audience

All MFS	<input checked="" type="checkbox"/>	Ops Crews	<input type="checkbox"/>	Fire safety	<input type="checkbox"/>	Community FS	<input type="checkbox"/>
---------	-------------------------------------	-----------	--------------------------	-------------	--------------------------	--------------	--------------------------

<b>Principal officers</b>		<b>Senior officers</b>		<b>Non uniformed</b>				
---------------------------	--	------------------------	--	----------------------	--	--	--	--

**Relevant legislation (if any)**

Data Protection Act 1998.
Freedom of Information Act 2000.
Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000.
Environmental Permitting Regulations 2010
Environmental Protection (Duty of Care Regulations) 1991

Instruction

## **HANDLING AND DESTRUCTION OF INFORMATION ASSETS (INCLUDING PROTECTIVELY MARKED INFORMATION)**

### **1. Introduction**

Information and data are necessary for Merseyside Fire and Rescue Authority (MFRA) to arrange and provide services for the citizens of Merseyside. All Members, employees, contract and temporary workers have a responsibility to ensure that information and data are securely disposed of when they are no longer required in order to safeguard from inappropriate release, modification or misuse. Information and the way it is used, processed, stored and eventually disposed of, is subject to legislation and regulation. Information assets may be produced on a daily basis, and can include printed material as well as handwritten information.

Prior to undertaking manual handling in the preparation of Information Assets waste material, please ensure you read and understand Service Instruction [SI 0021 Manual Handling](#).

### **2. Objective**

The objective of this service instruction is to

- Protect MFRA's information from all threats (whether internal or external, deliberate or accidental);
- To ensure business continuity, minimise damage and maximise our ability to deliver services.
- To protect data owned by MFRA;
- To protect the identity of MFRA staff and service users;
- To demonstrate compliance with legal obligations around protected data.

This service instruction governs the disposal of any waste material that contains information that would constitute a breach of confidentiality if it became available to unauthorised persons and applies to ALL MFRA staff and locations.

### **3. Scope**

The scope of this service instruction is to provide advice and guidance to MFRA on:

- How to identify Information Assets waste;
- How to store Information Assets waste;
- How to dispose of Information Assets waste.

### **4. How to identify Information Assets waste**

Information Assets waste is material which has any of the following characteristics:

- Material that contains information that would identify an individual person or employee or contains business sensitive information. This applies to all materials regardless for format, e.g. paper, video or audiotape, DVD, photograph, disk, external drive etc.

---

Service Instruction 0759: Destruction of Information Assets (Including Protectively Marked Information)

---

- Records containing personal information e.g. completed HFSC forms, payroll and pensions' records and staff files.
- The Data Protection Act 1998 distinguishes between "ordinary personal data" such as name, address and telephone number and "sensitive personal data" including information relating to racial or ethnic origin, political opinions, religious beliefs, trade union membership, health, sex life and criminal convictions. Under the Act the processing of sensitive data is subject to much stricter conditions.
- Records of a commercially sensitive nature e.g. contracts, tenders, purchasing and maintenance records and legal documents.
- Records concerning intellectual property rights e.g. unpublished Service Instructions and Policy documents, training documents.
- Authority reports and other documents marked as "exempt – not for publication".
- Any other organisationally sensitive material not in the public domain (at the time of it being discarded) that has been produced by MFRA or its partners.
- Specific instructions relating to Home Fire Safety Check Case Files are included at Appendix 1.
- Documents marked with the Government Protective Markings PROTECT, RESTRICTED, CONFIDENTIAL, SECRET AND TOP SECRET

## 5. Handling Information Assets waste

Information Assets waste must be kept secure and protected against accidental loss, damage or unauthorised access up until it is processed for destruction.

- Information Assets waste **MUST NOT** be placed in the recycling bins/green recycling bags unless it has been shredded first. A poster that explains this is attached at Appendix 2. This should be printed off and attached to each recycling box.
- Unshredded Information Assets waste should be kept separate from other waste material e.g. wastepaper bins, recyclable material.
- Unshredded Information Assets waste awaiting collection must be kept secure at all times.
- Remove non paper based containers e.g. lever arch files, plastic folders, ring binders, plastic covers etc. It may be possible to reuse or recycle some of this material.
- Non paper based material e.g. videos or audiotapes, DVDs, disks, external drives etc. **must be separated** from paper based records.
- External drives must be returned to ICT/telent for disposal.
- Some non-paper based material can be destroyed by shredding e.g. DVDs and CDs. This method would be suitable for small quantities. Contact the Records Management Team for further information: [recordsmanagement@merseyfire.gov.uk](mailto:recordsmanagement@merseyfire.gov.uk)
- Records that have been identified for destruction that are required for litigation, Freedom of Information (FOI) requests, Data Protection Act (DPA) subject access requests, inquiries, investigations, litigation etc., **must be placed on "hold" and not removed for destruction.**

## 6. How to dispose of Information Assets waste

Information Assets Waste **MUST** be destroyed in one of 2 ways:

- Shredding by a member of MFRA staff;
- Contracted to an approved confidential waste service provider for shredding and disposal.

### 6.1 Shredding by a member of MFRS staff

This option should be used for small to medium volume of Information Assets waste, anything from one sheet of paper to between 2-4 filing cabinet drawers or shelves. Shredding is an acceptable method of total destruction of Information Assets and the remains are safe to be sent for recycling. Simple vertical shredding is not suitable for personal and protectively marked information and a cross cutting shredder must be used to shred the information. Shredders are accessible at SHQ and on all Stations. If you do not have access to a shredder, please contact the Procurement Team via email: [Procurement@merseyfire.gov.uk](mailto:Procurement@merseyfire.gov.uk). The Procurement Team will be able to arrange access to the SHQ high capacity shredder or arrange for repair or replacement of Station based shredders.

