



**CFOA**  
Publications

## Guidance Document

# Community Fire Protection

## Revised CFOA Fire Safety Guidance Notes and Audit Form

### Version 4.2

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# 1. Introduction

The following guidance provides an overview of policy and the procedures to be followed whilst carrying out fire safety audits and inspections under the Regulatory Reform (Fire Safety) Order 2005 (FSO).

The 'Fire Safety Audit and Data Gathering Form' is at the heart of this process and will be used for all audit, enforcement and inspection visits. It enables personnel to collect identification and risk data about premises in a systematic and consistent manner.

The form allows a number of functions to be carried out including;

- Premises identification and description, for both the FRA's fire safety risk management information system and the Fire Service Emergency Cover Model. (FSEC)
- Collection and maintenance of FSEC other buildings toolkit data
- Assessment of the management profile and capabilities
- Assessing the level of compliance with the FSO.
- Calculation of the 'relative risk level' (in accordance with IRMP note 4), to inform our prevention, protection and response options
- A consistent and verifiable process should enforcement action be necessary (in accordance with the principles of the Enforcement Management Model published by the HSE)
- The collection of performance monitoring data for the government and Fire and Rescue Authorities (FRA's).
- Establishing a "Non-domestic premises risk profile" and
- Additionally the collection of operational site specific risk information (SSRI), (FIReControl Product 62 see section 7).

Formal enforcement action, by specialist fire safety personnel, will be driven by the outcomes of the form and will be aligned to an abridged version of the EMM. This provides a means of confirming, or otherwise, the initial expectation of the enforcement activity. There will always be the need for professional judgment by competent staff.

## 1.1 Review of the CFOA Fire Safety Audit

As agreed with the Department for Communities and Local Government (CLG) on the introduction of the FSO a review of the CFOA fire safety audit and process would be undertaken after twelve months consequently a Task and Finish Group was established to undertake this with each region represented.

A number of issues were identified by the group particularly with regard to the current Part B of the audit form in that the overall assessment of the compliance level i.e. Fire Safety Management and the recommended enforcement action was not always appropriate to the risks, responsible persons attitude and deficiencies identified during audits.

Subsequently Inspectors have applied professional judgment (in consultation with their line managers) and have taken more appropriate enforcement action.

Consequently, the process and Part B of the form has been reviewed and successfully piloted across England and Wales using a revised Part B and scoring system. Simplified versions of the Enforcement Management Model (EMM) flowcharts are proposed.

In addition several other issues have been identified:-

- Changes to FSEC
- The form and guidance needed improvement to ensure it is completed correctly

- Additional data is required for the Governments IRMP returns and FRA's own requirements e.g. quality and performance management
- An appropriate audit trail
- A requirement to collect operational data for the incident ground (via Regional Controls Product 62, see section 7).
- Remove Prohibitions from the audit process
- Fire Safety visits and data gathering by operational crews

These issues have been addressed which have resulted in minor modifications to Parts A and C and the introduction of a Part D Operational Site Specific Risk Information for incidents.

Policy and procedures to deal with prohibitions will be dealt with by a separate workstream following completion of this process.

Fire Safety visits and data gathering by operational crews will also be dealt with by a separate workstream following completion of this process.

This consultation has now been completed and the returns have been considered by the Working Group. Where applicable amendments to the form have been made. The attached form and these guidance notes are to be considered for adoption by fire services across England and Wales from 1 April 2009. Brigades will need to consider the revised scoring methodology and seek confirmation from their own software providers that the IT systems used will be amended to facilitate the changes made in this form ready for implementation on 1 April 2009.

## 2. Policy

The aims are to reduce the risk and impact of fire on the community, safeguarding our fire-fighters, heritage and environment, reducing the loss of life, injuries, commercial, economic and social costs. Consequently our statutory duty to enforce fire safety law and promote fire safety will be based on risk and providing our community with value for money.

Premises managed by public, commercial or voluntary organisations which present the highest risk will be audited and inspected on a more frequent basis.

Premises considered to be lower risk will be audited primarily in response to complaints, following incidents or on a random basis to verify their lower risk classification and to confirm that the responsible persons are complying with their statutory duty to comply with the requirements of fire safety law.

Specialist fire safety personnel and operational personnel will engage in community risk reduction work, including technical fire safety, appropriate to their level of expertise and their role.

All personnel will collect risk data about premises as part of their normal role. This data will enable us to target our prevention, protection and response options effectively, efficiently and in a verifiable manner.

The Fire and Rescue Authorities have adopted the audit procedures developed through Chief Fire Officers' Association (CFOA) in partnership with the department of Communities and Local Government (CLG). These procedures will enable delivery of a risk based audit and inspection policy, aligned to the Government's current Integrated Risk Management Planning Guidance Note(s) (IRMP) and the Fire and Rescue National Framework guidance. Over time our policy will be adjusted to more accurately reflect local risks and intelligence.

Audit, inspection and enforcement activities will be carried out in accordance with the Enforcement Concordat and will be guided by the Enforcement Management Model and our policies will comply with the requirements of the Government's recently issued Regulators Compliance Code.

With regard to the adequacy of fire safety provisions national guidance will be used, primarily the fire safety risk assessment guidance documents issued by the Government to judge the adequacy of fire safety arrangements in premises. We will also recognise other fire risk assessment methods that are equally valid.

Adherence to relevant British Standards and particular standards produced by other bodies will generally indicate that the responsible person has done enough to comply with the law. However, the outcome of the fire risk assessment process may indicate that compliance with fire safety law may be achieved by an alternative method.

We will provide fire safety education, information and advice where appropriate but we will not undertake fire risk assessments.

Over time, the collection of data and the audit and inspection process will bring about a reduction in community risk and enable the Authority's IRMP to be further refined.

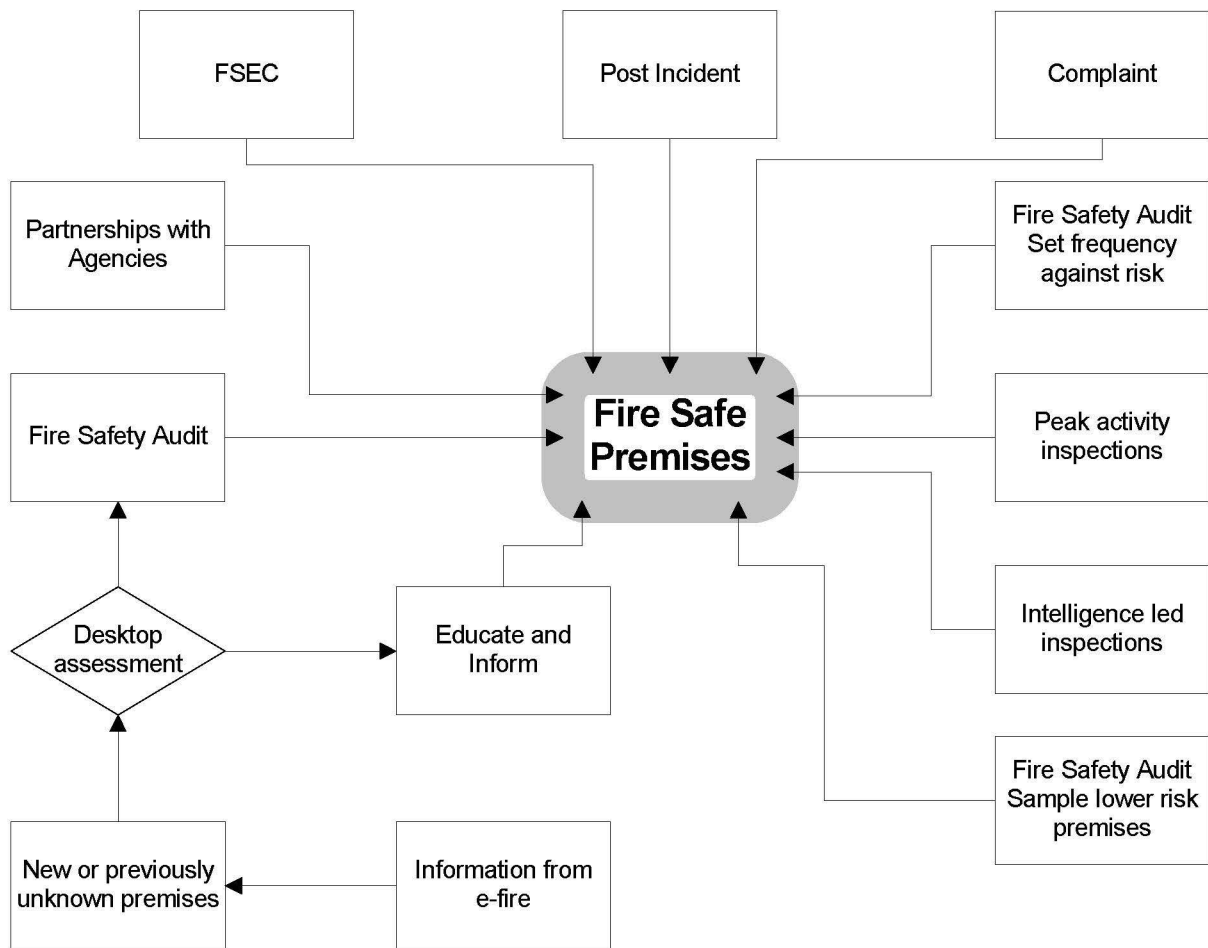
The audit and inspection will be open, transparent, fair and auditable. The requirement to comply with fire safety law rests firmly with the 'responsible person,' not the Fire and Rescue Authority. Except in cases of extreme non-compliance or where relevant people have been put at serious and probable risk, we will seek to work with the 'responsible person' to assist them to meet their obligations under the Regulatory Reform (Fire Safety) Order 2005 (Fire Safety Order).

Where appropriate FRA's will enter into Partnerships and agreements with appropriate enforcement agencies to further reduce risk within the community e.g. Retail Enforcement Pilot, Business Compliance projects, etc. This may involve the sharing of intelligence/data with those agencies in order to reduce the burden on those businesses and target our resources more efficiently and effectively.

Where appropriate CFOA and FRA's will work in Partnership with the Better Regulation Executive and Local Better Regulation Office (LBRO).

Compliance monitoring policy will address all components of fire safety enforcement including educating and informing.

This diagram illustrates the relationship between information and audit and how they work together to assist in achieving fire safe premises.



## 3. Audit & Inspection Process

### 3.1 The Audit process

This will generally take the form of an audit of the premises management; risk data gathering and assessing compliance with fire safety legislation.

A full compliance monitoring audit of a premises will include the following stages;

- Contact occupant of premises and determine;
  - Responsible person
  - Acceptance of legislative obligations
  - Convenient date for audit (FRS may wish to set a minimum notice period)
- Write formally, confirming date, giving details of audit process and the expectations when conducting audit. (Standard letter)
- Prior to the audit, the inspector should ensure he/she is familiar with the premises history.
- Attend premises, ensuring adequate time to gather information and review risk assessment methodology used by the responsible person.
- Record relevant information on the audit form
- Review any records, maintenance schedules, training and emergency plans.
- Record compliance level against each specific duty under Fire Safety Order
- Normally, carry out physical inspection of some or all of the premises to check compliance with the Fire Safety Order. (Dependent on level of compliance).
- Calculate the fire safety audit score which will give an immediate 'initial enforcement expectation' (IEE) for the inspector to consider.
- Consider improvements and enforcement options, if any, with the responsible person.
- Provide any additional on-site education and advice as necessary/appropriate e.g. non enforceable advice to further reduce risk via arson prevention, business continuity, environmental (impact of fire and run off etc) etc
- If necessary consider refining the 'initial enforcement expectation' by applying the Enforcement Management Model
- Update fire safety risk management data base
- Prepare additional reports or relevant paperwork and send as soon as possible
- If necessary arrange and undertake any follow up action etc.

## 3.2 Audit Principles

The process of audit is designed to allow the inspector to determine if the process or procedures, subject to the audit, is in practice a true reflection of theory. It is the system, process or procedure that is subject to audit and not the people in or around the premises. For example, the audit of staff training procedures will look at the sequence of events detailed in writing, being performed in reality. If the procedure states that *'all staff will receive comprehensive fire safety training on a quarterly basis'*, the inspector will expect to see evidence of this.

The efficiency with which the task is completed may be of relevance but is not primarily what the inspector is looking for. Only if the task is not carried out will reasons be looked for.

The inspector will start by looking at a system and frequency for review, to ensure it is actually in place. Following this, each element of the system will then be audited, including the review process.

The important factors to be considered are:

- Establish that a system exists (policy or procedure)
- Check each element (hazard identification, risk assessment, control measures, review)
- Only check samples (select particular components of each element)
- Check by observation and communication (look and listen for evidence, talk to persons)
- Identify deficiencies (in the areas selected for audit)
- Address deficiencies

### 3.2.1 The Fire Safety Audit

A fire safety audit is, as its title implies, a process that uses the principles of audit as its base, but not as its sole methodology. The process of auditing a premises, assessing risks and making enforcement decisions will embody the principles, expectations and methodology of the EMM.

To assist FRS to complete the fire safety audit in a consistent manner, a 'fire safety audit and data gathering form' is provided. This audit form will inform FSEC and allow the recording of instances of non-compliance for the new 'CLG IRMP returns' introduced in 2007/8. (Previously known as Fire Safety Returns or FSR's).

### 3.2.2 Educating and Informing

Educating and informing responsible persons and others about their duties under the FSO is a fundamental part of the enforcement regime of Fire and Rescue Authorities. The FSO requires specified individuals, (responsible persons) to take responsibility for providing, applying and maintaining their own fire safety solutions.

It is founded upon the unequivocal duty of the responsible person to assess and mitigate the risk to those relevant persons who could be affected by fire. It is not appropriate, except where communications have broken down and where formal methods are necessary, for any Fire and Rescue Authority to provide a prescriptive solution as the sole means of addressing deficiencies.



### 3.3 Completing the form

The audit form is divided into four parts;

- Part A: - Site Assessment (Information primarily for fire safety file and FSEC)
- Part B: - Fire Safety Audit (Assessing compliance with Fire Safety Order)
- Part C:- Calculation of relative risk rating and risk level
- Part D: - Operational Site Specific Risk Information (where appropriate)

In addition, there are a number of look-up tables and flowcharts which the inspector may need to consult during the process.

Inspectors will need to complete Parts 'A', 'B' & 'C' and where appropriate Part D on each occasion a singularly occupied premises is audited and subsequently where significant changes are found.

In multi-occupied premises Parts 'A', 'B', 'C' and where appropriate '\*D' should be completed for the common areas and systems, typically the Landlord's or owner's areas, whilst Parts 'A', 'C' & '\*D' should normally be completed for each individual occupier (subject to each individual FRA policy and resources). Part 'B' should be completed for selected occupiers/units.

For initial audits of premises, Parts A, B, and C should normally be completed for all occupancies (subject to each individual FRA policy) and where appropriate '\*D'. This will result in an individual inspection regime for each premises in accordance with risk rating and fire safety management.

\*Note: Only complete Part D where necessary, see section 7 for guidance.

### 3.4 Fire Safety audit and Inspection at premises

This part sets out in more detail the audit-based approach to carrying out a fire safety audit and inspection at premises (the fire safety audit). The fire safety audit provides inspectors with a risk-based methodology that supports the enforcement principles embodied in the FSO and the EMM.

#### 3.4.1 Determining the risk level

The findings of the audit process and risk level applied to premises will be influenced not only by life safety considerations but also the potential loss or risk to the community, at a local or national level.

**Professional judgment will be required by competent inspectors to determine the life and 'relative risk rating' each premises presents.** Relative risk is the comparison made between different types of buildings across the 17 FSEC (Fire Services Emergency Cover model - provided to FRA's by the Government) categories.

From the data collected, and professional judgments made, by the inspector a determination can be made as to the risk of a fire occurring, the risk to persons and the potential impact on the community. For example, a very low risk hospital may still have a relative risk rating of 4.5; the same as a very high-risk factory (see Appendix 2, Table 11 'Relative Risk' and IRMP Note 4).

In order to demonstrate that Fire and Rescue Authorities are meeting their legislative responsibilities it is critical that at every stage the processes by which the levels of risk and the resulting inspection activity have been determined are reasonable, proportionate, are recorded, transparent and auditable, this audit process provides that..

#### 3.4.2 Compliance level (Fire Safety Management)

This revised fire safety audit process applies a weighting to the differing applicable Articles of the Fire Safety Order and will result in a compliance level of between 1 and 5 (see table 3). The weighting is also adjusted between 4 different groups of premises by the application of different non compliance scores. These 4 groups are derived from the IRMP Note 4 and the 17 FSEC categories (see table 1).

Prior to the audit the inspector will need to determine which of the 17 FSEC groups, the premises that are being audited, falls within. Once the FSEC code is determined the inspector will know from using **Table 1** what inspection group the premises falls within.

These groups are determined by the risks they share and also the fire safety guidance that applies to them.

