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| **Fire Safety Information & Guidance Note** |  | **FSR Ref:** |
| **Fire Safety Audit**   * **Raising and Processing Mobile Jobs**   **• Completing the FS01 Audit Form**  **(FSIGN 201 provides an overview of the Audit process and enforcement actions)** |  | **FSIGN 203** |
|  |  | ***Old Inst.:*** FSIGN 203, 204, 205 |
| ***Issue date:*** June 2017 |
| ***200 Series:*** Fire Safety Audit |
| Summary  **The London Fire Commissioner (the Commissioner) is the fire and rescue authority for London. The Commissioner is responsible for enforcing the Regulatory Reform (Fire Safety) Order 2005 (as amended) (The Order).**  **This Note is intended for internal use, providing information and guidance on the Fire Safety Regulation (FSR) Fire Safety Audit, having due regard for applicable legislation including The Order. This guide provides detail on how to raise and process jobs and how to complete the fields on the FS01 audit form.**  **This Note is one of a series produced by the Prevention and Protection Policy and Strategy Group to provide additional advice and guidance to officers and Fire Safety Teams on various subjects related to their role.**  **Where appropriate this Note should be used for learning and staff development purposes.** | | |

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# Introduction

* 1. This FSIGN has been produced to describe how to raise and process mobile jobs and how to complete the FS01 audit form. It is intended to assist with consistency, but cannot cover every eventuality. If further guidance is needed the Fire Safety Inspecting Officer (IO) should contact Fire Safety Regulation (FSR) Policy.

# Sending and receiving mobile jobs

* 1. The Mobile Working Tablet (MWT) will receive and send jobs to/from Farynor when the MWT is synchronised, this is done manually via the Workload App.
  2. IOs can send jobs back to Farynor that have been marked as ‘Submit’, ‘Set for Team Leader review’ or ‘Send to desktop’. IOs can do this by selecting the relevant icon at the top of the audit form.
  3. When IOs synchronise their MWT the job will be sent back to Farynor to either the:
  + **Farynor file** (‘Submit’ icon):

Only to be used for jobs on ‘Other Premises’[[1]](#footnote-1) resulting in verbal action completed by competent IOs.

* + **Team Leader vetting area** (‘Set for Team Leader review’ icon):  
    All jobs for ‘sleeping vulnerable premises’[[2]](#footnote-2). **OR;**
    - * + All jobs resulting in a Notification of Fire Safety Deficiencies or above, **OR;**
        + All jobs resulting in a change of enforcement level as a result of applying the Enforcement Management Model (EMM), **OR;**
        + All jobs resulting in a change of RRL requested by an IO/FSA following a Broadly Compliant outcome, **OR;**
        + All jobs done by IOs on development
  + **IO desktop editing area** (‘Send to desktop’ icon):  
    Jobs that have been sent back to Farynor for editing on the desktop.
  1. If the save icon is selected on the audit form, the audit form is saved to the job on the fire safety audit app. Saved jobs will not be sent back to Farynor during synchronisation.
  2. It is recommended that IOs synchronise their MWT a minimum of three times a day (at the start, middle and end of the day) or more often if practicable. This is to receive new jobs, send completed jobs back to Farynor, download updates for the Apps, security and other software.
  3. The information recorded on the Location/Property detail tab is automatically uploaded to Farynor when the audit form is returned to Farynor (and approved by the Team Leader, where required).
  4. The only part of the Location/Property detail that is not automatically updated on Farynor is the contact details. Any deletions, additions or alterations on the contact detail will result in an automatic email being sent to admin to notify them the contacts tab on Farynor needs updating.
  5. If an IO visits a premises (that has a job already raised by Admin) and the address or Location/Property details are completely wrong. i.e. it is in a different borough, incorrect address due to inaccurate Gazetteer matching then the IO can raise a reactive job and ask Admin to delete the job previously raised.

# Raising and allocating mobile jobs

**Planned Audits**

* 1. IO/FSA can raise jobs to their own workloads. Before raising a job, IO/FSA must carry out a check of the Location, Property, and Contact sections of the Farynor file to ensure that it is set up correctly. If IO/FSA discover any mistakes, old data, or inconsistencies within the file that require change or correction, they must stop their creation attempt and contact admin with a request to make the correction and raise the job.
  2. It is also assumed that in most circumstances, a FS14 Desktop Audit job will have been raised to determine an initial assessment of risk.
  3. FSR Admin will raise planned audits (e.g.: programmed re-inspections, active risk targeting audits) and urgent audits (e.g.: audits in response to a post incident, an alleged fire risk or notice issued under Article 31).
  4. When FSR Admin raise a job they will:
  + Verify the location and property address against the Gazetteer.
  + Check the Location/ Property detail for any mistakes or inconsistencies. e.g.: FSEC code, valuation office code.
  + Enter a due start date.
  + Allocate the job to a Team Leader (or directly to IO if requested by Team Leader) and complete the relevant job steps.
  1. The Team Leader has responsibility for allocating mobile jobs to IOs but may be supported in the task by a delegated deputising officer. e.g.: Another Team Leader, Deputy Team Leader, Watch Manager A/B.
  2. Team Leaders should monitor individual IO workloads to ensure that IOs have an adequate number of jobs on their workload and that jobs are completed within the appropriate time frame for the job type.
  3. Team Leaders should monitor individual IO workloads and ensure that IOs get jobs suitable to their knowledge, skills and level of experience and training.
  4. Team Leaders should manage IO workloads to ensure that the team resources are being used effectively to achieve strategic and area targets.

**Reactive Audits**

* 1. When an IO is on-site and identifies a premises that they believe requires an immediate audit they can raise an IO ‘Reactive Audit’ by clicking on the ‘Reactive Audit’ icon (house and tree) on the home screen of the Fire Safety Audit App.

**Using ‘Search For’ Tool to raised ‘Reactive Audit’**

* 1. A dialogue box (‘address search’) will appear and the IO should enter either the: address, road name or postcode in the ‘Search For’ box and click the ‘Search’ button. The App will then communicate with Farynor/Gazetteer and offer existing Farynor Files, or a list of addresses from Gazetteer, that can be selected by the IO.
  2. The IO can view the addresses produced by the search on a map by clicking ‘view map’ or return to the search menu by clicking ‘search’.