#### Protectively Marked Information

- PROTECT and RESTRICTED: Use a cross cut shredder or put your documents in a confidential waste sack that is collected by an approved waste collector. This will make it unlikely that anyone will be able to read the information.
  - CONFIDENTIAL: Tear up documents and place them in a confidential waste sack that is collected by an approved waste collector. Alternatively, shred as SECRET.
  - SECRET: The documents should be shredded in a cross cutter; put the paper in at right angles to the print. The size of the shredded strips should be no more than 0.8mm and 12mm and not show more than two characters side by side. This will make it highly unlikely that anyone can put the document back together. When destroying SECRET documents, a record must be retained of the date the document was destroyed and who authorised its destruction. This record must be kept for five years.
  - TOP SECRET: These documents must be destroyed in the same way as SECRET documents, except that two people must witness the shredding and sign the registry.
- 
- Follow guidance provided in section 5 to prepare Information Assets waste for shredding;
  - Once the material has been shredded it **MUST** be transferred to recycling bags;
  - Contact Estates team: [Estates@merseyfire.gov.uk](mailto:Estates@merseyfire.gov.uk), to request appropriate bags for the recycling of shredded waste.
  - Cleaning staff will transfer recycling bags to the paper recycling wheelie bins in SHQ Waste Management Yard.
  - ***For staff NOT based at SHQ please give bagged, shredded waste to the Tender drivers who will arrange to transfer it to SHQ and place the bags in the recycling wheelie bins in SHQ Management Yard. Do not place shredded paper in the local authority recycling bins.***
  - It is an offence to allow waste to escape, so bags of shredded paper must be tied and placed within a secure area (e.g. wheelie bin, cage etc.) until they are collected for destruction.

## 6.2 Outsourced to an approved confidential waste service provider

This option can be used for large volume of Information Assets waste, for example, in excess of 2-4 filing cabinet drawers or shelves. This option incurs a cost and you must ensure you have sufficient budget to cover the cost of processing the waste. To assist in making the decision about which option to use please contact the records management team who will be able to provide an approximate cost for the work [recordsmanagement@merseyfire.gov.uk](mailto:recordsmanagement@merseyfire.gov.uk).

## 7. Process

### 7.1 Ordering Information Assets waste bags

Please state type of Information Assets waste; either paper based or non-paper based (e.g. DVDs, discs) and the number of bags you require. To obtain Information Assets waste bags, contact:

- Julie Yare/Jean Crimmins – Corporate Information Sharing Team based at Service Headquarters. Contact details are:
- Email: [julieyare@merseyfire.gov.uk](mailto:julieyare@merseyfire.gov.uk) or [jeancrimmins@merseyfire.gov.uk](mailto:jeancrimmins@merseyfire.gov.uk)
- Telephone: 0151 296 4479 / 4474

### 7.2 Information Assets waste preparation

The following process must be completed to prepare Information Assets waste for collection:

- Information Assets waste should be removed from non-paper based containers e.g. lever arch files, plastic folders, ring binders, plastic covers etc.
- Information Assets waste must be placed in bags provided. It is important not to over fill or under fill each bag. Each bag will hold up to a maximum of 17kg, capacity is clearly marked on the bag.
- Removal of bulldog clips, staples or paper clips from Information Assets waste is not required.
- Non paper based material e.g. videos or audiotapes, DVDs, photographs, disks, external drives etc. **must be separated** from paper records and placed in bags that are specifically for non-paper based waste.
- Records that have been identified for destruction that are required for litigation, FOI requests, DPA requests, inquiries etc., must be placed on “hold” and not removed for destruction.
- When the Information Assets waste is ready complete a Waste Information Collection Form (See Appendix 3 for an example of the form). The form must be emailed to Julie Yare / Jean Crimmins. The form is available from the Records Management page on the Portal.

### 7.3 Information Assets waste collection

You will be notified of the collection day in advance and by no less than 5 working days prior to collection. All bags of Information Assets waste should be stored in a secure area until the collection day. A representative from each team/department should be available on the day to oversee the Information Assets waste collection. A certificate of destruction will be obtained from the waste contractor and retained for not less than 2 years from the date of collection.

## 8. Process for Destruction of Archived Paper Records Held in Vesty Stores (Archive Area)

- The existing Records Database (located on the Portal) indicates when records are due for review or destruction.
- The Corporate Information Sharing Officer will e-mail the Record owner with a list of those records that need to be reviewed or destroyed.
- The Record owner will then confirm to the Corporate Information Sharing Officer that the records are authorised for destruction or if a further retention period needs to be applied.
- The Record owner or designated member of staff will then complete the RM database request form so that the relevant boxes can be removed from the Archive area in readiness for destruction. It is the responsibility of the Record owner (or delegated person) to remove the records from the boxes and place into Information Assets waste bags. **THIS WILL NOT BE ACTIONED BY STORES STAFF.**
- The Records must then be destroyed using an approved Information Assets Waste provider (See Section 6.2 and Section 7 of this Service Instruction)

Related Policies and Service Instructions:

STRPOL09 Information Governance & Security Policy.

SI 0437 Freedom of Information requests and Publication Scheme

SI xxxx CCTV Use

SI 0759 Destruction of Information Assets (including protectively marked document)

SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.