- **Group A**  
The majority of sleeping risks where the occupants are unfamiliar with the building
- **Group B**  
Flats where the occupants are familiar with the layout and licensed premises
- **Group C**  
Educational / leisure facilities and shops where the most of the occupants are not familiar with the layout
- **Group D**  
Workplaces where the occupants are familiar with the layout

**Table 1**

Risk Groups (derived from the IRMP Note 4 and 17 FSEC categories)				
Groups	Group A	Group B	Group C	Group D
FSEC Code	Sleeping Unfamiliar	Sleeping familiar & Licensed premises	Public unfamiliar	Workplace familiar
A	Hospitals			
B	Care Homes			
C	HMO			
D		Flat		
E	Hostel			
F	Hotel			
G		Converted flat		
H	Other Sleeping			
J			Further education	
K			Public buildings	
L		Licensed premises		
M			School	
N			Shop	
P			Other public building	
R				Factory
S				Office
T				Other workplace

Premises have been separated into these groups to enable higher scores to be given to relatively higher risk premises (see **Table 2**).

- Premises in Group A (the highest risk premises) can score a maximum of 128 points
- Group B 109 points
- Group C 89 points and
- Group D 77 points (lower risk premises)

This means that inspectors are far more likely to take enforcement action at premises where the risk to occupants is higher, as the score has now been weighted to reflect this.

The Articles within the order that are deemed to have the greatest influence on the safety of relevant persons (Articles 8 to 15, 17, 21 & 38) score the highest points and have been assigned as the safety critical areas. Within those safety critical areas, Articles \*13 (fire warning) & 14 (means of escape) are deemed to be the most important and therefore attract the highest scores.

\*Please note that Article 13 has been divided so that fire alarms and fire fighting equipment can be scored separately on the audit form as the impact of these two provisions is significantly different.

As these Articles carry high scores inspectors can, in these sections, award either a minor or major deficiency. With the previous audit system this would be referred to as partially compliant or non-compliant, the inspector should consider the level of risk that is caused by the failure and apply professional judgment as to whether it is a minor or major risk.

An example could be where a fire alarm system is installed within a hotel but not all of the bedrooms have been fitted with appropriate detection, using professional judgment the inspecting officer may deem that this is classed as a 'minor deficiency/risk' for the purposes of the calculation and so a score of 10 would be given.

However, if the same hotel had NO fire detectors then the deficiency /risk would probably be determined as major and a score of 26 awarded.

This approach provides a balance to ensure that minor deficiencies are not enforced too harshly.

The "Other Articles" will be judged as being either non-complaint or broadly compliant. Broadly compliant should not be construed as 100% perfect as few are.

All areas of Part B of the form are mandatory. However, some Articles have a 'not applicable' option in case the requirement is not relevant to a premises e.g. article 37 firefighters switch for luminous discharge tube. The 'not applicable' option is scored zero, the same as for 'Broadly compliant'.

### 3.4.3 IRMP Returns

Annual returns are required by the Department for Communities and Local Government, in order that the Government can ascertain the level of compliance in different premises types against the various Articles within the Fire Safety Order and to determine the extent of community fire protection activities that individual Authority's are undertaking.

In order to provide a complete set of returns several, Articles have been added to the audit form. These are Articles 27, 29, 30, 31, 32 and 24, no score has attributed as they normally have little bearing on the outcome of the fire safety compliance level. However, after arriving at the Initial Enforcement Expectation (IEE) they should be considered when applying the EMM principles (see section 4) to either confirm the initial enforcement expectation or recommend a more appropriate enforcement activity.

These are either a "Yes/No" answer or "Not applicable", it is important to note that these relate to where a prosecution has not been taken, if a prosecution has been taken this should be recorded elsewhere in the IRMP returns.

### 3.4.4 Part B of the audit form and process

As briefly indicated earlier a fire safety audit is, as its title implies, an inspection that uses the principles of audit as its base, but not as its sole methodology. The process of auditing a premises, assessing risks and making enforcement decisions will embody the principles, expectations and methodology of the EMM.

It is expected that the on-site audit will initially start as a meeting with the responsible person to ask questions, review documentation, records, etc.

The order of the articles have been amended to improve the audit process and the first 9 areas of the audit form now have a check box that confirms whether the explanations given by the responsible person have been validated by observation or questioning of staff for example.

Verification is completed by a physical inspection of some or all of the premises to check compliance with the Fire Safety Order.

When this has taken place an objective score can be assigned to the Article.

There is no need to inspect all of the premises, if the audit process indicates there are no significant issues however, the fire safety audit will normally include a physical inspection of the following parts of the building (risk critical).

- Common parts and fire safety systems of multi-occupied premises
- All Final exits
- Ground floor
- Where relevant at least one upper/lower floor
- Protected/external staircases
- External routes
- Access and facilities provided for fire-fighters
- Areas of significant public gathering

However, if poor levels of compliance or verification are discovered the remainder of the premises may need to be inspected.

Once the inspector has completed all relevant areas of the form scoring each in accordance with the guidance on the form (and table 2) these scores are then accumulated to give an overall score. This will ensure that the implications of a serious issue within a building, such as poor means of escape, is not diluted by an area that is deemed less serious, such as, provision of information to employers and the self-employed from outside undertakings.

**Table 2**

Weighting/score awarded to Articles						
Safety Critical Articles/Risks						
Article Number	Description	Group A	Group B	Group C	Group D	Level of deficiency / risk
		Sleeping Unfamiliar	Sleeping familiar + Licensed	Public unfamiliar	Workplace familiar	
8	General fire precautions	13	13	8	5	Major
		7	7	4	3	Minor
9	Risk assessment	10	10	10	10	Major
		5	5	5	5	Minor
10	Principles of prevention	5	5	5	5	Major
		3	3	3	3	Minor
11	Fire safety arrangements	5	3	2	2	Major
		3	2	1	1	Minor
12	Dangerous substances	5	5	5	5	Major
		3	3	3	3	Minor
13	Fire warning/alarm	26	13	13	13	Major
		10	5	5	5	Minor
14	Emergency routes and exits	26	26	20	13	Major
		10	10	8	5	Minor
15	Procedures for imminent danger	5	3	2	2	
17	Maintenance	15	15	10	8	Major
		8	8	5	4	Minor
21	Training	6	4	2	2	Major
		3	2	1	1	Minor
38	Maintenance of firefighters measures (risers, etc.)	3	3	3	3	
Other Articles/Risks						
Article Number	Description	Sleeping Unfamiliar	Sleeping familiar + Licensed	Public unfamiliar	Workplace familiar	N/A
13	Firefighting equipment	1	1	1	1	
16	Additional measures – dangerous substances	1	1	1	1	
18	Safety assistance	1	1	1	1	
19	Information to employees	1	1	1	1	
20	Information to employers from outside undertakings	1	1	1	1	
22	Co-operation and co-ordination	2	2	2	2	
23	Employees duties	1	1	1	1	
37	FF switches for luminous tubes	1	1	1	1	
	Maximum score	128	109	89	77	

### 3.4.5 Scoring Matrix Initial Enforcement Expectation

This cumulative score is then used in the Initial Enforcement Expectation table below; this will give the inspector the recommended enforcement action.

**Table 3**

Scoring Matrix - Initial Enforcement Expectations		
Compliance level	Total Score	Initial Enforcement Expectations
1	0-25	*Broadly Compliant - Inform & educate
2	26-35	Notification of minor deficiencies
3	36-45	Notification of deficiencies
4	46-55	Enforcement Notice
5	56+	**Enforcement Notice 'Fast track' and normally a short Timescale
*Note: There is no requirement to apply the EMM principles for Broadly Compliant		**Note: time scale to be set by individual and consider prosecution. Also see guidance below regarding responsible person and strategic factors.

Notes:

- 1) \*\*\*"Enforcement Notice, Fast track" This refers to the issuing of an Enforcement Notice as a matter of urgency. Consequently, where it is necessary to consult others before serving the notice (which could delay the issue of a notice by weeks) this can often be undertaken by phone or e-mail to speed the process up significantly and serve the notice as soon as possible. With a compliance level 5 the inspector would normally consider setting relatively short timescales but should also take account of the relevant circumstances, risk, amount and type of work required etc.
- 2) By virtue of article 30(2)(c) no less than 28 days can be given for the responsible person to take the steps required by an Enforcement Notice.
- 3) It should be noted that an enforcement outcome of an 'Action Plan' is not an Initial Enforcement Expectation, this is an outcome of applying the EMM Responsible Person Factors.

### 3.4.6 Prosecution

The 'safety critical' areas on the form are those Articles (see table 2), that should there be a failure to comply with, are considered to place relevant persons at greatest risk in case of fire. Therefore, where safety critical Articles are "non compliant" and the deficiency is major and the risk high, prosecution should be considered. However, all aspects of the enforcement management model must be applied to determine whether to proceed (see relevant Authority Policy with regard to prosecutions and further guidance) and a management review of the premises.

### 3.4.7 Prohibition notices

This Article now sits outside of the compliance levels as it is dealt with in a different manner, see relevant Authority Policy (see section 1.1)

### 3.4.8 Action Plans (informal enforcement)

The principles of good enforcement (Enforcement Concordat and Regulators Compliance Code) in respect of fire safety legislation encourage Authorities to be helpful, to actively work with business, especially small and medium sized businesses, to advise on and to assist with compliance of fire safety law.

The effectiveness of the legislation depends crucially on the compliance of those regulated and the Authorities should recognise that most businesses want to comply with the law. They should therefore, take care to help business and others to meet their legal obligations without unnecessary expense.

FRS should where appropriate, effectively consult with the responsible person to minimise the costs of compliance for the business by ensuring that any action eventually taken is proportionate to the risks. Therefore it is suggested that unless immediate formal enforcement action is required, inspectors should provide an opportunity to discuss the circumstances of each case and if possible resolve points of difference. One method is the use of an action plan (informal enforcement).

The aim of an action plan is to **focus** attention on where a risk is identified, what preventive and protective measures are necessary to either reduce the risk to an acceptable level or eliminate the risk.

An action plan may be either;

- Compiled by the responsible person, supporting their fire risk assessment, setting out the programme of work to achieve compliance;
- Agreed by FRA in partnership with responsible person; or
- Issued by the Authority in support of any informal enforcement measures.

In considering a risk assessment the Authority may liaise with the responsible person before confirming the findings of the risk assessment, the projected time scale for the completion/ implementation of any necessary preventive and protective measures and any other measures considered appropriate. This procedure may be in the form of an 'action plan'.

The decision to accept, review and if appropriate comment on a risk assessment will be subject to the Authority policy and circumstances.

Where an action plan exists, or is proposed, the relationship between the inspector and the responsible person must be viewed as a Partnership. As part of this Partnership both sides agree the findings of the fire risk assessment and the projected time scale for completion/implementation of the measures identified in the action plan. These will need to be placed in order of priority for completion (and may include interim measures prior to long term or permanent measures being implemented).

The responsible person must understand certain issues. That by prioritising and implementing the agreed measures, they are taking steps to remedy their failures in the provisions for fire safety matters for employees and other persons who may resort to the premises as required by the fire safety legislation.

That if the measures identified in the action plan are not completed within the agreed time, the inspector may either, depending on the situation and risk, re-negotiate and agree a revised time scale or, issue an enforcement notice.

Where the Authority agree to such a plan, then this should be formally agreed and signed up to by both parties.

Further Guidance on action plans can be found on the CFOA web site.

### 3.4.9 Points and calculations

Calculations for Part B are normally undertaken by a fire safety risk management database and not the inspecting officer, they are only provided to enable the inspector and business to be aware of the underlying process and impacts of decisions made.

## 4. The Enforcement Management Model

### 4.1 Introduction

The process of auditing and inspecting premises, assessing risks and making enforcement decisions where appropriate will embody the principles, expectations and methodology of the Enforcement Management Model (EMM) produced by the Health and Safety Executive (HSE), which is considered national best practice. (CFOA has adapted and summarised this model for use by Fire & Rescue Authorities).

The use of the EMM will allow Inspectors to make consistent and fair enforcement decisions based on clear guidelines, which will be robust if challenged, and auditable.

It is **essential** that Inspectors continue to use **professional judgments** but if Inspectors deviate from the outcomes of this model then the reasons why should be documented for future reference and consistency of enforcement activity.

### 4.2 Principle objectives

Once an Initial Enforcement Expectation (IEE) has been reached, i.e. the outcome of completing Part B of the Fire Safety Audit (tables 3 and 4), in all cases, except compliance level 1, the 'responsible person factors' (4.4) should be applied in order to confirm the enforcement activity, if the outcome is compliance level 4 or 5 then the "strategic factors" (see 4.5) should also be applied.

Note: As indicated in 3.4.3 several Articles have been added to the audit form (Articles 27, 29, 30, 31, 32 and 24) to which no score is attributed, consequently, after arriving at the Initial Enforcement Expectation (IEE) any issues relating to these should also be considered when applying the EMM principles.

These tests will involve a series of questions, relating in the first instance to the responsible person, that will allow the enforcement decision to be verified or modified. Finally that enforcement decision will be set against a number of strategic factors to either confirm the decision or establish the need for a management review.

It must be stressed that if the enforcement action recommended from the outcome of the EMM is inappropriate, and the inspector is considering alternative enforcement action, guidance should be sought from the relevant line manager with the evidence that supports this view. The inspector should agree the appropriate enforcement action with the line manager and based on the evidence provided, if it is agreed that the enforcement action requires changing this should be noted with the reasons and attached to the audit form.

This is not a procedure in its own right but captures the issues inspectors consider when exercising their professional judgment, this reflects the process by which enforcement decisions are reached.



### 4.3 Initial Enforcement Expectation (IEE) and description

Table 4

Initial Enforcement Expectation and Description		
Compliance Level	Description	Initial Enforcement Expectation
<b>Compliance Level 5</b>  <b>Enforcement Notice 'Fast Track'</b>	<ul style="list-style-type: none"> <li>• Generally premises risk rating very high</li> <li>• Very serious deficiencies that may require structural alterations</li> <li>• Requirement for comprehensive major systems</li> <li>• Very serious issues such as no AFD system where required</li> </ul>	Enforcement Notice
<b>Compliance Level 4</b>  <b>Enforcement Notice</b>	<ul style="list-style-type: none"> <li>• Generally premises risk rating high</li> <li>• Poor management with numerous serious contravention's of fire safety legislation.</li> <li>• Disregard for fire safety issues with bad housekeeping and no risk assessment or records of training or testing.</li> <li>• Following a fire where greater emphasis is required to address deficiencies</li> <li>• History of previous enforcement or informal action</li> </ul>	Enforcement Notice
<b>Compliance Level 3</b>  <b>Notification of Deficiencies</b>	<ul style="list-style-type: none"> <li>• Generally premises risk rating medium</li> <li>• Numerous less serious deficiencies possibly with history of other minor issues</li> <li>• Poor management evident and inspector has lack of confidence that matters will be adequately addressed</li> <li>• History of previous enforcement or informal action.</li> </ul>	Notification of Deficiencies
<b>Compliance Level 2</b>  <b>Notification of Minor Deficiencies</b>	<ul style="list-style-type: none"> <li>• Generally premises risk rating low</li> <li>• Several less serious deficiencies but without a previous history. Inspector has confidence in the overall management of the premises that matters will be adequately addressed.</li> </ul>	Notification of Deficiencies
<b>There is no requirement to apply the EMM principles for Broadly Compliant</b>		
<b>Compliance Level 1</b>  <b>Broadly Compliant</b>	<ul style="list-style-type: none"> <li>• Generally premises risk rating low/very low or those premises in multi-occupied buildings not selected for a sample audit</li> <li>• Possibly no risk assessment carried out/recorded but building generally satisfactory in all other respects</li> <li>• Only very few minor deficiencies. Approach to include verbal advice/agreement and information (inspector to record any advice given)</li> <li>• Any situation where premises comply with the FSO but where additional measures would reduce the risk category</li> <li>• Consider giving business continuity/property protection advice if appropriate</li> </ul>	Broadly Compliant Educate & Inform

Note:

It should be noted that an enforcement outcome of an 'Action Plan' is not an Initial Enforcement Expectation, this is an outcome of applying the EMM Responsible person factors, see overleaf.

## 4.4 Responsible Person Factors

The responsible person factors in Table 5 lists a series of factors relevant to the responsible person which may influence the enforcement decision.

Responsible person factors are, on the whole, specific to the responsible person and their activities. These usually confirm the IEE or alter the enforcement level up or down by one level.

The way these elements are applied to the IEE is represented in Table 6 IEE – Enforcement Notice and Table 7 IEE - Notification of Deficiencies. The elements in each flowchart vary because different enforcement expectations have different factors influencing them.

Where the IEE indicates the issue of an enforcement notice the procedure detailed in Table 6 should be followed. This would allow either consideration of prosecution or the more informal action plan.