**Property with an existing file number:**

* 1. When the address is selected it will show selected Farynor information for the property. This includes: use, last audit date, next audit date, compliance level, active jobs, UPRN, file number, address.
  2. IOs should select either create a job on the common parts (default property) or the occupier using the drop-down menu.
  3. This will automatically raise a mobile FS01 job on the property (either default or occupier) and open a new audit form with a UPRN, file number, pre-populated address and pre-populated Location/Property details held on Farynor from previous audits. This process happens immediately and no synchronisation is required.

**Property with no existing file number – Single occupancy (no child addresses):**

* 1. The Gazetteer will find the UPRN for the property. However, there will be no file number for the property.
  2. IOs can create a file number for the property by selecting whether the audit is on the common parts (default property) or the occupier.  
     **Note:** For single occupancy buildings IOs should select the default property.
  3. This will automatically create a file, raise a mobile FS01 job on the property and open a new audit form with the UPRN, file number and pre-populated address. There will be no pre-populated Location/Property details from Farynor on the form, as the property has not been previously audited. This process happens immediately and no synchronisation is required.

**Property with no existing file number – Multi occupancy (with child addresses):**

* 1. The Gazetteer will find the UPRN for the property. However, there will be no file number for the property.
  2. IOs cannot create a file number for the property and no FS01 job will be raised.
  3. However, IOs can open a blank audit form with just the address pre-populated in it. When the audit form is completed and approved by the Team Leader, Admin will create a file on Farynor and raise a FS01 job.

**Using ‘Use Manual’ Tool to raised ‘Reactive Audit’**

* 1. If no correct Farynor file or address is offered using the ‘Search For’ tool, the IO can use the ‘Use Manual’ address tool.   
     **Note:** IOs should always attempt to find the address using the ‘Search For’ tool before they use the ‘Use Manual’ address tool.
  2. IOs can type the full address into the Address Box and click the ‘Use Manual’ button which will open a new audit form with just the address pre-populated in it.
  3. IOs cannot create a file number for the property using this tool and no FS01 job will be raised. When the audit form is completed and approved by the Team Leader, Admin will create a file on Farynor and raise a FS01 job.

**Deleting Reactive Work**

* 1. Jobs without a file or job number can be deleted via the **Workload App** via the ‘Reactive’ tab. Reactive work shown here can only be deleted; it is created and edited through the ‘Fire Safety Audit’ App.

**Adopting an ‘Unallocated’ Job**

* 1. To minimise travelling and make better use of time and resources the **‘Workload App’** provides IOs with the ability to view and adopt ‘unallocated jobs’ that are on their Team Leaders workload queue. The ‘unallocated job’ function enables IOs to carry out more than one audit in an area or select another job if the audit they plan to do is not possible.
  2. To do this the IO selects the ‘unallocated jobs’ tab on the ‘Workload App’ home screen. The map will then display the unallocated jobs available on the Team Leaders workload queue.
  3. IOs can view the unallocated jobs on their Team Leaders workload queue by:
  + Using the **Centre to jobs** icon: This centres the map on the location of the unallocated jobs.
  + Using the **My position** icon: This centres the map on the IO’s current location and shows the nearest unallocated jobs to that location.
  + **Finding the location on map:** The IO can find a location on the map e.g.: a programmed re-inspection or post incident audit and find the unallocated jobs near to the chosen location.
  1. When the IO selects an unallocated job it is allocated to their workload and will appear on the IOs Workload App and Fire Safety Audit App within a few minutes.
  2. It is recommended that the IO researches and carries out pre audit checks on Farynor before adopting an unallocated job to ensure that it is appropriate for them to complete.  
     **Note:** Once a job has been adopted it cannot be sent back to the Team Leaders workload.
  3. The Workload App will prevent an IO adopting a job that has been adopted by another IO. The Workload App also prevents IOs on development from selecting an audit that is not appropriate to their level of experience and training.

# Vetting of mobile jobs

* 1. Team Leaders are required to vet jobs by reviewing the completed jobs on Farynor. Team Leaders should prioritise their vetting based on the IO’s level of competence, level of confirmed action and FSEC code/risk score. Vetting of audits resulting in an enforcement notice or audits for sleeping vulnerable premises should be made a priority.
  2. Team Leaders should vet the following jobs:
  + All jobs for ‘sleeping vulnerable premises’ e.g.: hospitals, care homes, hostels, sheltered housing, and hotels.
  + All jobs resulting in a Notification of Fire Safety Deficiencies or an Enforcement Notice.
  + All jobs resulting in a change of enforcement level as a result of applying the Enforcement Management Model (EMM). Or where the IO has deviated from the outcome of the EMM.
  + All jobs resulting in a change of RRL requested by the IO/FSA following a Broadly Compliant outcome.
  + All jobs done by IOs on development.

**Note:** Team Leaders are not required to vet jobs that result in verbal action for non-sleeping vulnerable premises done by competent IOs, unless the IO proposes to reduce or raise the RRL score

* 1. Team Leaders can make minor amendments to the audit form before approving it. A copy of the IO’s audit form and the audit form with Team Leader amendments will be kept on the documents tab on Farynor.
  2. Team Leaders can make amendments to audit forms before approving them by:
  + Going to the ‘Mobile Working – Review Jobs’ area on Farynor and filter/select the officer and Job.
  + Clicking on the red text to view the whole Audit Form or clicking on the pen icon to view the editable parts of the audit form. The editable parts of the form are:
    - * + Articles: ‘Failures’ and ‘remedy’ fields for the articles scored low or high risk.  
          **Note:** Broadly compliant articles cannot be edited.
        + Audit conclusion field.
        + Management Review field.

**Note:** Where a management review meeting takes place, the Team Leader should document notes in the management review field.