ICTPOL03 Acceptable use policy

SI0703 Internet Access and Usage

SI0699 Using Social Media

SI0730 Email

**STRPOL (to be agreed) – Protective Security Policy – in draft**

**Protective Marking SI in draft**

**Personal Security SI in draft**

## Appendix 1

### HOME FIRE SAFETY CHECK (HFSC) CASE FILES HELD ON DISTRICT STATION

#### GUIDANCE

- Home Fire Safety Check (HFSC) paper form is completed by staff member (Prevention Advocate or Fire Support Network Volunteer)
- A duplicate copy of the HFSC form is kept in the Prevention Office and the original is sent to Fire Service Direct.  
Fire Service Direct then confirm receipt of the forms and also confirm entry onto the database (confirmed in both instances by e-mail, within a 48 hour period).
- Any case files that include any outside agency involvement must be kept for 5years, due to the nature and content of the file. i.e. Social Services, GP.

#### ARCHIVED CASE FILES HELD ON DISTRICT STATION

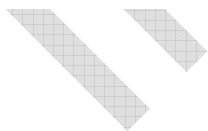
It was agreed on 14/05/09 that all paper case files must be kept for 5 years and then annually on 1<sup>st</sup> April the case files that are over 5 years old must be disposed of in line with the requirements set out elsewhere in this Service Instruction

#### Help and further assistance

Contact:

Prevention and Protection  
Service Headquarters 0151 296 4000

Corporate Information Sharing Officer  
Service Headquarters 0151 296 4000





## Appendix 2

### Information Assets waste poster

**Appendix 2** contains an Information Assets Waste poster that **MUST** be displayed on existing Energy wise or EWR recycling bins. For locations that do not have an Energy wise or EWR recycling bin, the poster **MUST** be displayed in the Station Office and/or the Watch Manager's office.

Instruction

## **INFORMATION ASSETS WASTE**

### **DO NOT PLACE UNSHREDDDED ITEMS IN A RECYCLING BIN IF THEY CONTAIN:**

- **PERSONAL INFORMATION – E.G. NAMES AND ADDRESSES, DATE OF BIRTH.**
- **PROTECTIVELY MARKED INFORMATION – ie Marked “PROTECT”, “RESTRICTED”, “CONFIDENTIAL”, “SECRET”, “TOP SECRET”**
- **COMMERCIALY SENSITIVE INFORMATION – CONTRACTS, TENDERS, LEGAL DOCUMENTS.**
- **ORGANISATIONALLY SENSITIVE INFORMATION NOT YET IN THE PUBLIC DOMAIN - E.G. DRAFT REPORTS, DRAFT LETTERS, INCLUDING HANDWRITTEN MATERIAL.**
- **INTELLECTUAL PROPERTY RIGHTS – E.G. UNPUBLISHED SERVICE INSTRUCTIONS, POLICY, TRAINING DOCUMENTS.**
- **EXEMPT AUTHORITY REPORTS AND OTHER EXEMPT DOCUMENTATION.**

*Please see SI 0759 – Destruction of Information Assets Waste (Including Protectively Marked Information) for further guidance.*

PLEASE DIRECT ANY QUERIES TO THE RECORDS MANAGEMENT TEAM:  
[RECORDSMANGEMENT@MERSEYFIRE.GOV.UK](mailto:RECORDSMANGEMENT@MERSEYFIRE.GOV.UK)

**Appendix 3**

**Complete PART A – items 1 – 4**

<b>1. Your details</b>	
Directorate:	
<b>Your Details</b>	
Team name:	
Your Role/ Job Title	
Your name:	
Your Service Number	
Today's date:	

<b>2. Information Assets waste</b>	
Number of bags of paper based confidential waste ready for collection:	
Number of bags of non-paper based confidential waste ready for collection:	
Location of bags. Please indicate building and room number, cage number etc. :	

<b>3. Information Assets waste contents</b>		
Please provide details of items destroyed including <b>series name and date range</b> . For example: Home Fire Safety Checks, 01/01/2004 -31/12/2004. Please do not record business sensitive or personal information on this form.		
<b>Series description</b>	<b>Date range</b>	<b>Waste tag serial nos.</b>
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		

(Continue on a separate sheet if necessary)

<b>4. Waste checklist</b>		<b>Please tick to confirm</b>
1.	All waste has been placed in appropriate bags.	<input type="checkbox"/>
2.	Non paper based material e.g. videos or audiotapes, DVDs, photographs, disks, external drives etc. have been separated from paper records and placed in special bags that are specifically for non-paper based waste.	<input type="checkbox"/>
3.	The records are <b>NOT</b> required for litigation, FOI requests, DPA requests, and audits at this time.	<input type="checkbox"/>
4.	Business Sensitive and Personal Information waste is stored in a secure, locked area whilst waiting for collection.	<input type="checkbox"/>

**Information Assets waste will not be collected unless this form is completed**

<b>Part B. Do not use</b>			
<b>5. Office use only</b>			
5.1	All sections completed:		
5.2	Returned to requestor to complete in full the following sections:		
5.3	Number and type of bags collected:	Paper based:	Non paper based:      Date:
5.4	Budget code:		
5.5	Date authorised :		
5.6	Waste certificate obtained, ref no and date:		
5.7	Security tag serial no:		

Instruction

Service Instruction 0687: Preparing and Transferring Records to the RM Archive Store – Vesty Building



*“An Excellent Authority”*

## APPENDIX F

**Service Instruction 0687**

Preparing and Transferring records to the RM Archive Store – Vesty Building

## Document Control

### Description and Purpose

This document will provide guidance on the steps required for the preparation and transferring of records to the Records Management archive store.