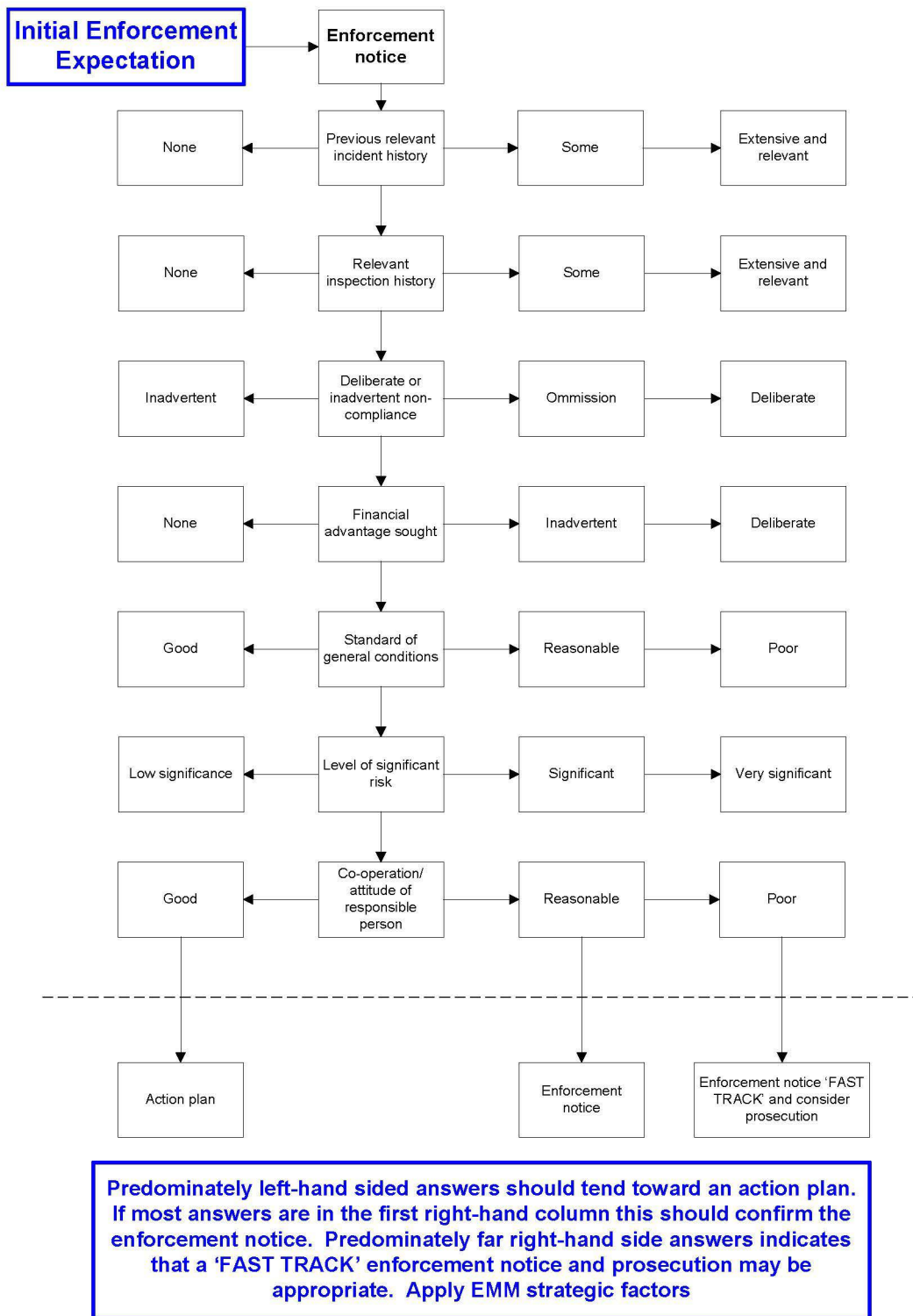
Where the IEE indicates the issue of a notification of fire safety deficiencies the procedure detailed in Table 7 should be followed. This would allow either consideration of the more informal notification of fire safety deficiencies letter or action plan or the serving of an enforcement notice.

**Table 5**

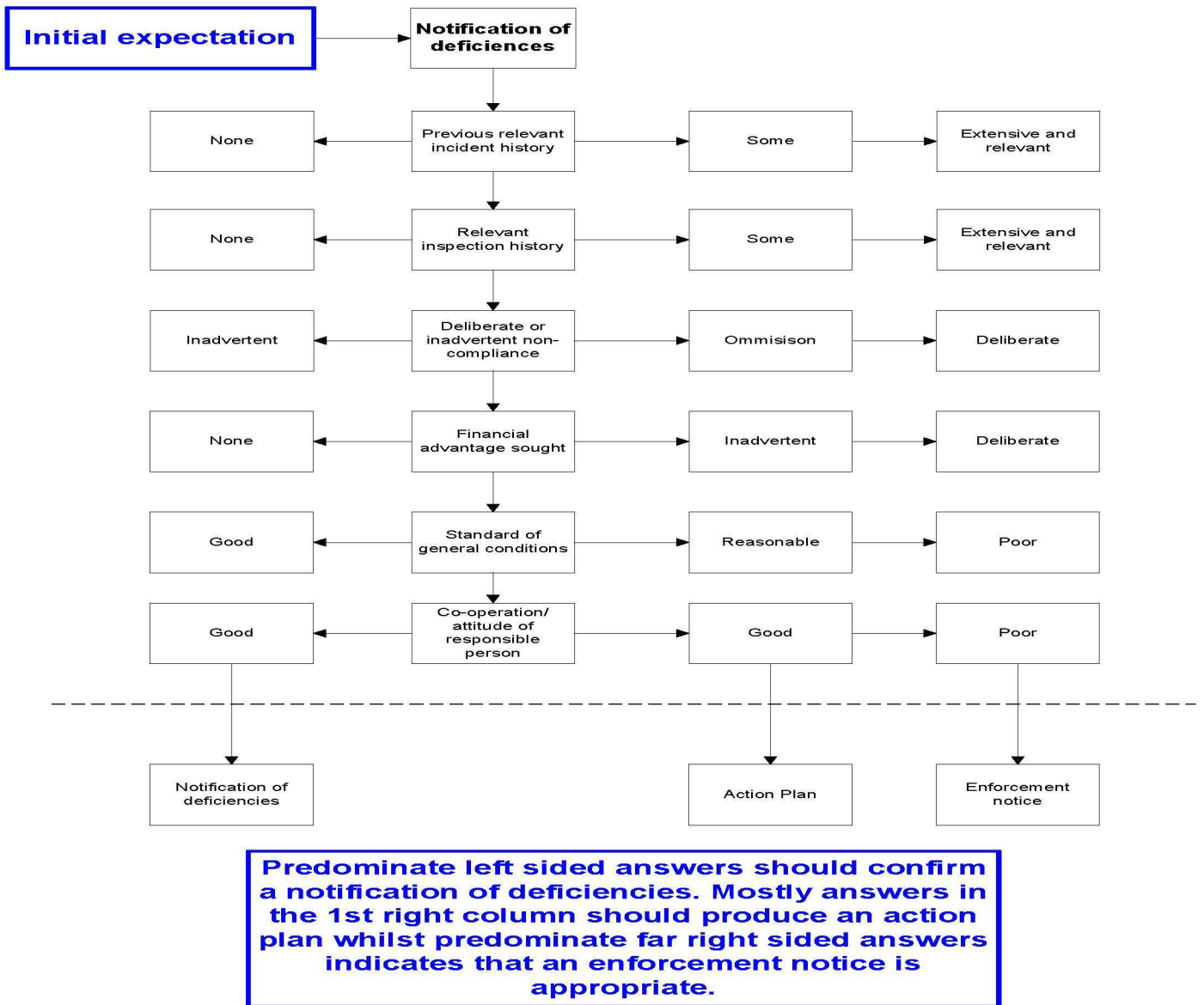
<b>Responsible Person Factors</b>	
<b>Descriptor</b>	<b>Definition</b>
<b>Does the responsible person have a history of relevant enforcement action being taken?</b>	
<b>Yes</b>	Enforcement action has been taken against the responsible person on the same or similar issues, by notices, prosecutions or informal action.
<b>No</b>	No enforcement action against the responsible person has been issued on the same or similar matters.
<b>Is there a history of operational incidents at the premises?</b>	
<b>Yes</b>	There is a history of operational incidents at the premises (e.g. fires, false alarms, and spillages etc).
<b>No</b>	There is no history of related incidents at the premises e.g. fires, false alarms, and spillages etc. or reports of incidents from other agencies
<b>What is the intention of the responsible person in non-compliance?</b>	
<b>Deliberate economic advantage sought</b>	Responsible person is deliberately avoiding minimum legal requirements for commercial gain.
<b>No economic advantage sought</b>	Failure to comply is not commercially motivated.
<b>What is the level of perceived harm?</b>	
<b>Serious</b>	A risk so serious as to endanger life may occur as a result of the matter under consideration.
<b>Not serious</b>	There is little or no risk of serious harm.
<b>What is the cause of perceived/actual harm?</b>	
<b>Deliberate</b>	The responsible person knowingly carries out or permits actions that create a risk so serious as to endanger life.
<b>Omission</b>	The responsible person carries out or permits actions in ignorance of safety legislation that creates a risk so serious as to endanger life.

<b>Responsible Person Factors</b>	
<b>Descriptor</b>	<b>Definition</b>
<b>What is the inspection history of the responsible person?</b>	
<b>Poor</b>	The responsible person has an inspection history of significant problems, copious advice and poor inspection ratings.
<b>Average</b>	The responsible person has an inspection history of nominal or piecemeal problems, where non-compliance has been related to new/or obscure duties, rating history is in the average range.
<b>Good</b>	The responsible person has a general inspection history of good compliance, effective response to advice, consistently high standards and low inspection rating.
<b>What is the standard of general conditions?</b>	
<b>Poor</b>	There is a general failure of compliance across a range of issues, including those related to the activity being considered through the EMM.
<b>Reasonable</b>	The majority of issues are adequately addressed, with only minor omissions.
<b>Good general compliance</b>	Full compliance across the whole range of indicators with no notable omissions.
<b>What is the attitude of the responsible person?</b>	
<b>Hostile/ indifferent</b>	The responsible person is actively antagonistic, or generally uninterested in fire safety. Impossible to establish an effective relationship
<b>Reasonable</b>	The responsible person is generally open to discussion and reasoned persuasion and effective communication can be established.
<b>Positive</b>	The responsible person is generally enthusiastic and proactive towards fire safety, actively seeking advice and pursuing solutions.

**Table 6 IEE – Enforcement Notice**



**Table 7 IEE - Notification of Deficiencies**



## 4.5 Strategic Factors

There are a range of strategic factors (see Table 8) that may impact on the final enforcement decision. Inspectors have to ensure that public interest and vulnerable groups (e.g. children, patients, and the elderly) are considered, and that the broader socio-political impact of enforcement action is taken into account. Strategic factors qualify the decision; they do not determine it.

There are competing demands on the finite resources of the Fire and Rescue Authority, and a balance has to be achieved based upon risk, potential outcomes and public expectations.

When considering public interest, Inspectors and Fire Safety Managers will have to satisfy themselves that the proposed action will produce a net benefit to the wider community in terms of reducing risk, and in the costs of pursuing a particular course of action. Public interest is a difficult issue to assess.

Inspectors must ask themselves: What would a reasonable person expect from the Fire and Rescue Authority in the circumstances? A further test is whether the particular decision can be justified if challenged in law. It is right to expect decisions to be tested in this way.

Certain issues may have a significant bearing on public expectation, for example fatal fires involving vulnerable groups such as children or the elderly or customers of leisure centre activities. While public expectation must be carefully considered, it should not determine the action taken. The public will not have all the facts in any particular case, or the training, experience or organisational support that the inspector can draw upon when making decisions.

The process of applying the strategic factors is illustrated in Table 8. The proposed enforcement actions are tested against the strategic factors – see Table 9. The flow chart leads to a confirmed enforcement action that should be subject to a review by the Fire Safety Manager where it does not address all the strategic factors or accord with the enforcement policy.

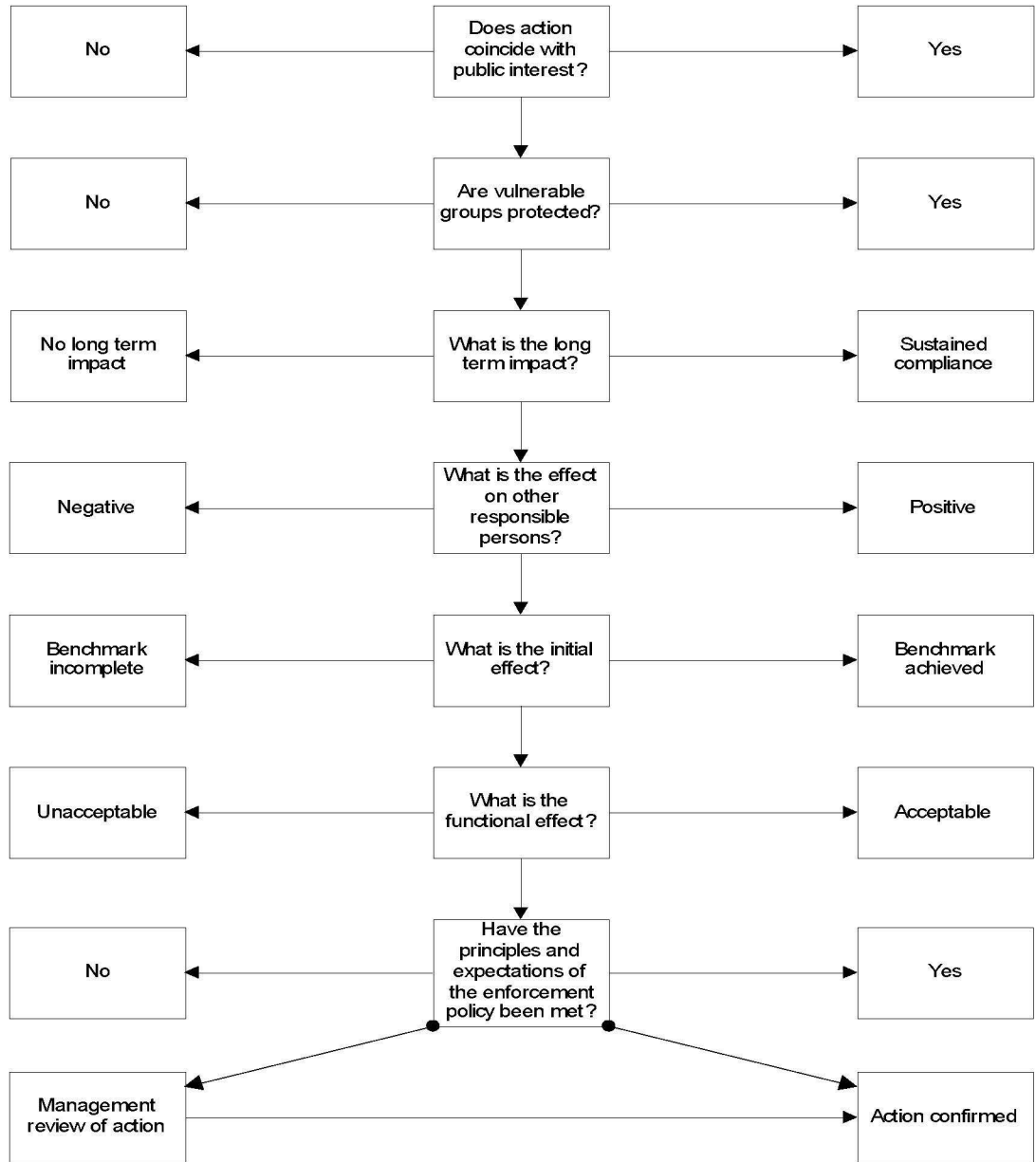
There is no ranking of importance implied in the progression through the factors. However, the final question must be, does the proposed action meet the principles and expectations of the Fire and Rescue Authority?