* + To edit a particular field they should select it from the home screen. When they finish they should click on the square at the top left hand corner of the screen to go back.
  + Team Leaders should commit the changes to the form and finish the form (once the Team Leader is satisfied with all the changes made). This is done by using the two red icons at the top right of the home screen:
    - * + Right: Commit the changes to the form. A pop up will let Team Leaders know the form has been saved.
        + Left: Finish the form. A pop up will give Team Leaders an option to finish or continue editing the form.
  1. Once the Team Leader has finished editing the audit form, the Team Leader can approve the job using the ‘Approve’ icon for the job in the ‘jobs to review’ area.
  2. If the audit form requires a number of amendments by the IO, the Team Leader can reject the audit form and send a note to the IO using the ‘Reject’ icon for the job in the ‘jobs to review’ area.

# IO desktop editing area

* 1. IOs can send audit forms back to Farynor to edit on the desktop. This function should only be used if the IO needs to draft a Notification of Fire Safety Deficiencies or Enforcement Notice (confirmed action level 2 and above).
  2. IOs can make amendments to audit forms via Farynor on the desktop PC before sending them to their Team Leader for review by:
  + Selecting the ‘send to desktop’ icon on the audit form on the Fire Safety Audit App and synchronising their MWT via the Workload App.
  + Opening Farynor and reviewing their workload home page. Underneath their workload there is an area called ‘IO desktop editing’, this is where the jobs sent from the MWT back to Farynor for editing are located.
  + Clicking on the pen icon to view the editable parts of the audit form:
    - * + Articles: ‘Contemporaneous notes’ and ‘failures’ and ‘remedy’ fields for the articles scored low or high risk.  
          **Note:** Broadly compliant articles cannot be edited.
        + Audit conclusion field.
  + To edit a particular field they should select it from the home screen. When IOs finish editing it, they should click on the square at the top left hand corner of the screen to go back.
  + IOs should commit the changes to the form and finish the form (once the IO is satisfied with all the changes made). This is done by using the two red dots, at the top right of the home screen:
    - * + Right: Commit the changes to the form. A pop up will let IOs know the form has been saved.
        + Left: Finish the form. A pop up will give IOs an option to finish or continue editing the form.
  1. Once the IO has finished editing the audit form, the IO can finish the form to send it to their Team Leader for vetting on the IO desktop editing workload.

# Completing the Progress Sheet – Workload App

* 1. There are limited occasions when the IO will need to complete entries in the Progress Sheet - which is accessed via the Job Tile in the Workload App. These are shown below in bold text.

**Note:** IOs must enter times in the audit form for ‘audit duration’, ‘post audit processing’ and ‘travelling time’. Job step 59, 60 or 60.1, 60.4, 80 and 90 or 100 is completed automatically on the progress sheet when the job is synchronised.

* 1. If a time is entered on the progress sheet (via Workload App) and on the audit form the job will not be sent from the MWT during synchronisation.

|  |  |  |
| --- | --- | --- |
| **Job Step** | **Description** | **Action** |
| **39** | **Create FS\_GEN\_01 form (mobile)**  **(Automatic)** | **Creates the FS\_GEN\_01 form.** Date automatically entered when FS\_GEN\_01 form is completed. Note: This cannot be completed if the FS01 audit form is created at job step 59. |
| **40** | **Audit not possible (Manual)** | **Enter date and time (if audit not possible)** |
| **40.1** | **Travelling time (Manual)** | **Enter date and time (only if audit is not possible/premises vacant)** |
| **40.2** | **Premises vacant (Manual)** | **Enter date (for premises vacant)** |
| **40.29** | **Apply average risk score (Manual)** | **Enter date** |
| **40.99** | **Cancel job (Manual)** | **Enter date** |
| **59** | **Create form (mobile only)**  **(Automatic)** | **FS01 form can be accessed here via the icon.** Date automatically entered when FS01 form is completed.  Note: This cannot be completed if FS\_GEN\_01 form is created at job step 39. |
| 60 | Audit of known premises (Automatic) | Date and time automatically entered from information entered in Audit Conclusion – ‘Audit Duration’ (on FS01 audit form). |
| 60.1 | Audit of unknown premises  (Automatic) | Date and time automatically entered from information entered in Audit Conclusion – ‘Audit Duration’ (on FS01 audit form). |
| **60.20** | **Send notification to station  (Manual)** | **Enter date if Station Notification sent.** |
| **60.3** | **PAI required – send form**  **(Manual)** | **Enter date if PAI referral made.** |
| 60.4 | Post audit processing.  (Automatic) | Date and time automatically entered from information entered in the Audit Conclusion Page on FS01) . |
| 80 | Travelling time  (Automatic) | Date and time automatically entered from information entered in Audit Conclusion Page on FS01). |
| 90 | Premises Broadly Compliant  (Automatic) | Date automatically entered from confirmed action in Audit Conclusion on FS01). |
| 100 | Premises Non Compliant  (Automatic) | Date automatically entered from confirmed action in Audit Conclusion on FS01. |

# Appendix 1 – FS01 Form (Location/Property Detail)

Location/Property Detail

**Location Detail**

The Location is usually the entire physical building or structure. However, the Location may also be a site consisting of related buildings/structures. *e.g: an industrial estate, university or hospital site.*  
Location detail comprises of information specific to the whole building or site. *e.g.: station ground, number of floors, number of staircases, FSEC code for the main use of the building/site etc.*An example of a Location: Westfield Shopping Centre, Ariel Way W12 7GF  **Property Detail**

The Property is an address within the Location. Where the Location relates to a building or site with separate occupiers they may be entered on Farynor as separate Properties.   
  
Property Detail comprises of information specific to the property *e.g.: occupier contact, address within the Location, FSEC code for the main use of the Property rather than for the Location as a whole.*

An example of a Property: Marks and Spencer’s, Unit 1201-1207 Westfield Shopping Centre, Ariel Way W12 7GF.

**Previously unaudited premises (unknown)**

For a previously unaudited premises, Location/Property detail will need to be collected and recorded on the FS01 audit form during the audit. This information will be automatically uploaded to Farynor when the audit form is returned to Farynor.