Active date	Review date	Author	Editor	Publisher
16/06/2011	01/11/2014	Jean Crimmins	Deb Appleton	Sue Coker
Permanent	x	Temporary	If temporary, review date must be 3 months or less.	

### Amendment History

Version	Date	Reasons for Change	Amended by
V.2	16/06/2011	Amendments to process	Catherine Galvin
V.3	30/05/2013	Merging of SI 0687 and 0733 and amendment to Author, Editor and Publisher,	Jean Crimmins

### Risk Assessment (if applicable)

Date Completed	Review Date	Assessed by	Document location	Verified by(H&S)

### Equalities Impact Assessment

Initial	Full	Date	Reviewed by	Document location
Y		19/04/2011	Catherine Galvin	

### Civil Contingencies Impact Assessment (if applicable)

Date	Assessed by	Document location

### Related Documents

Doc. Type	Ref. No.	Title	Document location
Service Instruction	0438	Data Protection Instructions	Portal
Service Instruction	0433	Retention of Records	Portal
Policy	N/A	Information Security and Governance Policy	Portal

### Contact

Department	Email	Telephone ext.
Strategy and Performance	strategyandperformance@merseyfire.gov.uk	4474/4479

### Target audience

All MFS	X	Ops Crews	Fire safety	Community FS
Principal officers		Senior officers	Non uniformed	

### Relevant legislation (if any)

Data Protection Act 1998.
Freedom of Information Act 2000.
Lord Chancellor's Code of Practice on the management of records issued under section 46 of the Freedom of Information Act 2000.

## 1. Introduction

This document will provide guidance for the management and control of paper based records and how to prepare records for transfer to the records management archive store. Prior to the preparation of records for transfer please ensure that you read and understand Service Instruction [SI 0021 Manual Handling](#).

### Records Definition

The ISO 15489: 2001 records management standard defines records as information created, received, and maintained as evidence and information by an organisation or person, in pursuance of legal obligations or in the transaction of business. Records series are those file units or documents kept together because they relate to a particular subject or function, result from the same activity, document a specific type of transaction, take a particular physical form, or have some other relationship arising out of their creation, receipt, maintenance, or use.

### Data Protection Act 1998

You must adhere to the principles of the Data Protection Act 1998. Any employee acting outside the requirements of the Authority's Information Governance and Information Security Policy and SI 0435 Data Protection maybe subject to MFRA's disciplinary procedures. Breach of the Data Protection Act 1998 may also result in legal action.

Individuals whose information is held and processed by MFRA can be assured that MFRA will treat their personal data with all due care. It is possible that other legislation may (at times and under certain conditions) override Data Protection law.

Information security of records is addressed in the Data Protection Act 1998, Principle 7 of the Act states:

*“Appropriate technical and organizational measures shall be taken against unauthorized or unlawful processing of personal data and against accidental loss or destruction of, or damage to, personal data”*

MFRA has implemented appropriate security measures as required under the Data Protection Act 1998. In particular, unauthorised staff and other individuals are prevented from gaining access to personal information. Appropriate physical access to the stores area is in place with visitors being received and supervised at all times within MFRA offices where information about individuals is stored. Your responsibilities under the Act and in relation to access to the RM store are as follows:

- You must **NOT** access information pertaining to individuals without appropriate authority
- You must **NOT** allow unauthorised staff or other individuals access to personal information;
- You must ensure records containing personal data are transferred to the RM store securely; this may include use of service vehicles to transport boxes.

## 2. File management

File management will help control and organise paper records, ensuring records are easily located when required. Keys to good filing practices are filing only what you need to file, filing it in a way that facilitates access and disposition, and doing it consistently. Benefits of file management include:

- Reduction of lost/missing information
- Promote filing efficiency
- Comply with legal requirements e.g. Data Protection Act 1998 and Freedom of Information Act 2000.

### 2.1 Organising records

Before placing records into archive boxes, ensure they are organised into records series. As part of the classification process records series have been identified for each function. People responsible for records will also need to consider if records are ready for transfer to archive storage. Records should only be transferred to storage when they become inactive.

### 2.2 Process

Take the following steps to ensure records are prepared correctly for storage.

- Split bulky items into smaller manageable files by creating volumes, which are easier to work with.
- Describe records in a meaningful way.
- When using dates, use a standard date format e.g. DD/MM/YYYY, be consistent;
- Do not use post-it notes to reference a record/document/file, they will fall off;
- Do not overload folders, the records will become damaged;
- Avoid using boxes as folders, paperwork should be batched together and placed in a file/folder or envelope and clearly labelled before it is placed in a box.

## 3. Boxing, Labelling and Depositing records

Records must be placed in archive boxes for storage at Vesty records management store. The standard archive box is available to order from **Supplies Team Solutions** product no **646-2237** for a pack of 10. Implementing a standard size archive box will ensure maximum capacity of the racking system.