**Table 8**

<b>Strategic Factors</b>	
<b>Does the action coincide with the Public Interest?</b>	
<b>Yes</b>	The action results in a net benefit to the wider community in terms of targeting resources on risk and meeting public expectations of the fire authority
<b>No</b>	The action results in a net disadvantage to the wider community in terms of addressing risk, targeting resources on risk and failing to meet public expectations of the fire authority
<b>Are vulnerable groups protected?</b>	
<b>Yes</b>	The action results in control of risk to vulnerable groups
<b>No</b>	The action does not result in control of risk to vulnerable groups
<b>What is the long-term impact of the action?</b>	
<b>Sustained compliance</b>	The action is sufficient to achieve sustained compliance across the range of risks associated with the premises
<b>No long-term impact</b>	The action is insufficient to secure sustained improvements and that problems may be expected at subsequent visits
<b>What is the effect of the action on other responsible persons?</b>	
<b>Positive effect</b>	Other responsible persons in the same industry, geographical location or wider business community are deterred from committing similar offences or encouraged to adopt a more favourable view of fire safety requirements. The action taken broadcasts a positive message about fire safety
<b>Negative effect</b>	The course of action undermines both positive responsible persons perception of the fire authority and the wider appreciation of the standard of fire safety required
<b>What is the initial impact of the action?</b>	
<b>Benchmark achiever</b>	The action secures compliance with the relevant benchmark
<b>Incomplete compliance with the benchmark</b>	The action does not secure full compliance with the benchmark
<b>What is the functional impact of the action?</b>	
<b>Acceptable</b>	There is a net benefit to the employees and others who might be affected. NB -Risk is the overriding concern, and that the wider impact may be a qualifying issue, but is not definitive. E.g. Where the strict application of the law would result in the closure of the premises or unemployment, then all of the ramifications of the action are to be taken into account. The net benefit of the enforcement action in this situation is for the inspector to judge
<b>Unacceptable</b>	There is a net disadvantage to employees and others who might be affected, from the action taken. NB - Risk is the overriding concern, and that the wider impact may be a qualifying issue, but is not definitive.
<b>Have the principles and expectations of the enforcement policy been met?</b>	
<b>Yes</b>	The policy has been followed
<b>No</b>	The policy has not been followed

Table 9 EMM - Strategic Factors

**Strategic Factors**



**Predominate left sided answers should trigger a management review to determine the suitability of the action considered. Predominate right sided answers should confirm the intended action.**



## 4.6 Confirmed Enforcement Activity

Once the Enforcement activity is confirmed the following monitoring is normally recommended (see relevant Authority Policy as this may vary slightly dependent on resources):-

- **Broadly Compliant** - educate & inform - no follow up required
- Notification of minor fire safety deficiencies - follow up not normally required
- **Notification of fire safety deficiencies** - follow up may be required (however this may not be required by all FRA's, see relevant Authority policy as this will vary)
- **Action Plan** - follow up always required
- **Enforcement notice** - follow up always required
- **Enforcement notice 'fast track'** - close monitoring and follow up action always required. Additionally consider prosecution after applying both responsible person and strategic factors.

## 5. Part A Site Assessment

Part A of the form must be completed, or the information verified, on each occasion a premises is visited. Over time, much of the previously collected data will remain unchanged and the Inspector will only need to verify the information previously collected and amend if there are any changes. This part of the form gathers information for identification of the premises/contacts and for FSEC purposes.

### 5.1 Premises, use and responsible person details etc

In order to ensure accurate address identification, the basic premises address details will be generated by a gazetteer system to provide unique and accurate identification of buildings. Personnel should always use this to ensure that they input the correct location details. *(This makes the cross matching of premises in different databases more accurate).*

- Premises ID No. - This unique number is allocated by each Authority's fire safety risk management database to each individual premises record.
- Number of Occupiers - Enter the number of occupiers e.g. individual businesses or organisations within the building.

Note: If the premises are multi occupied, a separate form should be completed for each occupancy, with a further form to cover the building as a whole. The latter should include all common areas, and where necessary take account of any risks identified in the individual occupancies.

- Parent Child/Record Indicator - This indicates whether the record is a 'Child record' or a 'Parent record' i.e. in the case of a multi-occupied building each individual premises (part of building with an individual occupier) would be assigned as a 'Child record' within the fire safety risk management data base and the whole building envelope and common parts/systems would be a 'Parent record', the parent record links all the child records together.

Note: Consistent with FSEC methodology.

- Parent Premises ID. No. - This unique number is allocated by each Authority's fire safety risk management database to each individual Parent premises record.
- Site Record ID. Indicator - This indicates whether the record is a 'Site Record' in the FRA's fire safety risk management database i.e. in the case of large sites such as Hospitals which normally have several buildings contained within a boundary, each individual building can be linked together. This can have many advantages such as recording risk information that applies to all the site only once, etc.
- Site Record ID. No. - This unique number is allocated by each FRA's fire safety risk management database to each site record.

- Address Details of premises being audited - These will be allocated by the FRA's gazetteer, see 5.1 first paragraph
  - Building/Unit No. (area within building)
  - UPRN - Ideally this should be a unique premises reference number from the National Land and Property Gazetteer.
  - Property name
  - Road
  - Address (line 1)
  - Address (line 2)
  - Locality
  - Town
  - Post Code
  - Grid reference
- Name of Occupier - This will generally be the name of the company or organisation, rather than an individual.
- Registered Address of Occupier - For businesses that operate nationally or regionally, details of the company head office or company secretary are required. It is not necessary to seek the name of the individual company secretaries, just the registered address and other contact details. Nearly all companies will have their legal identity registered at Companies House and inspectors should, where there is any doubt, verify this information via the public information available at Companies House.
- Name & Registered Address of Owner - Only complete these where a building is in multi occupation, otherwise indicate 'N/A'. In some cases, premises are managed for the owner by a management company. Where this is the case, details of the agents should normally be recorded rather than the owner.
- Responsible Person Details - The audit should ideally be carried out in the presence of the Responsible Person, and their details are to be entered here.

Irrespective of whom the Inspector carries out the audit with, they will need to use their powers to identify the Responsible Person. This is a legal term, defined in Article 3 of the Fire Safety Order.

- Person Providing the Information - Provide details of the person giving the information. (See above, this may be the person traditionally recorded as 'the contact').

## 5.2 Occupants

This section looks at the occupancy of the building by times, occupancy group and the mobility of the occupants.

- Occupancy Profile – Identify/estimate the maximum number of persons that could be affected by smoke, heat & flame from a single fire within 30 minutes, **assuming no evacuation**. This should be entered alongside each time group by reference to the range groups A to E (or none) indicated at the top of this section on the form.
- *Maximum number of persons affected by smoke, heat & flame from a single fire within 30 minutes, assuming no evacuation*

This requires a judgment of the proportion of the building through which a fire and/or smoke may spread within the 30 minutes. The estimate should include the effect of fire or smoke stop doors but ignore the action of active fire suppression and smoke control systems, such as sprinklers and shutters, and/or any active firefighting intervention.

The assessment of 'compartment' should not be limited to the Building Regulations definition nor should personnel spend too much time making this judgment. A reasonable estimate is all that is required.

It should be borne in mind that where such a fire would affect the escape routes from a building, the maximum probable loss of life may include all occupants.

When carrying out a survey on an individual occupier in multi-occupied premises, separate audit forms should be completed for each occupier, as well as for the building as a whole. For the occupier's form, only give totals for the occupancy.

- Occupancy Type - The 'VO Number' (Valuation Officer Code number) and 'FSEC Group' will normally be generated automatically by the fire safety risk management database by entering the appropriate 'Supplementary line number' (each Authority's own premises type code).

If, however the occupancy has changed, update the supplementary line number on the database which should automatically update the other codes.

It should be noted that there may be more than one code that could apply, e.g. a shop with a large storage area, however, only the predominant use of the premises should be recorded.

- Description of Occupants - The information required is whether the predominant type of occupant is more or less vulnerable than the type of person most commonly found in the type of premises being assessed. Simply tick the box alongside the appropriate description.

### 5.3 Potential loss/risk

For all questions in this section, where a potential hazard is identified, brief written details can be recorded on the audit form.

The questions in this section are defined by specific criteria, rather than a personal interpretation by the responsible person. Answer 'Yes' or 'No' and where appropriate add brief details.

- Sole supplier – If the building being assessed is a commercial or public sector building which provides a high value or unique service, it should be identified in this section. Examples include manufacture of specific items in the UK or perhaps a specialist regional treatment centre only at certain hospitals.
- Exceptional Value – Properties with a value of close to or exceeding £100,000,000 (One hundred million pounds) should be included in this section. This approximates to the rebuilding and restocking of a large shopping precinct.
- Heritage Risk - Details should be provided in this section if the building being assessed is of national or international significance. There are no hard and fast rules but if the building is listed on the National Monuments Record it could be considered a heritage risk. The National Monuments Record is maintained by English Heritage and can be viewed on their website at [www.english-heritage.org.uk/](http://www.english-heritage.org.uk/)
- Community Loss – This question aims to identify buildings, which if involved fire could result in significant consequential loss to the local community. The building may be occupied by a large employer, if the business was unable to operate or even close many people would be affected (unemployed).

To qualify, the loss of the building/business must represent more than an inconvenience, the number of persons affected (unemployed) should be at least 100. Consideration should also be given to the likelihood of people being able to find alternative employment in the area. The destruction of a local school will be disruptive but alternative arrangements to educate pupils can normally be put in place quite quickly.

- Chemical site – Tick box if it is a chemical site but not a COMAH site and insert brief details and where appropriate make reference to other relevant documents such as 7(2) (d) information..

- Top Tier COMAH Chemical site – Tick box and insert brief details of main risks and make reference to relevant major incident plan etc
- Environmental Risk – Significant impact on the environment or community in the event of fire or other incident. This may be because of firefighting water run-off or because of the product stored or process undertaken. Examples might include a large fertiliser store.
- Property Loss – Complete only sub section 1 or 2.

The potential for loss due to an uncontrolled fire in the building of origin and the potential for loss due to fire spread from the building of origin to surrounding buildings assuming no intervention of any kind.

This requires a judgment to estimate the proportion of the building through which a fire and/or smoke may spread **ignoring** the action of active fire suppression and smoke control systems, such as sprinklers and/or any active firefighting intervention.

If the fire is likely to be confined to the room/compartment or floor or building of origin complete sub section 1 only, or if the fire is likely to spread beyond the building to adjacent premises, complete sub section 2 only.

- **'Firefighter Hazard'** - Where known, the inspector will need to establish whether the building or its contents could pose a risk to fire-fighters. Hazards might include:
  - Building construction that could lead to rapid structural collapse of walls, floors or ceilings, e.g. cladding panels, high bay storage racking etc.
  - Contents, e.g. hazardous chemical storage.
  - Processes, e.g. foundry work, gas or vapours under pressure.
  - Internal layout, e.g. large complex internal layout with or without restricted points of entry

## 5.4 Premises features

- Are there Fire-fighting facilities? – The inspector will need to identify specific features that are provided and maintained for fire-fighting purposes. Be careful not to confuse arrangements for means of escape e.g. a protected staircase, with dedicated firefighting provisions such as a fire fighting staircase.

If known, tick any of the facilities that are provided, and provide a short prose description where further clarification is needed, for example to identify a particular staircase that is a firefighting shaft.

'Is there an extract or positive pressure smoke control system?'

Does the building have smoke control systems designed to either prevent smoke entering, or extract smoke from, the means of escape and/or common areas? The most common of these systems are mechanical or natural extraction e.g. town centre developments, or pressurisation of staircases and escape routes.

The inspector will need to identify whether such a system exists, and where known, the exact nature of the system.

Note: Extra categories have been added to this section as the requirements for firefighters have changed in Approved Document B (ADB) i.e. Staircase with Firemain-B5 ADB 2007 and Dry Risers > 8 bar, Wet Risers > 8 bar.

- Is there an operating sprinkler system - If a sprinkler system is installed and is being adequately maintained, an estimate of the total floor area of the building, including all floors, covered by the system should be made and recorded on the form. It may be that only two floors in a four storey building are covered; in which case a figure of 50% should be recorded. The inspector should attempt to identify the purpose of the installation i.e. life safety or property protection.

Generally, life safety sprinklers, as fitted in Town Centre developments, will have dual valves, etc which will assist in identifying the grade of sprinklers fitted.

Note: Details of other fixed installations using water or other extinguishing media should not be entered on the form.

- Building features which may assist fire spread - The inspector will need to exercise professional judgement to assess whether there are any particular features that would adversely affect the normally expected spread of a fire. Where such features exist, either indicate in the tick boxes and provide a description as necessary.
- Monitored AFD Present - Is the fire alarm system connected to a call centre or via an auto-dialler? i.e. can a '999' emergency call be made, other than by the occupants of the building.
- Fire Warning System - The inspector's aim here is to establish whether or not the standard of the fire warning and/or detection system installed within particular premises is:
  - Adequate
  - Less than adequate – i.e. the occupants are at a greater risk than those in a similar building which has a standard system
  - More than adequate – i.e. the occupants are at less risk than those in a similar building which has a standard system

In most cases the warning system will be standard. Some standards for particular premises are benchmarked in the Guidance Documents published by the Government. However it should be borne in mind that in some buildings, a shout of 'fire', the provision of rotary gongs or whistles etc may be considered as 'adequate'.

For example, an L1 or L2 automatic fire detection system in a residential care premises would be 'adequate' as that is the standard expected for this type of occupancy. Similarly, a shout of 'FIRE' in a small single room factory unit, with minimal numbers, might also be adequate.

Similarly, an enhanced fire detection and/or warning system may be present, but where this has been provided to compensate for a deficiency in other areas e.g. the lack of two-door protection to an escape route, the provision should only be considered as 'adequate' as it does not make the building any safer than a standard installation with adequate measures provided elsewhere.

- Building Size - To answer this question, the inspector will need to estimate the building or occupancy floor area in the case of multi-occupied premises. Eg in a five storey single occupied premises with each floor being 100m<sup>2</sup> in area, the total building size would be 500m<sup>2</sup>. Similarly, if the form is being completed for an occupier in a multi occupied premises and that occupier only takes up two floors the figure should be entered as 200m<sup>2</sup>. Compare the above calculated total floor area with the figures given in Table 12, appendix 3, choosing the row for the correct FSEC occupancy group. The figure will fall into one of the seven size groups which should be ticked on the audit form.

- Height of building – Additional fields have now been added to this section of the form in order to align to changes to FSEC
  - Total number of storeys in the building - Enter the maximum height of the building including basements.
  - Note: This is the multiplier field for building size
  - Total number of basements in building - Enter the total number of levels of basements in building
  - Occupancy storeys - Only complete if multi-occupied, specify the actual storeys occupied by the organization including basements e.g. floors 5 to 8
  - Occupancy occupies - Enter number of storeys occupied by the organisation covered by this assessment e.g. floors 1 and 6 to 8 which would be 4 storeys
  - Note: Free text for FSEC
  - Occupancy basements - Enter number of basement levels used by this occupier where appropriate

## 6. Part C: Calculation of Relative Risk Level etc

### 6.1 Introduction

Part C of the audit form is used to bring together numerical values from the previous parts.

There are a series of other questions, relating to unwanted fire signals, local fire setting and sprinkler provision among others where a numerical value is either entered or automatically brought forward from other parts (see below).

Finally a relative life risk score is generated (in accordance with FSEC) which feeds into the table in Appendix 2, table 11 to produce a risk level between 'very low' and 'very high' for each FSEC category.

#### 6.1.1 Calculating the relative risk score

$$=3+\text{LOG}(C5)=\text{LOG}(\text{IF}(C4<-1,-1/C4,\text{IF}(C4>1,C4,1)))$$

*Where C4 = life risk score*

*And C5 = fire frequency*

The above FSEC formula and the recently revised fire frequency table below from Government guidance for the FSEC Toolkit – Calculation of other buildings fire frequencies by Mott MacDonald July 2006 which shows the empirical evidence utilised in arriving at the relative life risk score .



**Table 10 Calculation of other buildings fire frequencies (Mott MacDonald July 2006)**

Relative Risk matrix – fire safety inspection (no occupancy multiplier)

Occupancy	FSEC Societal risk fire rate per 1,000,000 buildings	Very High 1 = 10+	High 1 = 9 to 3	Medium 1 + 2 to -2	Low 1 + -3 to -9	Very low 1 = -10
Hospitals (A)	588	>6.77	6.72- 6.25	6.07- 5.47	5.29- 4.82	<4.77
Hostels (E)	167	>6.22	6.18- 5.70	5.52- 4.92	4.74- 4.27	<4.22
Care homes (B)	128	>6.11	6.06- 5.59	5.41- 4.81	4.63- 4.15	<4.11
HMO's ( C )	106	>6.03	5.98- 5.50	5.33- 4.73	4.55- 4.07	<4.03
Houses converted to flats (G)	106	>6.03	5.98- 5.50	5.33- 4.73	4.55- 4.07	<4.03
Purpose built Flats (D)	106	>6.03	5.98- 5.50	5.33- 4.73	4.55- 4.07	<4.03
Hotels (F)	77	>5.89	5.84- 5.36	5.19- 4.59	4.41- 3.93	<3.89
Shops (N)	63	>5.80	5.75- 5.27	5.10- 4.49	4.32- 3.84	<3.80
Other sleeping accommodation (H)	34	>5.54	5.49- 5.01	4.84- 4.24	4.06- 3.58	<3.54
Schools (M)	11	>5.05	5.00- 4.52	4.35- 3.74	3.57- 3.09	<3.05
Further Education (J)	11	>5.05	5.00- 4.52	4.35- 3.74	3.57- 3.09	<3.05
Public Buildings (K)	11	>5.05	5.00- 4.52	4.35- 3.74	3.57- 3.09	<3.05
Other buildings open to the public (P)	11	>5.05	5.00- 4.52	4.35- 3.74	3.57- 3.09	<3.05
Licensed Premises (L)	10	>5.02	4.97- 4.49	4.32- 3.72	3.54- 3.06	<3.02
Factories/Warehouses (R)	4	>4.62	4.57-4.10	3.92- 3.32	3.14- 2.67	<2.62
Other Workplaces (T)	4	>4.62	4.57-4.10	3.92- 3.32	3.14- 2.67	<2.62
Offices (S)	3	>4.47	4.42- 3.95	3.77- 3.17	2.99- 2.51	<2.47

This review has amended the relative risk matrix in appendix 2, table 12 (which was published in the previous audit guidance when the FSO was introduced) changing the range of some of the categories (very low to very high).