**Previously audited premises (known)**

For a previously audited premises, the information on the Location/Property Detail tab will be pre-populated from the information recorded on Farynor. During the audit, the IO should verify the pre populated information with the Responsible Person and on-site representative.

Relative Risk Level (RRL) Calculator   
When the initial expectation is generated the audit form calculate the RRL using the information recorded in the Location/Property Detail (marked RRL in tables below). The RRL does not appear on the audit form. However, the RRL will be recorded on Farynor when the audit form is returned to Farynor. The Re-inspection dates will also be automatically calculated by Farynor based on the RRL.  
For further information on the RRL system see [FSIGN 115: Relative Risk Level System.](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_115.doc)

FS01 Form - Location Detail

| **Field Title** | **Description and Guidance on Completion** |
| --- | --- |
| **File No.** (Auto Fill / Free Text) | A unique reference generated by Farynor in order to identify the file.  The File No. will be pre-populated on the audit form if there is a file on Farynor.  **Note:** IO reactive audits for multi occupancy buildings (with no existing file number) or IO reactive audits raised using the ‘use manual’ tool will not be given a file number until they are processed by admin. |
| **UPRN.**  (Auto-Fill/  Free Text) | **U**nique **P**remises **R**eference **N**umber. *e.g.: 10006711950*   This number is populated from the National Land & Property Gazetteer (Gazetteer) when a Location is verified on the main Farynor system making the Location uniquely identifiable at a national level. |
| **Building Name**  (Auto Fill / Free Text) | To record the name of the Building (Location).  The building name should always be included, where applicable.   |  |  | | --- | --- | | **Types of building name** | **Example** | | Name of the building | Hampton House or St Stephens Court. | | Range of flat numbers of a block of flats | Flats 7-14 Dolphin Square. | | Used to describe the Location i.e. Rear of 40-42 or the Land adjacent to 40-42 | Either ‘Rear of’ or ‘Land adjacent to’ should be entered in to the building name field. |   **Do not use:**   * **business / company name** However, if there is no other means of identifying the Location the business name may be used. * **abbreviations** enter the word in full.  e.g.:  House rather than HSE, Limited rather than LTD The **only** acceptable abbreviation in Farynor is the use of St (without a full stop) in place of the word Saint. * **full stops or apostrophes** e.g.:  ‘St. Stephen’s Church’ is incorrect it should be ‘St Stephens Church. |
| **Address** (Auto Fill / Free Text) | To record the Location address.   If the IO needs to enter the Location address manually they should follow the conventions below:   * **Door/unit number, street name.** e.g. 69-73 Borough High Street * **Town.** e.g. Beckton, St Johns Wood, Palmers Green * **County**. e.g. London, Surrey, Essex * **Postcode.** e.g. SE1 1NQ |
| **Use** (Drop Down)  **Mandatory** | To record the Use of the Location.   This should be for the major use of the Location.  e.g.:  A building has 10 floors. 8 floors are residential (FSEC D) and 2 floors are commercial (FSEC N).  The property use that presents the major use at the Location is FSEC D. |
| **Borough** (Drop Down)  **Mandatory** | To record the borough in which the Location is situated. |
| **Fire Safety Team**  (Drop Down) **Mandatory** | To record the fire safety team that covers the Location being audited.  e.g.:  Fire safety team, Transport team, Petroleum team and Peak activity team, Business Support Group. |
| **Station Ground** (Drop Down) **Mandatory** | To record the fire station ground where the Location is situated. |
| **Risk Score** (Auto-Fill)  **Mandatory** | To record the risk score of the Location.  Farynor completes this field automatically by selecting the highest risk score from all the properties attached to the Location. The audit form will have a pre-populated Location risk score if the premises has been audited before.  **Note:** Risk Score ‘0’ = for unknown or vacant/unoccupied property, ‘1’ = for use where The Order does not apply or Crown Premises, ‘9’ = Applied to the default of single occupiers. |
| **No. of Floors**  (Free Text)  **Mandatory** | To record the number of floors at the Location.   * **Total:** The total number of floors of the entire building including basements, mezzanines. * **Basement:** The number of basement levels in the building. The number of basements should be included in the Total. |
| **Special Features**  (Drop Down) | To record special feature(s) that may be applicable to the Location.  Select from the special features on the drop down list.  Provide detail on the special feature in the ‘Additional Detail’ field - Location Detail. |
| **Additional Detail**  (Free Text) | To record additional detail for the Location . This includes:   * detail on special features * detail on fire safety measures and/or systems that are not clearly apparent * information about the Location, which a specific field has not been provided for.   e.g.:   * Linked means of escape between Catford House and Deptford Tower. * Fire control centre on ground floor. L1 Voice alarm system. * Surrounding ground not suitable for Ariel pump ladder. |
| **Premises Description**  (Free Text) | To record a **general premises** description.  e.g.: 6 storey building. Ground and 1st occupied by a shop. 2nd-5th occupied by a college. Separate means of escape. Linked L3 alarm system, |
| **Environmental Risk** (Auto Fill/ Check Box) | To record the environmental risk at the Location. This field contains a summary of all the environmental risks present at the properties within this Location.  Farynor pre-populates this field by selecting the combined data held against any properties attached to the Location. Provided for information purposes only and cannot be updated. |
| **Estimate of number of persons sleeping**  (Free Text) | To record an estimate of the maximum of number of persons sleeping at the Location at any one time.  This field is to be used for all sleeping vulnerable premises. e.g.: Hospitals (FSEC A), Care Homes including sheltered housing, supported living, extra care (B), Hostels (E), Hotels (F) and Other Sleeping Accommodation (FSEC H).  **Note:** Not required for purpose built blocks of flats or general needs housing e.g. Purpose built blocks of flats (FSEC D), Flats Or Maisonettes Up To 3 Floors Purpose Built (FSEC H, Other Sleeping Accommodation) or House Converted – Flats (FSEC G). |
| **Re-inspection Date**  (Auto-Fill) | To record a re-inspection date for the Location.  Farynor pre populates the re-inspection date for the Location. Farynor automatically selects the next chronological re-inspection date from those entered against all the properties attached to the Location.  **Note:** Locations with a risk score below the sample line (risk score 5.0) do not receive a re-inspection date. |
| **Heritage Building**  (Drop Down) | To record if the Location is a heritage building.  To find out if a premises is a Heritage Building, IOs should check the Historic England [website.](https://www.historicengland.org.uk/listing/the-list/) If the Location is listed on the Historic England website as a listed building, the IO should select one of the following:   * **Grade I** * **Grade II\*** * **Grade II**   The Local Authority and/or English Heritage should be able to advise if there are any planning restrictions in place on heritage premises.  **Note:** Provide detail on any planning restrictions or special features of the heritage building in the ‘Additional Detail’ field - Location Detail . |
| **Petroleum Redevelopment site**  (Check Box) | To record if the Location is constructed on the site of former petroleum spirit tank installation (even if tanks have been removed). **Note:** The checkbox is automatically checked by Farynor if it is a petroleum redevelopment site. If the box has not been checked it is not a petroleum redevelopment site. This field should not be altered by the IO. |
| **Known fire setting in area**  (Check Box)  **RRL** | To record if there has been any deliberate fire setting (arson) at the Location in the **last 3 years.** Check box to indicate there has been deliberate fire setting (arson) at the Location in the last 3 years.  Information on fire setting in an area can be found by either:   * asking the responsible person and/or duty holder * looking for evidence of fire setting in the vicinity e.g.: abandoned vehicle fires, refuse fires, burning of street furniture etc. * [checking Postcode Lookup on IMS](https://app.powerbi.com/groups/me/apps/c846ad3c-94eb-4337-a0ef-99fce8ccbefe/reports/8cdd3cb5-5e67-4144-b6cd-549852e1f630/ReportSection?chromeless=true) |
| **Alterations Notice in place** (Auto Fill /Blank) | To record if an alterations notice is in place at the Location.  **Note:** The checkbox is automatically checked by Farynor if there is an alterations notice in place.  If the box has not been checked there is no alterations notice in place. This field should not be altered by the IO.  Any changes to this field should be done by Admin. IOs can inform Admin of any changes to this field via the ‘specific instructions for admin to action’ field on the audit conclusion tab. |