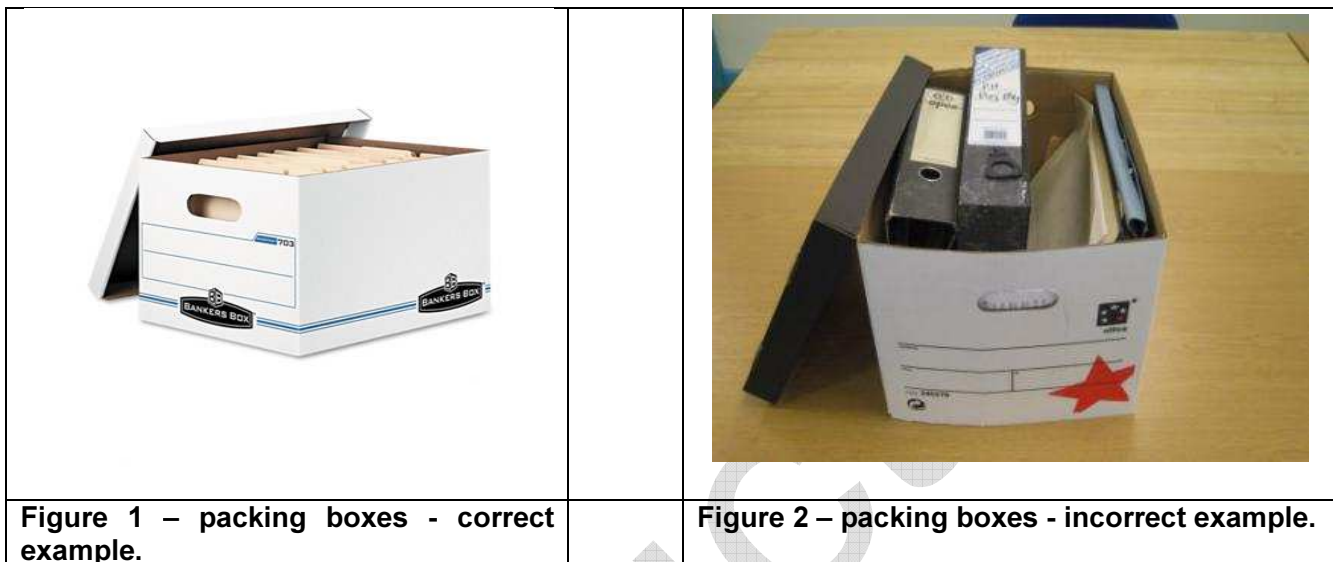
### 3.1 Preparation of Records

Take the following steps to ensure records are prepared correctly for storage:

- Do not overload boxes – maximum of 16kg per box. If necessary weigh each box. See figure 1 below, the box has been packed correctly. The contents are neatly packed, allowing easy access to the contents. Figure 2 has been packed **incorrectly**.
- Ensure box handles are not obstructed.
- Archive boxes will be stacked on top of each other, two boxes high, when in storage. It is important that the boxes are not over-packed and the lid can fit on top of the box without causing damage to the contents.

Service Instruction 0687:: Preparing and Transferring Records to Storage in the RM Archive Store – Vesty Building

- Store like records together, e.g. the same series of records or related series. This will make the retention review process easier to manage as those records will very likely have a similar retention period.
- Do not write personal or confidential information on any part of the box.
- Do not attach indexes or contents lists to any part of the box.



### 3.2 Labelling boxes

Ensure boxes are labelled to display minimal information only, see figure 3. This information can be written on the box or printed on a label that is attached to the box. Place the label or write the information on one of the short sides of the box.

Figure 3 – example box label information

<b>Function:</b>	XXXXXXXX
<b>Team:</b>	XXXXXXXX
<b>Series description:</b>	XXXXXXXX
<b>Box no:</b>	XXXXXXXX
<b>Review date</b>	DD/MM/YYYY

Take the following steps to ensure records are correctly labelled:

- Uniquely number each box, record the box number on the index, see figure 3.
- Do not write the contents of the box on the outside of the box. The records series title should be sufficient.
- Do not write personal or confidential information on any part of the box.
- Do not attach indexes or contents lists to any part of the box.
- Write the date the records are due for review, this can be calculated by adding the retention term to the current year, e.g. 6 yrs retention term added to the date 15/06/2011 will produce a review date of 16/06/2017.



### 3.3 Depositing boxes

- All records must be transferred to a standard archive box. Boxes are available to order via a stationery request.
- Boxes must be delivered and collected in person from the RM store and by prior arrangement with Stores staff. The internal post system **must not** be used to deliver records to the Vesty building.
- Special arrangements can be made to access the RM store for audit purposes or to review records for destruction. You **MUST** contact the Corporate Information Sharing Officer to arrange this: [recordsmanagement@merseyfire.gov.uk](mailto:recordsmanagement@merseyfire.gov.uk).
- Stores staff will check deposited boxes to ensure they have been allocated a unique box reference number and that they have been prepared in accordance with Sections 1 – 5 of this Service Instruction
- Boxes that have **NOT** been prepared correctly will not be accepted for storage. You will be asked to remove the boxes and to prepare the boxes in according with Sections 1 – 5 of this Service Instruction. Once this has been completed you may resubmit the boxes for storage by contacting Stores team.
- The responsibility for the contents of boxed records lies with the record owner. If records are removed or added to a box, it is the responsibility of the record owner to update the RM database to reflect the changes.

## 4. Records Management (RM) Database

This section of the Service Instruction will provide guidance on how to transfer records to the records management (RM) store based within unit1, Vesty Building. Prior to the physical moving of any paper based information (manual handling), and in the preparation of records for transfer, please ensure you read and understand Service Instruction [SI 0021 Manual Handling](#).