These changes were as a result of changes to the numbers of premises and the number of fires since the last review.

These calculations are normally undertaken by a fire safety risk management database and not the inspecting officer, they are only provided to enable the inspector and business to be aware of the underlying process and impacts of decisions made.

## 6.2 Management and other issues

- Fire Safety Management (Compliance Level Score) - Enter the compliance level score determined from Section B. If no Part B has been completed, select Fire Safety Management Not Assessed (code x) this should default to a zero score.

Note: The compliance level score of 1-5 generates a different score within the calculation. e.g. a compliance level score of 4 (poor for the occupancy) generates a calculation figure of +1 (see audit form for details).

- History of Fires - Do not rely entirely on recorded figures, as the premises may have had smaller fires not reported to the Fire and Rescue Authority.
- Unwanted Fire Signals - Similar to fires, check whether a premises has had any incidence of unwanted fire alarm signals, in addition to those recorded by the FRS.
- Known fire setting activity in the area - A history of local fire setting, even if only recorded as FDR3 fires will suggest an increased risk of arson.
- Where such activity is known, however, this should be discussed further with the Responsible Person giving general arson protection advice, to ensure that the premises, and ultimately the safety of those persons resorting are not adversely affected.
- Fire loading likely to assist with fire spread - Inspectors should use their professional judgement to assess the potential for fire spread. Matters to be taken into account are:
  - Compartmentation within the building.
  - Surface linings.
  - Presence of combustible materials and substances.
  - Lack of fire resistance or lack of maintenance of existing provisions.
  - Presence of flammable vapours, dusts or other materials.

Once assessed, this should be compared to the generic type of risk normally associated with that occupancy type. e.g. the presence of flammable vapour in a petroleum storage depot can be considered as normal for that occupancy, but a similar situation in a hardware shop would be classified as high.

- Water Supplies and Access for Firefighting - It is not the intention for the inspecting officer to have to carry out surveys of the water supplies, and similarly, there may be little or nothing that can be done to improve access for fire appliances.

It should be remembered that the data collected will have an overall influence on the risk presented by any particular premises, and where these two factors cannot be ascertained, the default indication should be 'average'.

- Total number of people in the premises at peak time - Simply tick the appropriate box. This question is directed at the maximum likely, or known, number of people in the unit or overall building depending on whether the audit is for the whole building or a particular occupier.

*This is not the same question as in Part A which relates to the occupancy of largest compartment etc.*

### 6.2.1 Building and occupant features

All the information in this section is brought forward automatically from other parts of the form if these sections have been completed correctly. The data includes building size, the mobility of the occupants, sprinkler coverage and fire warning systems.

## 7. Part D - Operational Site Specific Information (SSRI)

### 7.1 Introduction

CLG, CFOA, FiReControl and suppliers are currently determining the FiReControl Data Strategy required for sourcing, transformation and steady state management of data to support regional controls on the basis of relevant convergence products.

The following information (*in italics*) has been extracted from the CFOA Convergence Recommendation to FiReControl - Product 62: MDT Application detail – Site Specific Risk Information (SSRI) for your information, a commentary is provided in normal font where appropriate.

The purpose of Product 62 SSRI template is to allow the collection and display of information relevant to the initial attendance via appliance mobile data terminals (MDT's) "*The primary driver for this product is to ensure the health and safety of operational personnel*". This is of particular importance due to the recent tragic event which resulted in the death of firefighters.

For the above reasons the SSRI template has been added to the CFOA Fire Safety Audit form and process to allow FRAs to collate relevant risk information that can then be provided to the initial attendance of an incident in order to satisfy the interim solution indicated by SSRI Product 62.

### 7.2 Extract - Product 62: MDT Application detail & SSRI Information

*The long term objective, after FiReControl 'go live' is to have a national database in which all Site Specific Risk Information required through section 7(2)(d) of the Fire and Rescue Services Act 2004 is stored. The Site Specific Risk Information will be maintained and updated by FRAs and saved in the national database for distribution to RCCs, FRAs and MDTs.*

*Currently, all FRAs manage and maintain their own Site Specific Risk Information in various formats.*

*In preparation for 'go live' FRAs will need to begin the process of transferring their current information into a new format. This will involve entering information into a database or other template, depending on the technical solution. Fields will not be mandatory to complete, but will always appear in the same order on all MDTs.*

*However, the deadline for completing this task will not be before 'go live' if the existing solution is paper based and this can continue post RCC implementation. If re-formatted information is available and complete prior to go live, FRAs will be able to use it. FRAs with existing MDT solutions must complete this data transfer before go live.*

*The interim measure will be a document viewer provided in the technical solution which will be able to display the various document/image types currently used by FRAs.*

*This product is to provide a guide and template for Site Specific Risk Information displayed within an MDT. This is only one of a whole range of documents that may be required to address site specific risk requirements.*

*The MDT must have the ability to associate these documents and make them accessible to the user. This should be achieved by the user touching / selecting an icon within GIS to open the Site Specific document and other associated applications and documents. This could be achieved using other user interface methods. There will be other applications such as the Hazardous Material Information (see Product 54) which will also be used to support Site Specific Risk Information.*

*All information related to Site Specific Risks should also be available to the user by an alternative to the GIS icon (i.e. a search function and document index).*

*It is recommended that a Best Practice Group (BPG) is set up to assist the supplier in the final development of the front-end system. This will allow the opportunity for the sharing of previous learning and experiences with MDT systems. This will be essential to ensure that this fundamental feature of an MDT is presented in an appropriate and acceptable way for the end user.*

*All Site Specific Risk Information documents must be stored on the MRMS (regional controls mobilising resource management system) in order to meet Product 51 section D.9.1.f.i.*

*Any FRA that does not already have this information needs to start collating it according to the template set out below. These FRAs should use the Best Practice Group mentioned in A8 to help them plan the work and formats required and establish a consistent approach to risk assessment and the type of sites which should attract this level of information.*

*FRAs who have already created Site Specific Risk Information should work towards achieving a national consistent standard to the information.*

*This product should be read in conjunction with the other MDT products.*

*The primary driver for this product is to ensure the health and safety of operational personnel.*

*It is strongly recommended that the Site Specific Risk Information contains only information relevant to the initial attendance and all other information should be available as associated documents from this page.*

*If CAD plans or other images are the appropriate means to display information for any particular site, these must also be associated with the original document.*

### **7.3 Guidance to complete Part D**

The guidance for completion of Part D of the form is a copy of the guidance in Product 62, the information for each category is to be held as text and not as a coded field (the ideal way to hold data). Some of this data is collected in other parts of the form and could therefore be copied forward however; this may need to be supplemented by additional information for operational incidents.

It is proposed to limit the size of each category to 512 characters in order to comply with the requirements of 7.5.a.ii overleaf. If further information is required additional documents should be referred to e.g. CAD plans to comply with 7.5.b.i, in order to provide links to the relevant documents and enable them to be viewed e.g. major incident plans.

Most FRA's will store this information in their fire safety risk management databases, it is recommended that each category is held as separate database fields which would enable this data to be provided from FRA's to FiReControl and would enable FiReControl to populate the SSRI template on appliance MDT's when provided by FiReControl.

Storing of data as text is unfortunately not the most effective and efficient way of managing data however, at this time it is the only national product and should address the primary driver which is to ensure the health and safety of operational personnel on the incident ground in the interim.

## Notes:

1. The guidance overleaf is extracted from Product 62 with regard to the content of the various categories however, is not consistent with the template in the appendix to the product and to the draft FiReControl Data Strategy. Consequently the guidance has been amended slightly (re-ordered/categorised) to reflect the template e.g. individual construction section# is on template but is not indicated as a separate category in main product guidance document and the automated fire alarm indicator panel# is indicated as being a separate category in the guidance but not in the template.
2. Additionally the guidance could be clearer
3. Consequently this may need to be reviewed by CFOA Operations and Fire Control Data Strategy project team.

## 7.4 Key Sections to Site Specific Risk Information Documents

*This list is the recommended order of headings.*

*Note the numbers have been changed to align to appendix 1.*

*The content under these headings will vary depending upon the individual nature of the site.*

- Unique Reference Identifier: the UPRN to identify and locate site. See section 5.1
  - Document owner: this must identify the FRA document owner as well as the site.
1. Name and address of site (refer to Product 47, Gazetteer specifications and formatting) - See section 5.1
  2. Grid reference (12 figure) - See section 5.1
  3. Trade, business or use - See section 5.1
  4. Life Risk See section 5.2
    - a. Day/night
    - b. Type of occupancy (mobility of individuals etc)
  5. Hazards/risks: Identified to the particular site e.g.
    - a. Elements of the structure that will pose a hazard to fire-fighters (e.g. sandwich panels, unprotected steel panels, asbestos etc.)
    - b. Relevant elements of the structure that will effect operational planning (e.g. large glazed facades, staircases, lift shafts, atriums, voids etc)
  6. Any associated generic aide memoirs (i.e. brief version of the SOPs as described in Product 53) and including links to any other data sources i.e. COMAH
  7. Any other Control Measures specifically designed to address recognised hazards. e.g. special resources, special equipment, PPE etc.

8. *Operational considerations*

- a. *Any other site specific requirements e.g. salvage considerations*
- b. *Any special pre-determined instructions e.g. holding areas, rendezvous points etc*
- c. *Special access considerations for specific locations*
- d. *Any other as appropriate*
- e. *Listed buildings and heritage sites*

9. *Environmental considerations*

10. *Construction description #*

- a. *Type of construction*
- b. *Size (length, width, height normally in number of floors/storeys, basements)*
- c. *Compartmentation and Fire resisting construction*
- d. *Etc*

11. *Fixed installations*

- a. *Automated fire alarm indicator panel #*
- b. *Sprinklers, drenchers etc*
- c. *Dry/wet risers*
- d. *Ventilation systems*
- e. *Total flood systems*
- f. *Fire fighting safety features e.g. fire fighting shafts*
- g. *Other relevant engineered solution systems*

12. *Fire Fighting Medium*

- a. *All hydrants including private and public*
- b. *Emergency water supplies*
- c. *On-site foam installations*
- d. *Water meter bypass*
- e. *Other as relevant engineered solution systems*

13. *Contact/Specialist advice details*

14. *Pre-determined Attendance*

15. *CAD plan available (or major incident plan) reference no. - this is a new field which has been **added by ourselves** in order to comply with the recommendation to provide a link to other documents such as CAD plans (see 7.5.b.i).*

## 7.5 The Format Of The Site Specific Risk Information Should Comprise:

- a) *A main document following these specifications:*
  - i) *A detailed primarily text based document*
  - ii) *Ideally a maximum of 2 pages. If not, number of pages kept to a minimum.*
  - iii) *Succinct and bullet pointed wording*
  - iv) *Diagrams as appropriate*
  - v) *Digital images only if absolutely essential*
- b) *Associated documents as required*
  - i) *CAD plans (See Product 51 section D.2.)*
  - ii) *Aide memoirs (See Product 53)*
  - iii) *Other documents*
- c) *Fields that are not populated will be marked. E.g. 'field not populated' or 'no information available'.*

*Please note that the final appearance of the Site Specific Risk Information is dependant on the technical solution and how the information is to be stored (e.g. in a national database). That is currently being discussed see earlier commentary.*

## 7.6 Other related issues/actions arising

Several issues that should be considered by the inspector when collating this information are:-

- Only collect SSRI where necessary, not all fields will be applicable to all premises
- Bear in mind SSRI information is primarily for the Initial attendance
- Consider the urgency of this information. In addition to recording it in the fire safety risk management database the inspector may need to bring this to the attention of relevant operational personal and Fire Control as a matter of urgency by some other method (see relevant Authority policy).
- As a result of risk information discovered, action may need to be taken by the Inspector to mitigate that risk or the issue may need to be referred to operations for action.
- 7(2) d information card/form and visit by operations maybe required
- Frequency of visits will normally vary between fire safety and operational crews
- In the format proposed the SSRI information can be held against sites, individual buildings or in the case of multi-occupied buildings against premises i.e. parts of buildings
- Additional guidance is contained within the appendix 1 to Product 62 (see Appendix 1 of this document overleaf).



Appendix 1 Product 62 SSRI template

(Extract from original document proposed as part D amended slightly)

SITE SPECIFIC RISK INFORMATION		
<b>Unique Reference</b>	Number: *****	Document owner (FRA): *****
<b>1. NAME &amp; ADDRESS OF SITE</b>	<Format according to Product 47 Gazetteer specifications and formatting>	
<b>2. GRID REFERENCE</b>	***** (12 figure ref.)	
<b>3. TRADE, BUSINESS OR USE</b>	<Text >	
<b>4. LIFE RISK</b>	< Day / Night > < Type of occupancy (mobility of individuals etc) >	
<b>5. HAZARDS / RISKS</b>		
<ul style="list-style-type: none"> <li>Identified to the particular site</li> <li>If it is a chemical hazard then indication details should be provided here. Further information available in Product 54</li> </ul>		
<b>6. ASSOCIATED AIDE MEMOIRS</b>		
<ul style="list-style-type: none"> <li>&lt; See product 53</li> </ul>		
<b>7. CONTROL MEASURES</b>		
<ul style="list-style-type: none"> <li>E.g. special resources</li> <li>E.g. special equipment</li> </ul>		
<b>8. OPERATIONAL CONSIDERATIONS</b>		
<ul style="list-style-type: none"> <li>Any other site specific requirements e.g. salvage considerations</li> <li>Any special pre-determined instructions e.g. holding areas, rendezvous points etc</li> <li>Special access considerations for specific locations</li> <li>Etc</li> </ul>		

<b>9. ENVIRONMENTAL CONSIDERATIONS</b>	
<ul style="list-style-type: none"> <li>• As appropriate</li> </ul>	
<b>10. CONSTRUCTION DESCRIPTION</b>	
<ul style="list-style-type: none"> <li>• Elements of the structure that will pose a hazard to fire-fighters e.g. sandwich panels, unprotected steel panels, asbestos etc</li> <li>• Size (length, width, height normally in number of floors/storeys, basements)</li> <li>• Relevant elements of the structure that will effect operational planning (e.g. large glazed facades, staircases, lift shafts, atriums, voids, etc)</li> <li>• Etc</li> </ul>	
<b>11. FIXED INSTALLATIONS</b>	
<ul style="list-style-type: none"> <li>• E.g. Sprinklers, drenchers etc</li> <li>• Dry / wet risers</li> <li>• Ventilation systems</li> <li>• Total flood systems</li> <li>• Automated fire alarm indicator panel</li> <li>• Other relevant engineered solution systems</li> <li>• Etc.</li> </ul>	
<b>12. FIRE FIGHTING MEDIUM</b>	
<ul style="list-style-type: none"> <li>• E.g. Private hydrants</li> <li>• Emergency water supplies</li> <li>• On-site foam installations</li> <li>• Water meter bypass</li> <li>• Etc</li> </ul>	
<b>13. CONTACT / SPECIALIST ADVICE</b>	E.g. Chemical expert <Name>,  <Telephone number>
<b>14. PRE-DETERMINED ATTENDANCE</b>	

## Appendix 2 Relative Risk Matrix Reviewed

**Table 11: Relative Risk Level Matrix - Fire Safety Inspections**

Rules applied to display data - Relative Risk Rating box includes lower integer value, if 2 values from table fall into same box default to higher risk, VH and VL range keeps 2 boxes to allow for > or < values

Relative Risk Rating	Hospital	Care Home	HMO Tenement	Purpose Built Flats =>4 Storeys	Hostel	Hotel	House Converted to flats	Other Sleeping Accommodation	Further Education	Public Building	Licensed Premises	School	Shop	Other Premises Open to Public	Factory or Warehouse	Office	Other workplace
FSEC Group	A	B	C	D	E	F	G	H	J	K	L	M	N	P	R	S	T
8																	
7.75																	
7.5																	
7.25																	
7	▲																
6.75	VH																
6.5	H																
6.25	H	▲	▲	▲	▲		▲										
6	M	VH	VH	VH	VH	▲	VH						▲				
5.75	M	H	H	H	H	VH	H	▲					VH				
5.5	M	H	H	H	H	H	H	VH					H				
5.25	M	M	M	M	M	H	M	H	▲	▲	▲	▲	H	▲			
5	L	M	M	M	M	M	M	H	VH	VH	VH	VH	M	VH			
4.75	L	M	M	M	M	M	M	M	H	H	H	H	M	H			▲
4.5	VL	L	M	M	L	M	M	M	H	H	H	H	M	H	VH	▲	VH
4.25	▼	L	L	L	L	L	L	M	M	M	H	M	M	M	H	VH	H
4		L	L	L	VL	L	L	M	M	M	M	M	L	M	H	H	H
3.75		VL	VL	VL	▼	L	VL	L	M	M	M	M	L	M	M	H	M
3.5		▼	▼	▼		VL	▼	L	M	M	M	M	VL	M	M	M	M
3.25						▼		VL	L	L	L	L	▼	L	M	M	M
3								▼	L	L	L	L		L	L	M	L
2.75									VL	VL	VL	VL		VL	L	L	L
2.5									▼	▼	▼	▼		▼	L	L	L
2.25															VL	VL	VL
2															▼	▼	▼