FS01 Form - Protection

The Protection detail relates to the Location.

| **Field Title** | **Description and Guidance on Completion** |
| --- | --- |
| **Fire Protection and warning system** (Drop Down)  **Mandatory**  **RRL** | To record information on the fire detection and warning system at the Location.  Consider what level of fire warning is appropriate for the premises/building when completing this field.  IOs should select the most appropriate description of the fire detection and warning system from the following options:   * **More than Adequate:** System provides a higher level of detection and warning than is required. The system must provide a clear benefit to relevant persons in case of fire. * **Adequate:** Suitable and sufficient for the premises. * **Less than Adequate:** Not suitable and/or sufficient for the premises.   e.g.: ‘Adequate’ does not necessarily mean an electrical fire alarm system to a relevant British Standard. In a small single occupier single storey premises, a shouted warning or a hand-bell may be ‘Adequate’ fire warning and an electrical fire alarm system could be considered ‘More than Adequate’.  Consider maintenance issues. If a system is present but there is no evidence that it is working or alterations have been carried out without consideration to their effect on the system, the system should be considered as ‘Less than Adequate’.  **Note:** Provide detail of the fire detection and warning system in the ’Additional Detail’ field– Location Detail. Where necessary, the local fire station should be notified if the fire detection and warning system is ‘less than adequate’ via a Station Notification Form (SFS\_A020\_a2a) found in New Office Documents. Refer to [FSIGN 113](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_113.doc) - Notification of fire safety information.  e.g.: where a prohibition or restriction notice has been served under Article 31. |
| **Unwanted fire Signals Count** (Free Text) **Mandatory**  **RRL** | To record the number of unwanted fire signals reported at the Location in the **last 3 years.** Information on unwanted fire signals can be found by either:   * asking the responsible person and/or duty holder * Log in to Power Bi (via LFB Data – desktop icon), then [paste this link into the address bar](https://app.powerbi.com/groups/me/apps/c846ad3c-94eb-4337-a0ef-99fce8ccbefe/reports/8cdd3cb5-5e67-4144-b6cd-549852e1f630/ReportSection?chromeless=true). |
| **Automatic Fire Detection: Remote monitoring/ auto dialler installed** (Check Box) | To record if the fire detection and warning system installed at the Location is connected to a remote monitoring centre or has an auto dialler installed.  Check box to indicate the fire detection and warning system is linked to remote monitoring/ auto dialler. |
| **Smoke Ventilation**  (Drop Down) | To record the type of smoke ventilation provided at the Location.  IOs should select the most appropriate description of how the smoke is ventilated or cleared by the smoke ventilation system:   * **Natural:** Automatic Opening Vent, Permanent Opening Vent, Openable Vent. e.g.: automatic opening window in staircase/corridor, grilles/louvers, openable windows. * **Mechanical:** Pressure differential system, smoke clearance system, temperature control system, smoke heat exhaust ventilation system. * **Impulse fans:** Jet fans, impulse ventilation, induction ventilation fans. e.g.: jet stream impulse fans, cyclone induction fans. * **Other**   **Note:** Provide detail on the smoke ventilation system in the ‘Additional Detail’ – Location Detail. |
| **Smoke Ventilation: covering MOE/ common areas?**  (Check Box)  **RRL** | To record if there is a smoke ventilation system covering the means of escape and/or common areas at the Location. Check box to indicate there is smoke ventilation: covering MOE/common areas at the Location.  **Note:** Consider maintenance issues. If a system is present but there is no evidence that it is working or alterations have been carried out without consideration to their effect on the system, the answer to this question should be ‘No’.  Once remedial works have been carried out to restore the system to full working order the answer to this question should be ‘Yes’. |
| **Are sprinklers installed?**  (Check Box) | To record if a sprinkler system is installed at the Location. Check box to indicate there is a sprinkler system installed at the Location.  **Note:** Consider maintenance issues. If a system is present but there is no evidence that it is working or alterations have been carried out without consideration to their effect on the system, the answer to this question should be ‘No’.  Once remedial works have been carried out to restore the system to full working order the answer to this question should be ‘Yes’. |
| **Sprinkler Type Installed** (Drop Down) | To record the type of sprinkler system installed at the Location. The IO should select the type of sprinkler system installed from the options below:   * **wet pipe** * **alternate** * **dry pipe** * **pre action** * **recycling** * **deluge** * **other**   **Note:** Inaccessible (greyed out) until check box ‘Are sprinklers installed? is checked.  Provide detail on the sprinkler type installed in the ‘Additional Detail’ – Location Detail. |
| **Sprinklers: % covered**  (Free text)  **Mandatory**  **RRL** | To record the percentage floor area covered by the Sprinkler system installed at the Location. This should be completed in increments of 10%.   Information on the percentage floor area of the Location covered by the Sprinkler system can be found by either:   * asking the responsible person and/or duty holder * checking the fire risk assessment, fire strategy or maintenance/ service records * making an estimate based on findings during the audit. *e.g.: if a 10 floor building has 3 floors covered by sprinklers, record this as 30%.*   **Note:** Inaccessible (greyed out) until check box ‘Are sprinklers installed? is checked. |
| **Any Sprinkler activations in last 3 years?**  (Check Box) | To record if there has been a sprinkler activation in the **last 3 years**.  Check box to indicate there has been a sprinkler activation in the last 3 years. If not known leave un checked.  **Note:** Inaccessible (greyed out) until check box ‘Are sprinklers installed? is checked. |
| **Number of false sprinkler activations?**  (Free Text) | To record the number of **false** **activations** of the sprinklersin the **last 3 years.**  If not known leave blank.  **Note:** Inaccessible (greyed out) until check box ‘Are sprinklers installed? is checked and ‘Any Sprinkler Activations in the last 3 years?’. |
| **Number of sprinkler activations due to fire?** (Free Text) | To record the number of activations of the sprinklers **due to fire** in the **last 3 years.**  If not known leave blank.  **Note:** Inaccessible (greyed out) until check box ‘Are sprinklers installed? is checked and ‘Any Sprinkler Activations in the last 3 years?’. |