A database has been created to index MFRS business records. The RM database issues a unique number to each box containing records. The RM database will manage requests for boxes from storage. Access and training is required before you are able to access the RM database. Contact the Corporate Information Sharing Officer to arrange access and training: [recordsmanagement@merseyfire.gov.uk](mailto:recordsmanagement@merseyfire.gov.uk). For further information see the Records Management link <http://intranetportal/sites/kim/recordsmanagement/default.aspx>

## 5 Records Management (RM) Store

- The RM store houses inactive and closed MFRA records on high-density mobile shelving.
- The RM store is located on first floor, unit 1 Vesty building. The RM store operates between the following hours:

Monday – Friday 8.00am to 5.00pm  
Saturday and Sunday - closed  
Bank holidays – closed

---

Service Instruction 0687:: Preparing and Transferring Records to Storage in the RM Archive Store – Vesty Building

---

Access to the Vesty building is by access card. However, access cards will **NOT** be provided to visitors to the Vesty building. Access must be arranged in advance with Stores staff. Contact Stores staff immediately after making a request via the RM database. Stores staff will confirm a date and time when you can access the RM store. Contact details are:

Email: [stores@merseyfire.gov.uk](mailto:stores@merseyfire.gov.uk)

Contact telephone no: **4554**

- Access to the RM store is restricted to **Stores staff** only.
- When accessing the Vesty building you must ensure you sign in when entering the building and sign out when exiting the building. Please ensure your MFRS ID badge is clearly visible.
- You will be met by a member of the Stores team who will **escort** you to the RM store.
- Use of service vehicles is recommended when delivering and collecting boxes from storage.

#### Requesting a box from storage

- Boxes must be requested from storage via the RM database.
- You must follow up the request with a telephone call to the stores team, to arrange a suitable time for collection.
- Requested boxes must be collected from the RM Store in person and by prior arrangement with Stores staff. Boxes will be held for a minimum of **2 days** in the holding area. If they are not collected they will be returned to storage.
- Upon collection you will be asked to confirm receipt by signing for the boxes.
- Requested boxes will be checked out to you in the RM database.
- The Corporate Information Sharing Officer will review records that have been checked out for more than **3 months** and an email issued to the holder to confirm the current holder and location of the records.

#### Returning a box to storage

- A request must be made via the RM database. Records **MUST NOT** be returned via the internal post system.
- You must follow up the request with a telephone call to the stores team, to arrange a suitable time for delivery;
- You must quote the unique box reference number to return a box to storage. Boxes must be returned to the RM store in person and by prior arrangement with Stores staff. Boxes must be returned within **7 days** of making the request.
- Boxes will be deposited in a holding area and will be checked to ensure they have been allocated a unique box reference number and that they have been prepared in accordance with Sections 1 – 4 of this Service Instruction
- Upon completion of these checks a receipt will be issued to you confirming receipt of the boxes by Stores staff.
- The boxes will then be placed in storage and the RM database will be updated with a location code.

## 6 Out of hours access – urgent requests

There will be no routine facility for requests for archived records outside of normal core hours. Record owners who may require such items at such times e.g. weekends or bank holidays should make a request during the working week so that every effort can be made to meet this request.

However in extenuating circumstances when access is required urgently this can be achieved by contacting **Mobilising & Communications Centre (MACC)** who will contact the on call key holder for unit 1 Vesty Building to pass on your contact details and arrange their attendance to access the RM store. The on call key holder will arrange to access the RM store to locate the requested item. You must ensure you advise the on call key holder of the unique box reference number(s) you require.

At the next available working day, follow the guidance in section 5 and request the record in the normal way as this will provide an audit trail for the requested record.

## 7. Destruction of Records held in the Stores RM Archive Area, Vesty Building

For guidance on the secure destruction of records held in the Archive Area, Vesty Stores please see Section 8 of Service Instruction 0759 'Destruction of Information Assets (Including Protectively Marked Information)

Related policies and Service Instructions:

STRPOL09 Information Governance & Security Policy.

SI 0437 Freedom of Information requests and Publication Scheme

SI xxxx CCTV Use

SI 0759 Destruction of Information Assets (including protectively marked document)

SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.

ICTPOL03 Acceptable use policy

SI0703 Internet Access and Usage

SI0699 Using Social Media

SI0730 Email

STRPOL (to be agreed) – Protective Security Policy – in draft

Protective Marking SI in draft

Personal Security SI in draft

This page is intentionally left blank

## APPENDIX G

## Merseyside Fire and Rescue Service

## Equality Impact Assessment Form

<b>Title of policy/report/project:</b>	<b>Information Governance &amp; Security Policy and associated SI's</b>
<b>Department:</b>	<b>Strategiey and Performance</b>
<b>Date:</b>	<b>June 2013</b>
<p><b>1: What is the aim or purpose of the policy/report/project</b></p> <p><i>This should identify "the legitimate aim" of the policy/report/project (there may be more than one)</i></p> <p>The aim of this Information Governance, &amp; Security Policy and the associated S.I's is to ensure MFRA meets its statutory duty under information rights legislation , to protect MFRA's information &amp; data assets from all threats, whether internal or external, deliberate or accidental, to ensure business continuity and to minimise damage and maximise our ability to deliver services. By bringing together all of the requirements, standards and best practice that apply to Information Governance and Security. It has five fundamental aims:</p> <ul style="list-style-type: none"> <li>• To ensure that MFRA meet the statutory requirements under Information Rights Legislation.</li> <li>• To support and promote the effective and appropriate use of information to deliver services;</li> <li>• To encourage responsible staff to work closely together, preventing duplication of effort and enabling more efficient use of resources;</li> <li>• To develop support arrangements and provide staff with appropriate tools and support to enable them to discharge their responsibilities to consistently high standards;</li> <li>• To enable the organisation's staff, volunteers and Members understand their own performance against the Authority's objectives.</li> </ul>	

This EIA also supports the the associated S.I's to this policy, they are:

STRPOL09 Information Governance & Security Policy.