**Appendix 3 TABLE 12 Floor Space Factors**

FSEC Group	M <sup>2</sup>						
	Extremely Small	Very Small	Small	Medium	Large	Very Large	Extremely Large
	-5	-4	-2	0	2	4	5
Hospitals	< 500	500 to 650	651 to 2000	2001 to 10000	10001 to 50000	50001 to 100000	> 100000
Care Homes	< 200	200 to 350	351 to 640	641 to 1500	1501 to 2500	2501 to 4500	> 4500
Houses in Multiple Occupation	< 30	30 to 80	81 to 300	301 to 700	701 to 2300	2301 to 20000	> 20000
Purpose Built Flats	< 1400	1400 to 3000	3001 to 5000	5001 to 8300	8301 to 10300	10301 to 12600	> 12600
Hostels	< 123	123 to 220	221 to 350	351 to 750	751 to 1900	1901 to 4000	> 4000
Hotels	< 201	201 to 350	351 to 650	651 to 1300	1301 to 3600	3601 to 9500	> 9500
Houses Converted to Flats	< 251	251 to 300	301 to 400	401 to 500	501 to 600	601 to 1000	> 1000
Other Sleeping Accommodation	< 51	51 to 90	91 to 140	141 to 360	361 to 1500	1501 to 4200	> 4200
Further Education	< 331	331 to 560	561 to 2000	2001 to 6000	6001 to 15000	15001 to 32000	> 32000
Public Buildings	< 101	101 to 200	201 to 350	351 to 950	951 to 2700	2701 to 7500	> 7500
Licensed Premises	< 151	151 to 250	251 to 400	401 to 700	701 to 1200	1201 to 2300	> 2300
Schools	< 201	201 to 400	401 to 1000	1001 to 2500	2501 to 6000	6001 to 13000	> 13000
Shops	< 61	61 to 130	131 to 200	201 to 500	501 to 1400	1401 to 6000	> 6000
Other Premises Open to the Public	< 101	101 to 175	176 to 300	301 to 1000	1001 to 3300	3301 to 8000	> 8000
Factories and Warehouses	< 101	101 to 260	261 to 715	716 to 2400	2401 to 7000	7001 to 15000	> 15000
Offices	< 100	100 to 200	201 to 400	401 to 1000	1001 to 2700	2701 to 9400	> 9400
Other Workplaces	< 51	51 to 100	101 to 300	301 to 600	601 to 700	701 to 800	> 800

## REVISED CFOA FIRE SAFETY AUDIT AND DATA GATHERING FORM

### Part A: SITE ASSESSMENT (MANDATORY)

Assessment Date    \_\_/\_\_/\_\_\_\_

Time    \_\_:\_\_

<b>Premises, Use And Responsible Person Details [FS Premises File Information]</b>				
Premises ID No.			Number of Occupiers: If more than 1, complete separate form for each occupier	
Parent/Child Record Indicator (only complete if Multi-Occupied)	Parent/Child	Parent Premises ID No.		
Site Record Indicator Y/N	Site Record ID No.			
Building /Unit No: Area within the building	UPRN No: (Unique Property Reference No. from National Land & Property Gazetteer)			
Property Name:				
Road: (Address line 1)				
Address line 2				
Locality				
Town:				
Post Code:	Grid Ref: 2 x 6 figures (max)	Easting	Northing	
Name of Occupier:				
Registered Address of Occupier:	Post Code:			
	Tel No:			
Name of Owner:				
Registered Address of Owner	Post Code:			
	Tel No:			
Responsible Person:	Name:		Position:	
	Tel No:		Mob No:	
	Email:		Fax No:	
Person Providing Information: If different from above	Name:		Position:	
	Tel No:		Mob No:	
	Email:		Fax No:	

[IRMP/FSEC Information] Occupants				
Enter range A= <20, B= 20 – 49, C=50-99, D=100-1000, E= >1000 or None option				
Occupancy Profile: Maximum number of persons affected by smoke, heat & flame from a single fire within 30 minutes, assuming no evacuation.	WEEKDAYS		WEEKENDS	
	0000 to 0400		0000 to 0400	
	0400 to 0800		0400 to 0800	
	0800 to 1200		0800 to 1200	
	1200 to 1600		1200 to 1600	
	1600 to 2000		1600 to 2000	
Occupancy Type:	FSEC Group		Supplementary Type Number (each Services)	
	V.O. Number: (Valuation Office)			
Description of Occupants: Predominant Type	Atypically mobile for this type of occupancy		- 2	
	Average mobility for this type of occupancy		0	
	Untypically vulnerable for this type of occupancy		2	
Potential Loss/Risk (see Service guidance for detail)				
<b>Sole Supplier in UK:</b> Providing high value or unique service or products:	If yes give brief details		Yes	No
Exceptional Value: Value of rebuild and restock:	If yes give brief details:		Yes	No
Heritage Risk: Building of National Importance or international significance.	If yes give brief details:		Yes	No
Community Loss: Exceptional value or impact to the community.	If yes give brief details:		Yes	No
Chemical Site:	If yes give brief details		Yes	No
Top Tier COMAH Site:	If yes give brief details		Yes	No

Environmental Risk: Significant impact on the environment or community in the event of fire or other incident	Yes	No		Tick one or more boxes below
			Biological	
			Chemical	
	If yes give brief details		Radiation	
			Nuclear	
			Air	
			Explosive	
			Water Contamination:	
Property Loss: Estimate the extent of fire & smoke damage arising from an uncontrolled fire and whether it is likely to be within or beyond the building of origin, and estimate the area of damage within the building.  (Note: Without fire fighting intervention of any description)  Only complete either sub section one OR sub section two	Sub Section 1 (tick area confined to & damage)		Tick one box below	Estimate damage within 50m <sup>2</sup>
	Confined to room or compartment of origin:			
	Confined to the floor of origin:			
	Confined to the building of origin:			
	Sub Section 2 (total area of damage only)			Tick one box below
			Less than 500 m <sup>2</sup>	
	Damage beyond building of origin		500 m <sup>2</sup> to 999 m <sup>2</sup>	
			1000 m <sup>2</sup> to 9999 m <sup>2</sup>	
			10000 m <sup>2</sup> to 100000 m <sup>2</sup>	
			Over 100000 m <sup>2</sup>	
Fire Fighter Hazard: Building or contents, which may pose a risk to fire fighters.  Details to be provided in relevant part of Part D	Yes	No		Tick one or more boxes below
			Hazchem	
			Basement	
	If yes give brief details		Unfenestrated compartment	
			Underground structure	
			Hazardous Processes	
			Highly Flammables	
			Explosives	
			Sandwich panels	
		Unstable structure		

Premises Features

Are there fire-fighting Facilities?       Details to be provided in relevant part of Part D	Yes	No		Tick one or more boxes below	
			Firefighting (Ff)shaft/s		
			Ff shaft/s with Ff lift		
	If yes give brief details		Staircase with Firemain		
			B5 ADB 2007		
			Dry Risers		
			Dry Risers > 8 bar		
			Wet Risers		
		Wet Risers > 8 bar			
		Other			
Smoke Control:  Is there an extract or positive pressure smoke control system covering means of escape and / or common areas?   Details to be provided in relevant part of Part D	Yes	No	If yes, give brief details	Tick one or more boxes below	
			Natural extract		
			Mechanical extract		
	-2	0	Both		
			Basement Clearance (ADB req't)		
		Pressurised			
Sprinklers:  Is there an operational sprinkler system?  Tick relevant box      Details to be provided in relevant part of Part D	Yes, 100% coverage		-20	If premises sprinklered	Tick one box below
	Yes, 90% coverage		-7	Yes, for life safety	
	Yes, 80% coverage		-4.2	Yes, for property protection	
	Yes, 70% coverage		-3	Yes, for both	
	Yes, 60% coverage		-2.33		
	Yes, 50% coverage		-1.9		
	Yes, 40% coverage		-1.6		
	Yes, 30% coverage		-1.4		
	Yes, 20% coverage		-1.23		
	Yes, 10% coverage		-1.1		
	No system		0		



<u>Fire Spread</u>	Yes	No	Tick one or more boxes below	
Building features which may assist fire spread			Atrium	
			Unprotected voids	
If Yes, Tick one or more boxes on the right	0.1	0	Unprotected ducts	
Details to be provided in relevant part of Part D			Surface spread of flame	
			Other	
<u>Monitored AFD Present</u>	Yes	No		
Fire alarm system connected to call centre or auto dialler?				
<u>Fire Warning System</u>	More than adequate			-2
Tick relevant box	Adequate			0
	Less than adequate			2
<u>Building Size:</u>  (see Table 12 for floor areas for different occupancy types)				

Height of building/premises	
Total Number of storeys in the building Maximum height of the building including basements Note: Must be a number for FSEC	
Total number of basements in building Total number of levels of <u>basements in building</u> Not used in FSEC	
Occupancy storeys: No of storeys used by this occupier Note: <b>Must be a number for FSEC.</b> This is the multiplier field for occupier. (Total area) = (building footprint) x (occupancy storeys) Enter number of storeys occupied by the organisation covered by this assessment e.g. <b>floors 1 and 6 to 8 which would be 4 storeys</b>	
Occupancy occupies: Only complete if multi-occupied Note: Free text for FSEC	Specify the <u>actual</u> storeys occupied including basements e.g. <b>floors 5 to 8</b>

Occupancy basements: No of basement levels used by this occupier where appropriate. Not used in FSEC. In FSEC (occupancy storeys) should include any basement storeys	Enter Number of levels below ground for this occupier Only complete if multi-occupied	
---	--	--

Name of assessor:	
Role:	
Service No:	
Signature:	

**PART B : REVISED FIRE SAFETY AUDIT**

**Risk Assessment**

<p><u>Safety Critical</u></p> <p>Has a suitable and sufficient Fire Safety Risk Assessment been carried out for the premises?</p>	<p><b>Article 9 - Risk Assessment</b></p> <p><i>“The responsible person shall make a suitable and sufficient assessment of the risks to which relevant persons are exposed to identify the preventive &amp; protective measures”</i></p>					
<p>Areas of consideration:</p> <p>Fire safety risk assessment undertaken, completed and available.</p> <p>Assessment is suitable and sufficient, covering all significant risks.</p> <p>Have persons identified as being especially at risk been identified? For example:-</p> <ul style="list-style-type: none"> <li>• Disabled people</li> <li>• Lone workers</li> <li>• Young persons</li> <li>• Contractors</li> <li>• Visitors</li> <li>• Location or process etc</li> <li>• Dangerous substances</li> </ul> <p>Evidence confirming the assessment is reviewed on regular basis</p>	<p>Notes:</p>					
<table border="1" style="width: 100%;"> <tr> <td style="width: 30%;">Responses validated?</td> <td style="width: 10%; text-align: center;">yes</td> <td style="width: 10%;"></td> <td style="width: 10%; text-align: center;">no</td> <td style="width: 10%;"></td> </tr> </table>		Responses validated?	yes		no	
Responses validated?	yes		no			
<p><b>Compliance Level</b></p>						
Broadly Compliant (Score 0)						
Non Compliant - Minor Deficiency/Risk (Score 5 for all groups)						
Non – Compliant – Major Deficiency/Risk (Score 10 for all groups)						

Significant Findings in Accordance with Part 3 Schedule 1

<p>Safety Critical</p> <p>Have any preventative and protective measures been implemented?</p>	<p><b>Article 10 – Principles of prevention to be applied</b></p> <p><i>“Where the responsible person implements any preventative and protective measures he must do so on the basis of the principles specified in Part 3 of schedule 1”</i></p>			
<p>Areas of consideration:</p> <p>The principles are;</p> <ul style="list-style-type: none"> <li>• Avoiding risks.</li> <li>• Evaluating the risks which cannot be avoided.</li> <li>• Combating the risks at source.</li> <li>• Adapting to technical progress.</li> <li>• Replacing the dangerous by non-dangerous or less dangerous.</li> <li>• Developing a coherent overall prevention policy which covers technology, organisation of work and the influence of factors relating to the working environment.</li> <li>• Giving collective protective measures priority over individual protective measures.</li> <li>• Giving appropriate instructions to employees.</li> </ul>	<p>Notes:</p>			
Responses validated?	yes	<input type="checkbox"/>	no	<input type="checkbox"/>
Compliance Level				
Broadly Compliant (Score 0)				
Non - Compliant - Minor Deficiency/Risk (Score 3 for all groups)				
Non – compliant – Major Deficiency/Risk (Score 5 for all groups)				

Fire Safety Arrangements

<p>Safety Critical</p> <p>Is there effective Fire Safety Management?</p>		<p><b>Article 11 - Fire Safety Arrangements</b></p> <p><i>“The responsible person shall make ... appropriate arrangements...for the effective planning, organisation control, monitoring &amp; review of preventive and protective measures”</i></p>		
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Effective management attitude to fire safety.</li> <li>• Clear company policy.</li> <li>• Effective emergency plan recorded where appropriate</li> <li>• Responsibilities clearly defined.</li> <li>• Effective systems of communication in place to inform employees and other responsible persons in multi-occupied premises.</li> </ul>		<p>Notes:</p>		
Responses validated?	yes			no
Compliance Level				
Broadly Compliant				
Non - compliant Minor Deficiency/Risk				
Non – compliant Major Deficiency/Risk				

Maintenance of Provisions

<p><u>Safety Critical</u></p> <p>Are fire safety provisions being adequately maintained?</p>	<p><b>Article 17 – Maintenance</b></p> <p><i>“Where necessary in order to safeguard the safety of relevant persons...the responsible person must ensure that the premises and facilities, equipment &amp; devices provided... are subject to a suitable system of maintenance...in an efficient state...in efficient working order and in good repair”</i></p>					
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Fire systems and equipment subject to suitable systems of maintenance.</li> <li>• Regular testing by competent person/s.</li> <li>• Evidence of maintenance available.</li> <li>• Extract systems subject to suitable systems of maintenance</li> </ul>	<p>Notes:</p>					
<table border="1" style="width: 100%;"> <tr> <td style="width: 30%;">Responses validated?</td> <td style="width: 10%;">yes</td> <td style="width: 10%;"></td> <td style="width: 10%;">no</td> <td style="width: 10%;"></td> </tr> </table>	Responses validated?	yes		no		
Responses validated?	yes		no			
<b>Compliance Level</b>						
Broadly Compliant (Score 0)						
Non - compliant Minor Deficiency/Risk (Score group A=8, B= 8, C=5, D=4)						
Non – compliant Major Deficiency/Risk (Score group A=15, B=15, C=10, D=8)						

Maintenance of Measures Provided for Protection of Fire-Fighters

<p><u>Safety Critical</u></p> <p>Are suitable arrangements in place to ensure that facilities, equipment and devices for use by or the protection of fire fighters under this Order or any other enactment, including any enactment repealed or revoked by this Order, are maintained in an efficient state, in efficient working order and in good repair?</p>	<p><b>Article (38) – Maintenance of measures provided for protection of fire-fighters</b></p> <p><i>“Where necessary...to safeguard the safety of fire-fighters in the event of fire, the responsible person must ensure...facilities, equipment and devices provided...use by or protection of fire-fighters...suitable system of maintenance...maintained... working order and in good repair”.</i></p>					
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Are testing and maintenance records available and up to date?</li> <li>• Are fire fighting shafts fully protected?</li> <li>• Are access boxes to dry/wet risers secured?</li> <li>• Are measures in place to ensure co-operation between occupiers for the maintenance of facilities?</li> </ul>	<p>Notes:</p>					
<table border="1"> <tr> <td>Responses validated?</td> <td>yes</td> <td><input type="checkbox"/></td> <td>no</td> <td><input type="checkbox"/></td> </tr> </table>	Responses validated?	yes	<input type="checkbox"/>	no	<input type="checkbox"/>	
Responses validated?	yes	<input type="checkbox"/>	no	<input type="checkbox"/>		
<p>Compliance Level</p>						
<p>Not Applicable (Score 0)</p>						
<p>Broadly Compliant (Score 0)</p>						
<p>Non – compliant (Score 3 for all groups)</p>						