| **Access for Fire Fighting?**  (Drop Down)  **RRL** | To record information on access for fire fighting at the Location.  Firefighting access will generally have been considered at planning stage. Access for fire fighting includes:   * vehicle access to perimeter including access to fire main inlets * vehicle access routes and hardstanding * fire fighting shafts (including fire fighting lifts) * consideration should also be given to car parking arrangements, the installation of bollards, gates or other security features.   IOs should consider the relevant benchmark standards for when the building was constructed and select the most appropriate from the following options:   * **Poor:** Inadequate provisions made for access for fire fighting. * **Average:** Adequate provisions made for access for fire fighting. * **Above Average:** The provisions made for access for fire fighting are above what is expected. The provisions provide a clear benefit to fire fighting operations.   e.g.:   * ‘Poor’ access for fire fighting would include: cars are parked to prevent a pumping appliance using the access road, the surrounding land will not support the weight of a pumping appliance. * ‘Average’ access for fire fighting would include: a suitably located fire hydrant and fire main provided. * ‘Above Average’ access for fire fighting would include: management procedures in place to designate a staircase (fire fighting shaft) for fire and rescue service personnel only.   **Note:** Provide detail of the ‘Poor’ access for fire fighting in the ’Additional Detail’ – Location Detail.The local fire station should be notified of the ‘Poor’ access for fire fighting via a Station Notification Form (SFS\_A020\_a2a) found in New Office Documents. Refer to [FSIGN 113](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_113.doc) - Notification of fire safety information. |
| **Water supplies**  (Drop Down)  **Mandatory**  **RRL** | To record information on the water supply at the Location.  Adequate water supplies to premises in London should be agreed at planning stage with the involvement of the Water Office. Water supplies include:   * provision of fire mains * hydrants * alternative source of water e.g.: static water tank, spring/river/canal/pond.   Information on water supplies can be found by:   * looking for hydrants and other water sources during the audit * [I mapping](http://imapping3/webmaplayers8) (start/business apps/imapping)   IOs should consider the relevant benchmark standard for when the building was constructed and select the most appropriate from the following options:   * **Poor:** Inadequate water supplies for the premises. * **Average:** Adequate water supplies for the premises. * **Above average:** Above average water supplies for the premises.   e.g.:   * The majority of premises will generally fall into the ‘average’ category. * ‘Above average’ may be a premises provided with an additional private fire hydrants. * ‘Poor’ may be a premises in a remote rural location not provided with a nearby fire hydrant.   **Note:** Provide detail of the ‘Poor’ water supply in the ’Additional Detail’ – Location Detail.The local fire station should be notified of the ‘Poor’ water supply via a Station Notification Form (SFS\_A020\_a2a) found in New Office Documents. Refer to [FSIGN 113](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_113.doc) - Notification of fire safety information. |
| **Special Features**  (Free Text) | To record information on any special features at the Location.  This field can be used to record information on:   * **fire engineered solution(s)** * measures applied under the application of **BS9999 and BS9991** * **trade off measure(s)**   e.g.:  smoke clearance within atrium, controlled fire load in the atrium base, sprinkler system on associated floor areas. |
| **No. of firefighting shafts** (Free Text) **Mandatory** | To record the number of firefighting shafts provided at the Location.  Fire fighting shaft as defined in Approved Document B – [Volume 1](https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/430645/BR_PDF_AD_B1_2013.pdf) and [Volume 2](https://www.google.co.uk/url?sa=t&rct=j&q=&esrc=s&source=web&cd=1&cad=rja&uact=8&ved=0ahUKEwiSnsCI1ObPAhVkJ8AKHU2VAm0QFggeMAA&url=https%3A%2F%2Fwww.gov.uk%2Fgovernment%2Fuploads%2Fsystem%2Fuploads%2Fattachment_data%2Ffile%2F441669%2FBR_PDF_AD_B2_2013.pdf&usg=AFQjCNGuHlnvglbsgQ69--IkiDzI5IrHFg) /[BS9999](http://hotwire-live/About_LFB/Documents_and_resources/Online_resources/Pages/default.aspx). Refer to these documents as necessary. |
| **Engineering Solution Applies**  (Check Box) | To record if a fire engineered solution(s) is installed at the Location.  Check box to indicate an engineered solution applies.  A fire engineered solution is a fire safety system/measure that maintains a tenable environment (taking in to account human behaviour and fire growth) for evacuation in case of a fire.  If **yes**, IOs should provide detail on the engineered solution(s) in the ’Special Features’ field- Protection. |
| **Trade Off Measures**  (Check Box) | To record if a trade off measure(s) is installed at the Location. Check box to indicate a trade off measure applies.  A trade off measure is provided in exchange for reducing another specified fire safety standard.  If **yes**, IOs should provide detail on the trade off measure(s) in the ’Special Features’ field- Protection. |
| **Type of evacuation procedure**  (Drop Down) | To record information on the evacuation procedure for the Location .   | **Type of evacuation** (drop down list options) | **Description** | | --- | --- | | **Simultaneous Evacuation** | All occupants evacuating the building simultaneously on activation of the fire alarm. | | **Phased Evacuation** | Evacuating different parts of the premises in a controlled sequence.  Usually parts of the premises at greatest risk of fire are evacuated first. | | **Staged Evacuation** (Partial or Zoned Evacuation) | Immediate evacuation of the areas of the building nearest the fire incident.  The fire alarm will sound an evacuation signal in one part of a building and an alert signal to the other parts. After a pre-determined time the evacuation signal may sound throughout the premises .  During staged evacuation it may not be necessary to evacuate the entire building depending on the building protection features, fire fighting and fire spread. | | **Progressive horizontal Evacuation** | Immediate evacuation of occupants from the affected compartment(s) to a compartment(s) remote from the fire.  If required, occupants should be able to commence evacuation into another adjoining compartment or a place of total safety | | **Stay Put** | Common strategy for purpose built blocks of flats, sheltered housing etc. Occupant(s) in the flat of fire origin evacuate but other residents not affected by smoke/fire to remain in their flats. | |