SI 0437 Freedom of Information requests and Publication Scheme

SI 0049 CCTV on Service Vehicles (please note this SI is to be merged with SI 0725)

SI 0725 CCTV Dealing with requests to view images or request copies of images, for CCTV (please note that this SI is to be merged with SI 0049)

SI 0759 Destruction of Information Assets (including Protectively Marked information)

SI 0687 Preparing & Transferring Records to Storage in RM Archive Store Vesty Building.

ICTPOL03 Acceptable use policy

SI0703 Internet Access and Usage

SI0699 Using Social Media

SI0730 Email

### **Policy**

It is the policy of MFRA to ensure that:

- Information and data are protected from the loss of confidentiality, integrity and availability.
- Legislative and regulatory requirements are met.
- Business continuity plans are produced, maintained and tested.
- Information security awareness training is made available to all employees and Members.
- All breaches of information and data security, actual or suspected, are reported to, and investigated by, the Information Security Forum and designated officers, and escalated to the Senior Information Risk Owner (SIRO); the Director of Strategy and Performance.
- All Strategic Management Group members and heads of department are responsible for implementing the Information Governance & Security Policy within their respective business areas.
- It is the responsibility of each member, employee, contract and temporary worker and volunteers to adhere to this policy.

### **2: Who will be affected by the policy/report/project?**

*This should identify the persons/organisations who may need to be consulted about the policy /report/project and its outcomes (There may be more than one)*

Staff and Members of MFRA and Strategic Management Group, as the reasons for implementing this policy are to protect the organisation's information, employees and reputation.

### **3. Monitoring**

*Summarise the findings of any monitoring data you have considered regarding this policy/report/project. This could include data which shows whether the it is having the*

<i>desired outcomes and also its impact on members of different equality groups.</i>	
<b>What monitoring data have you considered?</b> Introducing a monitoring form.	<b>What did it show?</b> We will try and implement a monitoring form for Equal Opportunities to be completed with requests in the future.

<b>4: Research</b>	
<i>Summarise the findings of any research you have considered regarding this policy/report/project. This could include quantitative data and qualitative information; anything you have obtained from other sources e.g. CFOA/CLG guidance, other FRSs, etc</i>	
<b>What research have you considered?</b>	<p><b>What did it show?</b></p> <p>Examples of other EIA</p> <p>How MFRA provides assistance for equality of opportunity between the listed protected groups for access to information.</p> <p>The policy and SI's that encompass Information Governance &amp; Security are for internal use to ensure that statutory legal requirements are met and as such are not directed towards any specific community groups. They have benefits in that they improve transparency and ensure people are better informed and able to challenge decisions which affect them.</p> <p>The Data Protection Act 1998 defines two types of data –</p> <p>Personal Data - which is defined as “data which relates to a living individual who can be identified from that data, or from those data and other information which is in the possession of, or is likely to come into the possession of, the data controller. This includes any expression of opinion about the individual and any indication of the intentions of the data controller or any other person in respect of the individual.”</p> <p>Sensitive Personal Data – which is defined as “includes information about racial or ethnic origin of the data subject, their religious beliefs or other beliefs of a similar nature, their physical or mental health or condition and their his sexual life.”</p> <p>This means that that the Data Protection Act includes safeguards for handling personal information that would include equality monitoring data, so adopting appropriate security and compliance to confidentiality will be a positive impact.</p> <p>Under Data Protection we have Information Sharing Protocols in</p>

place with other organisations that enable MFRA to receive personal information for vulnerable groups. Three of these groups are defined by age, health and disability these fall into the protected groups under the Equality Act and so there is a benefit to these groups in that measures are put in place by MFRA to prevent serious injury or death.

The Freedom of Information legislation is applicant blind and hence there should be no differentiation or discrimination towards the requester, irrespective of age, disability, race, religion or belief, sex, sexual orientation or social economic disadvantage. This promotes the Authority's own aim of being transparent and accountable and that all service users get the same level of service. Service users are any person, or corporate body from any location in the world.

Article 8 of The Human Rights Act 1998 states everyone has the right to respect for their private and family life, their home and their correspondence, again this could indirectly benefit for the groups above.

If information is requested by individuals who have sight impairments we will provide information by means of large print, in DAISY, on audio cassette or on computer disc or for people in a minority ethnic language group we will aim to get provide the information in a translated format. Assistance will be provided to help any individual to place information requests regardless of reason why they need that help.

Our published information is primarily available from the web site. If individuals cannot access the internet we will provide a hard copy of either the publication scheme or any information published within it free of charge.

In doing this research the following was considered:

- The Information Commissioners Office website
- The Equality and Human Rights Commission Public Sector Guidance.
- Business Disability Forum  
<http://businessdisabilityforum.org.uk/our-offer/advice/publications/briefing-papers>
- Daisy uk <http://www.daisyuk.com/>
- MFRA Profile of Mersyside Demography, equality and Diversity Report.  
[http://www.merseyfire.gov.uk/aspx/pages/equality/pdf/Profile\\_of\\_Merseyside\\_Demography\\_Equality\\_and\\_Diversity.pdf](http://www.merseyfire.gov.uk/aspx/pages/equality/pdf/Profile_of_Merseyside_Demography_Equality_and_Diversity.pdf)
- The Forum for Information Management on the CFA website
- Data Protection Act 1998
- Freedom of Information Act 2000
- Environmental Information Regulations 2004
- Information Sharing