Information to Employees

<p>Is adequate provision made to provide information to employees?</p>	<p><b>Article 19 – Provision of information to employees</b></p> <p><i>“The responsible person must provide his employees with comprehensible and relevant information”</i></p>					
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Risks to them identified from risk assessment.</li> <li>• Preventative and protective measures.</li> <li>• Appropriate procedures to be taken in the event of an emergency.</li> <li>• Nominate sufficient number of competent persons to secure evacuation.</li> <li>• Inform other responsible persons.</li> <li>• Young persons controls.</li> <li>• Provide information on dangerous substances.</li> </ul> <p>* Not applicable where no employees (e.g. HIMO'S)</p>	<p>Notes:</p>					
<table border="1"> <tr> <td>Responses validated?</td> <td>yes</td> <td><input type="checkbox"/></td> <td>no</td> <td><input type="checkbox"/></td> </tr> </table>		Responses validated?	yes	<input type="checkbox"/>	no	<input type="checkbox"/>
Responses validated?		yes	<input type="checkbox"/>	no	<input type="checkbox"/>	
<p>Compliance Level</p>						
<p>*Not Applicable (Score 0)</p>						
<p>Broadly Compliant (Score 0)</p>						
<p>Non – compliant (Score 1 for all groups)</p>						



Information to Employers and Employees

<p>Is adequate information provided to employers and employees from outside undertakings?</p>	<p><b>Article 20 – Provision of information to employers and the self-employed from outside undertakings</b></p> <p><i>“The responsible person must ensure that comprehensible and relevant information is provided to employees from outside undertakings and to ensure such employees from outside undertakings are provided with appropriate instructions and comprehensible and relevant information regarding any risks to that person”.</i></p>				
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Comprehensible and relevant information provided to employers from outside undertakings with regard to risks and preventative and protective measures.</li> <li>• Employees from outside undertakings provided with appropriate instructions and comprehensible and relevant information regarding risks to that person.</li> </ul>	<p>Notes:</p>				
<p>Responses validated?</p>	<table border="1"> <tr> <td>yes</td> <td><input type="checkbox"/></td> <td>no</td> <td><input type="checkbox"/></td> </tr> </table>	yes	<input type="checkbox"/>	no	<input type="checkbox"/>
yes	<input type="checkbox"/>	no	<input type="checkbox"/>		
<p>Compliance Level</p>					
<p>Broadly Compliant (Score 0)</p>	<p><input type="checkbox"/></p>				
<p>Non – compliant (Score 1 for all groups)</p>	<p><input type="checkbox"/></p>				

Co-operation and Co-ordination

<p>Is there adequate co-operation and co-ordination between responsible persons where there are two or more sharing responsibilities or have duties in respect of premises?</p>	<p><b>Article 22 – Co-operation and co-ordination</b></p> <p><i>“Where two or more responsible persons share, or have duties in respect of, premises (Whether on a temporary or a permanent basis) each such person must, co-operate, Take all reasonable steps to co-ordinate necessary measures, and provide information.</i></p>					
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Co-operation to enable compliance with requirements and prohibitions imposed by or under this Order.</li> <li>• Reasonable steps taken to enable compliance with requirements and prohibitions imposed by or under this Order.</li> <li>• Reasonable steps taken to inform other responsible persons with regard to risks.</li> <li>• In case of explosive atmospheres the person with overall responsibility for the premises has responsibility to co-ordinate the implementation of all relevant measures to protect relevant persons.</li> </ul>	<p>Notes:</p>					
<table border="1"> <tr> <td>Responses validated?</td> <td>yes</td> <td><input type="checkbox"/></td> <td>no</td> <td><input type="checkbox"/></td> </tr> </table>	Responses validated?	yes	<input type="checkbox"/>	no	<input type="checkbox"/>	
Responses validated?	yes	<input type="checkbox"/>	no	<input type="checkbox"/>		
<p>Compliance Level</p>						
<p>Not Applicable (Score 0)</p>	<p><input type="checkbox"/></p>					
<p>Broadly Compliant (Score 0)</p>	<p><input type="checkbox"/></p>					
<p>Non – compliant (Score 2 for all groups)</p>	<p><input type="checkbox"/></p>					

## Training

<p>Safety Critical</p> <p>Are employees being effectively trained?</p>		<p><b>Article 21 – Training</b></p> <p><i>“The responsible person must ensure that his employees are provided with adequate safety training”</i></p>	
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Induction training.</li> <li>• On transfer or working with new or changed risks.</li> <li>• New equipment or change with existing.</li> <li>• Introduction of new technology.</li> <li>• New systems of work.</li> <li>• Emergency procedures.</li> <li>• Safe practice.</li> <li>• Safe handling of dangerous substances.</li> <li>• Training for the evacuation of disabled people</li> <li>• Training being delivered by competent person.</li> <li>• Evidence of training available.</li> </ul> <p>* Not applicable where no employees (e.g HIMO'S)</p>		<p>Notes:</p>	
Responses validated?	yes	no	
Compliance Level			
*Not Applicable (Score 0)			
Broadly Compliant (Score 0)			
Non - compliant Minor Deficiency/Risk (Score group A=3, B= 2, C=1, D=1)			
Non – compliant Major Deficiency/Risk (Score group A=6, B=4, C=2, D=2)			

Dangerous Substances affecting General Fire Precautions

<p><b><u>Safety Critical</u></b></p> <p>Are suitable arrangements in place to manage the elimination or reduction of risks from dangerous substances?</p>	<p><b>Article 12 – Elimination or reduction of risks from dangerous substances</b></p> <p><i>“Where a dangerous substance is present ... the responsible person shall ensure that risk related to the ... substance is either eliminated or reduced as far as is reasonably practicable”</i></p>
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Adequate controls.</li> <li>• Control of ignition sources.</li> <li>• Mitigate detrimental effects.</li> <li>• Safe handling, storage &amp; transportation.</li> <li>• Elimination reduction controls.</li> <li>• Suitable signage &amp; safety information.</li> <li>• Particular account in risk assessment in respect of young persons.</li> </ul>	<p>Notes:</p>
<p>Compliance Level</p>	
<p>Not Applicable (Score 0)</p>	
<p>Broadly Compliant (Score 0)</p>	
<p>Non - compliant Minor Deficiency/Risk (Score group A=3, B= 3, C=3, D=3)</p>	
<p>Non – compliant Major Deficiency/Risk (Score group A=5, B=5, C=5, D=5)</p>	

Additional Measures for Dealing with Dangerous Substances Affecting General Fire Precautions

<p>Are there suitable additional emergency measures provided to safeguard all relevant persons from an accident, incident or emergency related to dangerous substances in or on the premises?</p> <p>Note: Not included as Safety Critical as failure in this article may mean a failure in Article 12</p>	<p><b>Article 16 – Additional emergency measures in respect of dangerous substances</b></p> <p><i>The responsible person subject to the risk assessment, must ensure that information on emergency arrangements is available, suitable warning and other communication systems are established, escape facilities are provided and maintained, provide information to relevant accident and emergency services and display information at the premises. In the event of an incident occurring take immediate steps and permit only essential persons to the affected area and provide PPE, specialised equipment and plant</i></p>
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Information on emergency arrangements is available.</li> <li>• Suitable warning and other communication systems are established to support response, remedial actions and rescue operations.</li> <li>• Information provided to accident and emergency services available and displayed at the premises.</li> <li>• Plans are in place for immediate steps to be taken in the event of an incident occurring.</li> <li>• Personal protective equipment, clothing, specialised equipment and plant provided available in case of an incident occurring.</li> </ul>	<p>Notes:</p>
<p><b>Compliance Level</b></p>	
<p>Not Applicable (Score 0)</p>	
<p>Broadly Compliant (Score 0)</p>	
<p>Non – compliant (Score 1 for all groups)</p>	

Safety Assistance

<p>Are there adequate number of competent persons and arrangements in place to assist the responsible person in undertaking the preventative and protective measures?</p>	<p><b>Article 18 – Safety assistance</b></p> <p><i>“The responsible person must...appoint...competent persons to assist him in undertaking preventive and protective measures”</i></p>	
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Sufficient number of competent persons appointed.</li> <li>• Sufficient training given to competent persons.</li> <li>• Co-operation between appointed persons.</li> <li>• Information given to non-employees.</li> <li>• Information to other employers.</li> <li>• Co-operation between responsible persons</li> </ul>	<p>Notes:</p>	
<p><b>Compliance Level</b></p>		
<p>Not Applicable (Score 0)</p>		
<p>Broadly Compliant (Score 0)</p>		
<p>Non – compliant (Score 1 for all groups)</p>		

## Means of Escape

<p><u>Safety Critical</u></p> <p>Is effective means of escape provided and maintained?</p>	<p><b>Article 14 – Emergency routes and exits</b></p> <p><i>Where necessary to safeguard the safety of relevant persons in case of fire the responsible person must ensure that routes to emergency exits ... and exits...are kept clear at all times and where required, to be adequately illuminated by emergency lighting.</i></p>
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Emergency routes and exits.</li> <li>• Safe and quick evacuation.</li> <li>• Number and distribution of emergency routes and exits, for relevant persons.</li> <li>• Direction of door openings.</li> <li>• Refuges where appropriate</li> <li>• Correct use of revolving doors.</li> <li>• Suitable door fastenings.</li> <li>• Signage.</li> <li>• Emergency lighting.</li> </ul>	<p><b>Notes: Indicate the areas of the premises inspected</b></p>
<p><b>Compliance Level</b></p>	
<p>Broadly Compliant (Score 0)</p>	
<p>Non compliant Minor Deficiency/Risk (Score group A 10, B 10, C 8, D 5)</p>	
<p>Non – compliant Major Deficiency/Risk (Score group A=26, B=26, C=20, D=13)</p>	

General Fire Precautions

<p><u>Safety Critical</u></p> <p>Are employers carrying out their general fire precaution responsibilities?</p>	<p><b>Article 8 - General Fire Precautions (see Article 4 meaning of general fire precautions)</b></p> <p><i>The responsible person must – Take such general precautions as will ensure, so far as is reasonably practicable, the safety of any of his employees or relevant persons</i></p>
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Measures to reduce the risk of fire and fire spread (Prevention and Compartmentation issues )</li> <li>• Measures for securing that at all material times the means of escape can be safely and effectively used (not covered by Article 14).</li> <li>• Portable appliance testing (PAT)</li> <li>• Fire Loading</li> <li>• Arson measures</li> </ul>	<p>Notes:</p>
<p>Compliance Level</p>	
<p>Broadly Compliant (Score 0)</p>	
<p>Non compliant Minor Deficiency/Risk (Score group A=7, B=7, C=4, D=3)</p>	
<p>Non-compliant Major Deficiency/Risk (Score group A=13, B=13, C=8, D=5)</p>	



## Fire Warning Arrangements

<p>Safety Critical</p> <p>Are effective fire warning arrangements provided?</p>	<p><b>Article 13 –fire warning</b></p> <p><i>“Where necessary...the responsible person must ensure that the premises are equipped with appropriate fire detection equipment,.....”.</i></p>	
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Appropriate system for the risk.</li> <li>• Audibility levels.</li> <li>• Appropriate levels of detection.</li> <li>• Management of unwanted fire alarm signals.</li> <li>• Commissioning / Installation certificates available.</li> </ul>	<p>Notes:</p>	
<p>Compliance Level</p>		
<p>Broadly Compliant (Score 0)</p>		
<p>Non compliant Minor Deficiency/Risk (Score group A=10, B=5, C=5, D=5)</p>		
<p>Non – compliant Major Deficiency/Risk (Score group A=26, B=13, C=13, D=13)</p>		

## Fire Fighting Equipment

<p>Are effective fire fighting equipment arrangements provided?</p>	<p><b>Article 13 –fire fighting equipment</b></p> <p><i>“Where necessary...the responsible person must ensure that the premises are equipped with appropriate .....fire-fighting equipment”.</i></p>
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Appropriate levels and standard of FFE.</li> <li>• FFE suitably positioned.</li> <li>• Suitable signage for FFE provided.</li> <li>• Nominated persons sufficiently trained in FFE available to them.</li> <li>• Contacts with emergency services regarding fire-fighting, rescue work, first-aid and emergency medical care.</li> </ul>	<p>Notes:</p>
<p>Compliance Level</p>	
<p>Broadly Compliant (Score 0)</p>	
<p>Non – compliant (Score 1 for all groups)</p>	

Evacuation

<p>Safety Critical</p> <p>Are there adequate procedures, including safety drills, in case of serious and imminent danger?</p>	<p><b>Article 15 – Procedures for serious and imminent danger and for danger areas</b></p> <p><i>“The responsible person must establish &amp; where necessary give effect to ...procedures...to be followed in the event of serious &amp; imminent danger to relevant persons, nominate...competent persons to implement procedures, inform &amp; instruct relevant persons concerned”</i></p>					
<p>Areas of consideration:</p> <ul style="list-style-type: none"> <li>• Appropriate procedures in place for evacuation in case of fire.</li> <li>• Safety drills.</li> <li>• Sufficient number of competent persons to manage evacuation e.g. Fire marshals and wardens appointed where appropriate</li> <li>• Have persons with a disability been taken into account?</li> <li>• Prevention procedures to restrict exposure of relevant persons to risk, unless trained.</li> <li>• Information and signage</li> </ul>	<p>Notes:</p>					
<table border="1" style="width: 100%;"> <tr> <td style="width: 30%;">Responses Validated</td> <td style="width: 10%;">Yes</td> <td style="width: 10%;"></td> <td style="width: 10%;">No</td> <td style="width: 10%;"></td> </tr> </table>	Responses Validated	Yes		No		
Responses Validated	Yes		No			
Compliance Level						
Broadly Compliant (Score 0)						
Non – compliant (Score group A=5, B=3, C=2, D=2)						

Fire-Fighters Switches for Luminous Discharge Tubes

<p>Has suitable notice been given to the fire authority regarding the installation of fire-fighters switches?</p> <p>“Prescribed voltage” means:          1000v AC or 1500v DC between two conductors.          600 v AC or 900 v DC between conductor and earth</p>	<p><b>Article 37 – Fire-fighters’ switches for luminous tube signs etc</b></p> <p><i>“This article applies to apparatus”          “designed to work at a voltage exceeding the prescribed voltage”          “The cut off switch must be”          “placed, coloured or marked as to satisfy” “the fire authority” The responsible person must give suitable notice to the fire authority showing where the cut off switch is to be sited, coloured or marked”</i></p> <p><i>Note This article does not apply to licensed premises authorised for the exhibition of a film</i></p>
<p>Areas of consideration:</p> <p>Are luminous discharge tubes fitted in the premises?          Are cut off switches provided?          Are cut off switches sited coloured and marked in accordance with current IEE Regulations?          Has correct notice been given to the fire authority?</p>	<p>Notes:</p>
<p><b>Compliance Level</b></p>	
<p>Not applicable (Score 0)</p>	
<p>Broadly Compliant (Score 0)</p>	
<p>Non – compliant (Score 1 for all groups)</p>	

General Duties of Employees at Work

<p>Are employees carrying out their general duties while at work?</p>	<p><b>Article 23 – General duties of employees at work</b></p> <p><i>Every employee must, while at work take reasonable care for the safety of himself and others, co-operate with their employer, inform their employer or any other employee with specific responsibility for the safety of his fellow employees of any hazard</i></p>	
<p>Areas of consideration:</p> <p>Reasonable care being taken by employees to prevent harm to others who may be affected by their acts or omissions at work.</p> <p>Employees co-operate with their employer to enable compliance with any duty or requirement.</p> <p>Are hazards identified by the employee reported to the employer or other employee with specific responsibility for safety?</p>	<p>Notes:</p>	
<p><b>Compliance Level</b></p>		
<p>Not Applicable (Score 0)</p>		
<p>Broadly Compliant (Score 0)</p>		
<p>Non – compliant (Score 1 for all groups)</p>		

Action - Add all the points from the above section enter below and use this in the 'Overall audit result' section overleaf to assess the overall level of compliance and initial enforcement expectation

<p>Total Score of previous sections</p>	
---	--

The following Articles do not attract a score and are for information only (primarily to inform Government IRMP Returns) however these issues should be considered when applying the EMM

Has the Responsible Person prevented an inspector from exercising their powers under this Article where a prosecution has <u>not</u> been taken		<b>Article 27 – Powers of inspectors</b>
		Notes:
Yes	No	

Has the Responsible Person failed to comply with any alterations notice served on the premises where a prosecution has <u>not</u> been taken			<b>Article 29 – Current alterations notices</b>
			Notes:
Yes	No	Not applicable	

Has the Responsible Person failed to comply with any enforcement notice served on the premises where a prosecution has <u>not</u> been taken			<b>Article 30 – Current enforcement notices</b>
			Notes:
Yes	No	Not applicable	

Has the Responsible Person failed to comply with any prohibition notice served on the premises where a prosecution has <u>not</u> been taken			<b>Article 31 – Current prohibition notices</b>
			Notes:
Yes	No	Not applicable	

Has the Responsible Person failed to comply with any other Article, <u>not</u> mentioned elsewhere on this form, where a prosecution has not been taken			<b>Article 32 – Offences</b>
			Notes: Please give details of which Article and details.
Yes	No	Not applicable	

Article 24 Secretary of State’s Power to make additional regulations about fire precautions			<b>Article 24 – Power to make Regulations</b>
			Notes: Please give details
Yes	No	Not applicable	

## OUTCOME OF AUDIT

### Initial Enforcement Expectation (IEE)

Tick relevant box and take score forward to part C of form.