FS01 Form - Property Detail

| **Field Title** | **Description and Guidance on Completion** |
| --- | --- |
| **Occupier Contact** | To record the occupier contact of the Property. e.g.: AC Accountants Limited.  The occupier contact is auto filled from the information recorded in the organisation/business field for the occupier contact type.  **Note:** If the audit is of the common parts of a multi occupied premises, ‘Default property’ should be entered in to the organisation/business field, therefore this field will display ‘default property’. |
| **Address** (Auto Fill) | To record the address for the Property within the Location. |
| **Fire safety team** | To record the fire safety team that covers the Property being audited.  e.g.: Fire safety team, Transport team, Petroleum team and Peak activity team, Business Support Group. |
| **Occupancy Type**  (Drop Down) **Mandatory** | To record the type of occupier at the Property.   * **Sole Occupier:** Single occupancy * **Occupier – multi occupancy:** Multiple occupancy * **Crown owner** * **Crown occupier – multi/single** * **Crown owner not occupying** * **Unknown**   **Note:** Where the owner does not occupy the building, they should be recorded as a contact on the contacts tab. |
| **Use (FSEC)** (Drop Down)  **Mandatory**  **RRL** | To record the major use for the Property. |
| **Valuation Office** (Drop Down)  **Mandatory** | To record the Valuation Office Code (VOC) for the Property.  The VOC provides detail on the premises use and is primarily recorded for fire safety teams to obtain detailed information of the risk in their area.  **Note:** The VOCs displayed in this field will vary according to the FSEC code that has been selected for the Use. IOs must select the most appropriate VOC for the property. |
| **Primary Authority Premises**  (Check Box) | To record if a Primary Authority Partnership (PAP) is in place for the organisation/business occupying the Property.  Check box to indicate there is a PAP in place for the organisation/business being audited.  For further information on Primary Authority Partnerships, see [FSIGN 610: Primary Authority Schemes](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_610.docx). |
| **Partnership Type** (Drop Down) | To record the type of Primary Authority Partnership.  Select the type of partnership from drop down list:   * **Direct:** Where a single organisation has premises in differing authority areas, the organisation can apply for a direct partnership * **Coordinated:** Multiple businesses can apply, together, for a coordinated partnership: a franchisor and its franchisees; a sectorial trade association and its members; or a company group.   **Note:** Inaccessible (greyed out) until check box ‘Primary Authority Premises’ is checked. |
| **Lead Authority** (Drop Down) | To record the lead authority (fire and rescue service) for the Primary Authority Partnership.  IOs should select the relevant lead authority from drop down list. **Note:** Inaccessible (greyed out) until check box ‘Primary Authority Premises’ is checked. |
| **Risk Score** (Auto-Fill)  **Mandatory** | To record the risk score of the Property.  **Note:** A new risk score is automatically calculated by the audit form when it is completed. The risk score will be updated on Farynor when the audit form is returned to Farynor. |
| **Re-inspection Date** (Auto-Fill) | To record the date of the next programmed re-inspection for the Property based on the risk score generated for the Property.  **Note:** A Property with a risk score below the sample line (risk score 5.0) does not receive a re-inspection date. |
| **Total Capacity** (Free text) | To record the total capacity (safe occupancy capacity) of the Property.  Total capacity is dependant on factors such as occupancy floor space factors, number of exits, exit widths, application of BS9999 etc.  **Note:** This should be collected for places of assembly and licenced premises only. |
| **Property Size for Use m2** (Drop Down)  **Mandatory   RRL** | To record the property size for use (in m2).  This is obtained by reference to the “Floor Area Sizes By Occupancy Type” table shown in [Appendix 5](#_Property_Size_for). This refers to the size of the individual occupancy in square metres. e.g.:   * A single storey, single occupancy shop of10m x 10 m is 100 m2.  Appendix 5 states the property size for use is very small. * A 3 storey, single occupancy shop of 10mx10m is 300 m2.  Appendix 5 states the property size for use is medium.   e.g.:  If the audit is of a shop in a shopping centre, the area recorded here is that of the unit only (not of the whole centre).  If the audit is of the shopping centre (common parts), the area recorded here is that of the whole shopping centre. |
| **Predominant Mobility Type**    (Drop Down)  **Mandatory   RRL** | To record information on the predominant mobility type of occupants using the Property.  IOs should assess whether the predominant mobility type of occupant is more or less vulnerable than the type of person most commonly found in the type of property being audited.  IOs should select the most appropriate description from the following:   * **Atypically mobile:** Above average mobility for type of occupancy. * **Average:** Average mobility for type of occupancy. * **Un-typically vulnerable:** Below average mobility for type of occupancy.   The assessment should be made regardless of the evacuation arrangements made. e.g.:   * In an ordinary older persons care home you would expect a normal mix of ambulant and non-ambulant residents who would be of ‘average mobility’ for this type of occupancy.   However if the majority of residents were bedridden, the occupants would be ‘Un-typically vulnerable’.   * In a mainstream school you would expect a normal mix of ambulant and non-ambulant children of ‘average mobility’ for this type of occupancy.   However if it was a school for the blind the occupants could be considered ‘Un-typically vulnerable’. If it was a school for gymnasts the occupants could be considered ‘atypically mobile’.  **Note:** Provide detail of ‘un-typically vulnerable’ occupants in the ’Additional Detail’/’Special Features’ field– Property Detail. The local fire station should be notified if occupants are ‘un-typically vulnerable’ via a Station Notification Form (SFS\_A020\_a2a) found in New Office Documents. Refer to [FSIGN 113](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_113.doc) - Notification of fire safety information. |