	<ul style="list-style-type: none"> <li>• The Confidentiality Code of Practice</li> <li>• Human Rights Act 1998 Article 8</li> <li>• Records Managementformation Quality Assurance</li> <li>• Information Security</li> <li>• Information Governance Management</li> <li>• Risk Management</li> </ul>
<p><b>5. Consultation</b></p> <p><i>Summarise the opinions of any consultation. Who was consulted and how? (This should include reference to people and organisations identified in section 2 above)</i></p> <p><i>Outline any plans to inform consultees of the results of the consultation</i></p>	
<p><b>What Consultation have you undertaken?</b></p> <p>Consultation on the policy will be taken to the DAG (The Diversity Action Group)</p>	<p><b>What did it say?</b></p> <p>Questions raised about employing bilingual advocates to translate for non English speaking requesters, this was resolved as this resource is already in place for prevention and protection purposes and could if needed be utilised for information Governance purposes at no extra cost to the authority.</p> <p>A question was asked about taking requests by phone it was explained that we will except requests by a third party as long as proof of the data subject is provided. We will advise and give out limited information over the phone and accept requests verbally in exceptional circumstances.</p> <p>We will also try and implement a monitoring form for Equal Opportunities to be completed with requests in the future.</p>

## 6. Conclusions

*Taking into account the results of the monitoring, research and consultation, set out how the policy/report/project impacts or could impact on people from the following protected groups? (Include positive and/or negative impacts)*

**(a) Age** Although all requests are to be made in writing and most requests are made electronically now by email we still accept requests by letter meaning elderly people who are more likely not to be IT literate can still make a request. Also if someone is acting on the requesters behalf (in relation to data protection) we will accept a request as long as proof of identity is received. We will advise, give out limited information over the phone and accept requests verbally in exceptional circumstances.

**(b)** There is the potential that older people & people who we consider to be in high risk groups of fire to benefit from this policy as a result of information sharing done through Data Protection legislation. As this group is one of the vulnerable groups highlighted in the vulnerability profile that are more likely to have an instance of fire causing serious injury or death MFRA have a number of Information Sharing Protocols set up with outside organisations (e.g local authorities), that enable MFRA to share personal details to provide a free Home Fire Safety Check.

**(b) Disability including mental, physical and sensory conditions** There could be some issues around physical disability as requests under both legislation have to be in writing. If a person couldn't write, for example because of their disability, we will accept requests made on their behalf as long as proof of identity is received. We will also advise and give out limited information over the phone. As this group is one of the vulnerable groups highlighted in the vulnerability profile that are more likely to have an instance of fire causing serious injury or death MFRA have a number of Information Sharing Protocols set up with outside organisations (local authorities etc), that enable MFRA to share personal details to provide a free Home Fire Safety Check.

**(c) Race (include: nationality, national or ethnic origin and/or colour)** We have measures in place to translate any requests from the following groups Somali, Chinese, and Arabic and Bengali by way of bilingual advocates that work with the Information Governance team.

**(d) Religion or Belief** Neutral

**(e) Sex (include gender reassignment, marriage or civil partnership and pregnancy or maternity)** Neutral

**(f) Sexual Orientation** Neutral

**(g) Socio-economic disadvantage.** There could be an issue with this group as they are more likely to be on benefits or they may be asset rich and cash poor. This would mean they are less likely to be computer literate or have access to a computer, making it harder for them to gain access to MFRA's website and the advice contained there to make a request. They can still make a request by writing a letter and we would send advice and information out to them or they could call and we

would advise them to go to their local library to gain access to the website and again we will give out limited information over the phone. As one of the vulnerable groups highlighted in the vulnerability profile that are more likely to have an instance of fire causing serious injury or death MFRA have a number of Information Sharing Protocols set up with outside organisations (local authorities etc), that enable MFRA to share personal details to provide a free Home Fire Safety Check.

**7. Decisions**

*If the policy/report/project will have a negative impact on members of one or more of the protected groups, explain how it will change or why it is to continue in the same way.*

*If no changes are proposed, the policy/report/project needs to be objectively justified as being an appropriate and necessary means of achieving the legitimate aim set out in 1 above.*

Propose that the FOI Policy could make reference to “where people need extra help”

**8. Equality Improvement Plan**

*List any changes to our policies or procedures that need to be included in the Equality Action Plan/Service Plan.*

Increase monitoring of requests from minority groups at present there is no monitoring done for minority groups but as previously mentioned Freedom of Information is applicant blind and Data Protection is for the requestors own personal information. Measures have been put in place to ensure all service users are offered the same level of service with regards to access to information. We keep a record of requests that are made and from looking at these especially for Freedom of Information requests the majority of these are from the press or commercial companies and so it would be hard to apply equal opportunities monitoring. But we could do this with Subject Access Requests.

**9. Equality & Diversity Sign Off**

***The completed EIA form must be signed off by the Diversity Manager before it is submitted to Strategic Management Group or Authority.***

Signed off by:  Date:

Action Planned	Responsibility of	Completed by

<p>For any advice, support or guidance about completing this form please contact the <a href="mailto:DiversityTeam@merseyfire.gov.uk">DiversityTeam@merseyfire.gov.uk</a> or on 0151 296 4237</p>		

**The completed form along with the related policy/report/project document should be emailed to the Diversity Team at: [DiversityTeam@merseyfire.gov.uk](mailto:DiversityTeam@merseyfire.gov.uk)**

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank



By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank

By virtue of paragraph(s) 3 of Part 1 of Schedule 12A  
of the Local Government Act 1972.

Document is Restricted

This page is intentionally left blank