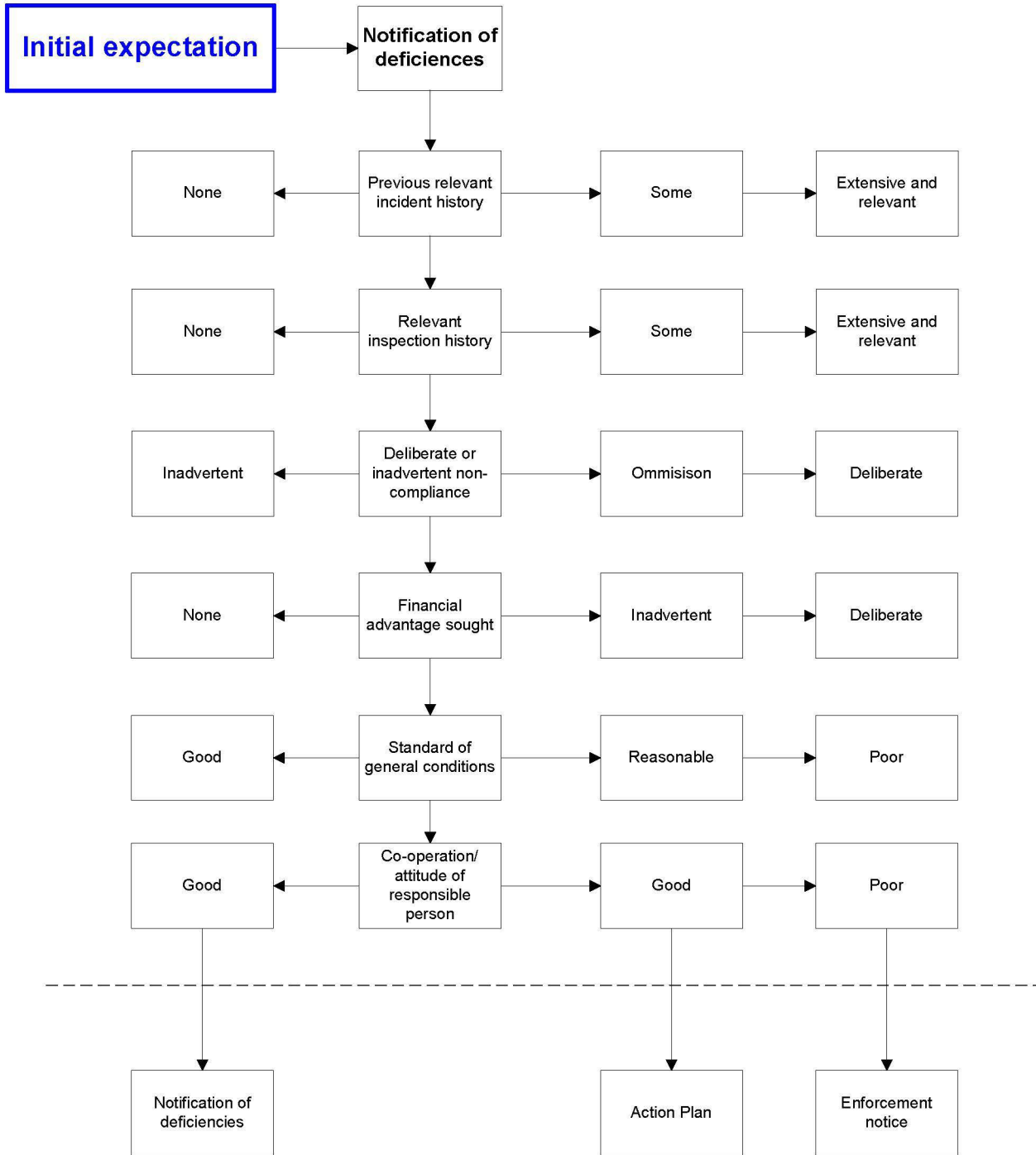
Compliance Level 1	Compliance Level 2	Compliance Level 3	Compliance Level 4	Compliance Level 5
Score of 0-25	Score of 26-35	Score of 36-45	Score of 46-55	Score of 56 plus
Broadly Compliant Inform & educate	Notification of <u>Minor</u> Deficiencies	Notification of Deficiencies	Enforcement Notice	Enforcement Notice 'Fast track'

### Notes

1. Action Plan is not an Initial Enforcement Expectation, this maybe an outcome of applying the EMM Responsible Person Factors see overleaf
2. The outcome of "Prohibition" has now been excluded and should be dealt with separately in accordance with current Service Policy

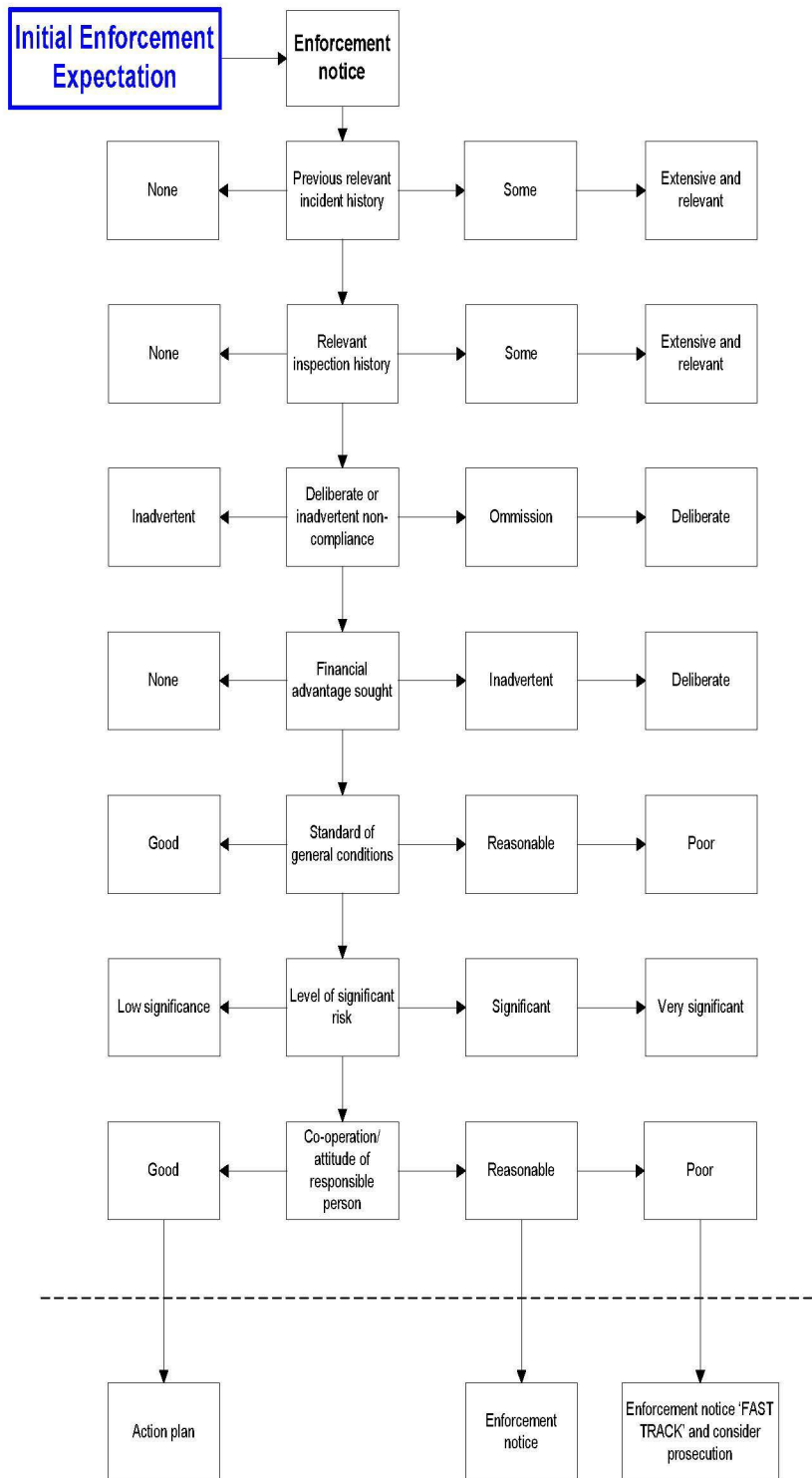
### Application of the Enforcement Management Model (EMM)

In all cases except compliance level 1 apply the responsible Person Factors to the Initial Enforcement Expectation (see overleaf) of the Enforcement Management Model in order to confirm the enforcement activity, if the outcome is compliance level 4 or 5 then the "Strategic Factors" should also be applied (see guidance for this audit and data gathering process).



**Predominate left sided answers should confirm a notification of deficiencies. Mostly answers in the 1st right column should produce an action plan whilst predominate far right sided answers indicates that an enforcement notice is appropriate.**





**Predominately left-hand sided answers should tend toward an action plan. If most answers are in the first right-hand column this should confirm the enforcement notice. Predominately far right-hand side answers indicates that a 'FAST TRACK' enforcement notice and prosecution may be appropriate. Apply EMM strategic factors**

Confirmed enforcement activity after application of EMM principles

Broadly Compliant Inform & educate	Notification of Deficiencies	Agreed action plan	Enforcement Notice	Enforcement Notice 'Fast track' and
	Letter of non- compliance			<u>*Consider prosecution</u>

\*Note: Ensure EMM Strategic factors applied/considered

If any variation from the outcome of the EMM process is considered by the inspecting officer this should be agreed with their line manager, if justified and agreed, the reasons for this should be recorded in box below.

Signature of Inspector:	Date:
Signature of Fire Safety Manager: (Following Management Review where necessary)	Date:

SUMMARY SCORING MATRIX

Safety Critical Articles/Risks						
Article Number	Description	Group A	Group B	Group C	Group D	Level of deficiency /risk
		Sleeping Unfamiliar	Sleeping familiar + Licensed	Public unfamiliar	Workplace familiar	
8	General Fire Precautions	13	13	8	5	Major
		7	7	4	3	Minor
9	Risk Assessment	10	10	10	10	Major
		5	5	5	5	Minor
10	Principles of prevention	5	5	5	5	Major
		3	3	3	3	Minor
11	Fire safety arrangements	5	3	2	2	Major
		3	2	1	1	Minor
12	Dangerous substances	5	5	5	5	Major
		3	3	3	3	Minor
13	Fire Warning/alarm	26	13	13	13	Major
		10	5	5	5	Minor
14	Emergency routes and exits	26	26	20	13	Major
		10	10	8	5	Minor
15	Procedures for imminent danger	5	3	2	2	
17	Maintenance	15	15	10	8	Major
		8	8	5	4	Minor
21	Training	6	4	2	2	Major
		3	2	1	1	Minor
38	Maintenance of Firefighters measures (risers, etc.)	3	3	3	3	
Other Articles/Risks						
Article Number	Description	Sleeping Unfamiliar	Sleeping familiar + Licensed	Public unfamiliar	Workplace familiar	N/A
13	Firefighting equipment	1	1	1	1	
16	Additional measures – dangerous substances	1	1	1	1	
18	Safety Assistance	1	1	1	1	
19	Information to employees	1	1	1	1	
20	Information to employers from outside undertakings	1	1	1	1	
22	Co-operation and co-ordination	2	2	2	2	
23	Employees duties	1	1	1	1	
37	FF switches for luminous tubes	1	1	1	1	
Max Score		128	109	89	77	

PART C: CALCULATION OF RELATIVE RISK LEVEL

Management and Other Issues				
Element	Description		Score	Score for this premises
<u>Fire Safety Management</u>  (Compliance Level Score) If no Part ( B) carried out select X = 0 Score	Level	Description of Fire Safety Management	Bring forward from Part B results of audit	
	1	Well above average	-2	
	2	Above average	-1	
	3	Average	0	
	4	Below average	1	
	5	Well below average	2	
X	Fire Safety Management Not Assessed		0	
<u>History of Fires</u>	None		0	
	Yes, 1 or more in the last three years		0.2	
<u>Unwanted fire signals</u>	None		0	
	Yes, 1 or more in the last 3 years		0.1	
<u>Known fire setting activity in the area</u>	None		0	
	Yes, 1 or more in the last 3 years		0.1	
<u>Features which may assist fire spread</u>	Bring forward from part A			
	None		0	
	Yes		0.1	
<u>Fire Loading which is likely to assist with fire spread</u>	Lower than average for the occupancy		-0.2	
	Average for the occupancy		0	
	Higher than average for the occupancy		0.2	
<u>Access for fire fighting</u>	Better than average for the occupancy		-0.1	
	Average for the occupancy		0	
	Poorer than average for the occupancy		0.1	
<u>Water supplies</u>	Better than average for the occupancy		-0.1	
	Average for the occupancy		0	
	Poorer than average for the occupancy		0.1	
<u>Total number of people in premises at peak time</u>	Less than 20		-0.1	
	Between 100 and 20		0	
	More than 100		0.1	
SUB TOTAL (A)			Calculate or Auto calculate	

<b>Building and Occupant Features</b>			
Element	Description	Score	Score for this premises
Building size:  (see Table for floor areas for different occupancy types)	Extremely small	-5	
	Very small	-3	
	Small	-2	
	Medium	0	
	Large	2	
	Very large	3	
	Extremely large	5	
Description of Occupants: <u>Predominant Type</u>	Bring forward from Part A occupancy table		
	A. ATYPICALLY MOBILE FOR THIS TYPE OF OCCUPANCY	-2	
	B. AVERAGE MOBILITY FOR THIS TYPE OF OCCUPANCY:	0	
	C. UNTYPICALLY VULNERABLE FOR THIS TYPE OF OCCUPANCY	2	
<u>Fire Warning System:</u>	Bring forward from Part A FWS section		
	D. MORE THAN ADEQUATE	-2	
	E. ADEQUATE	0	
	F. LESS THAN ADEQUATE	2	
Is there an extract or positive pressure <u>smoke control system</u> covering M of E and / or common areas?	Bring forward from Part A SC section		
	G. YES	-2	
	H. NO	0	
Is there an <u>operational sprinkler system</u> installed and maintained in working order?	Bring forward from part A sprinkler table		
	I. YES, 100% COVERAGE	-20	
	J. YES, 90% COVERAGE	-7	
	K. YES, 80% COVERAGE	-4.2	
	L. YES, 70% COVERAGE	-3	
	M. YES, 60% COVERAGE	-2.33	
	N. YES, 50% COVERAGE	-1.9	
	O. YES, 40% COVERAGE	-1.6	
	P. YES, 30% COVERAGE	-1.4	
	Q. YES, 20% COVERAGE	-1.23	
	R. YES, 10% COVERAGE	-1.1	
S. NO SYSTEM	0		

SUB TOTAL (B)	Calculate or Auto calculate
LIFE RISK SCORE (A brought forward +B)	Calculate or Auto calculate
RELATIVE RISK RATING (2 to 8) Note	Auto calculate
RISK LEVEL (VL to VH please note graphic equaliser reviewed May 2008)	Auto calculate
Signature of Assessor/Inspector:	Date:
Signature of Fire Safety Manager: <i>(Following Management Review Where Necessary)</i>	Date:

## Part D Operational Site Specific Risk Information

Note each field limited to 512 characters, if more information required refer to other document such as major incident plan or CAD plan etc

Part D should also be capable of being populated independently of Parts A, B and C.

OPERATIONAL SITE SPECIFIC RISK INFORMATION Relevant to the initial attendance		
Unique Reference	Number: Either replicate UPRN or use relevant number. See Part A	Document owner (FRS)
1. NAME & ADDRESS OF SITE	See Part A of form	
2. GRID REFERENCE	See Part A of form	
3. TRADE, BUSINESS OR USE	See Part A of form	
4. LIFE RISK	See Part C of Audit form	
5. HAZARDS / RISKS		
6. ASSOCIATED AIDE MEMOIRS		
7. CONTROL MEASURES		
8. OPERATIONAL CONSIDERATIONS		

<b>9. ENVIRONMENTAL CONSIDERATIONS</b>		
<b>10. CONSTRUCTION DESCRIPTION</b>		
<b>11. FIXED INSTALLATIONS</b>		
<b>12. FIRE FIGHTING MEDIUM</b>		
<b>13. CONTACT / SPECIALIST ADVICE</b>	Specialist expert name	
	Telephone number	
<b>14. PRE-DETERMINED ATTENDANCE</b>		
<b>15. CAD PLAN AVAILABLE (OR MAJOR INCIDENT PLAN) INSERT REFERENCE NO.</b>		



### 7.6.1 Key to Colour Coding

Key to colour coding		
	Pale green background	Premises file information
	Blue border	FSEC Data (any number indicates FSEC score for field)
	Bright green	Calculation
	Pale yellow background	Score taken/brought forward
	Pale Blue background	IRMP Data
	Bright yellow background	SSRI – Operational Site Specific Risk Information