| **Max No of people in premises.** (Drop Down)  **Mandatory**  **RRL** | To record information on the maximum number of people in the Property at any one time. Consider all building occupants including staff and public where applicable.  IOs should chose from:   * **Less than 20** * **Between 20-100** * **More than 100.** |
| **Building features that may assist in fire spread** (Check Boxes)  **RRL** | To record information on any building features that may assist in fire spread in the Property.  Check box to indicate if one of the following building features are present at the Property:   * **atrium** * **unprotected voids** * **unprotected ducts** * **other:** any other feature that may give rise to unrestricted spread of fire products through the premises e.g.: open staircases, lack of compartmentation, poor maintenance of fire doors etc.   **Note:** Provide detail of the ‘building features that may assist in fire spread’ in the ’Additional Detail’/’Special Features’ field– Property Detail. The local fire station should be notified of the ‘building features that may assist in fire spread’ via a Station Notification Form (SFS\_A020\_a2a) found in New Office Documents. Refer to [FSIGN 113](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_113.doc) - Notification of fire safety information. |
| **Fire Loading (which assists fire spread)** (Drop Down)  **Mandatory   RRL** | To record information on the fire loading (which assists fire spread). This is for the Property. IOs should consider the level of flammable storage/fire loading and consider what is expected for the occupancy of the Property.  IOs should select the most appropriate option from the following:   * **Lower than Average:** Fire Loading is lower than expected for the occupancy. * **Average:** Fire Loading is as expected for the occupancy. * **Higher than Average:** Fire Loading is more than expected for the occupancy.   e.g.:   * A fresh fish market may be ‘Lower than Average’ for a shop occupancy due to the fact that there is no highly flammable storage and possibly lots of ice. * A DIY shop may be ‘Higher than Average’ for a shop occupancy due to the presence of paints, solvents, timber etc.   **Note:** Provide detail of ‘Higher than Average’ fire loading (which assists fire spread) in the ’Additional Detail’/’Special Features’ field– Property Detail. The local fire station should be notified if there is a ‘Higher than Average’ fire loading (which assists fire spread) via a Station Notification Form (SFS\_A020\_a2a) found in New Office Documents. Refer to [FSIGN 113](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_113.doc) - Notification of fire safety information. |
| **History of Fires**  (Check Box)  **RRL** | To record if there has been one or more fires at the Property in the **last 3 years**. Check box to indicate there has been a fire at the Property in the last 3 years.   Information on the property’s history of fires can be found by:   * asking the responsible person and/or duty holder * [checking IMS Postcode lookup](http://ssrsvrt02/Reports/Pages/Report.aspx?ItemPath=%2fIMS%2fWarehouse%2fPostcode+Lookup+Report)   **Note:** Always use for post fire audits. |
| **Additional Detail/Special Features**  (Free Text) | To record ‘Additional Details /Special Features’ that are Property specific. This will include detail on property specific:   * special features e.g.:building features that may assist in fire spread * fire safety measures and/or systems that are not clearly apparent * information about the property, which a specific field has not been provided for e.g.: detail on un-typically vulnerable mobility type of occupants and higher than average fire loading (which assists fire spread). |
| **Environmental Risk** (Check Box) (Auto-Fill) | To record all the environmental risks present within the Property. |
| **General Site Lone Worker Risk** | To record information on Lone Worker Risk issues specific to theLocation/Propertyand detail of any guidance issued by Team Leaders.  **Note:** This information is to be reviewed for each audit to ensure the information and control measures are still appropriate. |
| **If Railway station – Number of Platforms.** (Free Text) | To record number of platforms (railway stations).  **Note:** Inaccessible (greyed out) unless the appropriate Use is selected. |

FS01 Form - Contacts

The contacts tab on Farynor provides a place to record the contact details of any individual, business, company or organisation that have an interest in the Property being audited. This data is used to populate the address details on Farynor template letters.

If contact details are already entered on Farynor they will be shown on the audit form on the contacts tab. The contact details can be edited by selecting the pencil icon on the contact tile or deleted by selecting the bin icon on the contact title.

**Note:** **Do not** make unnecessary alterations, additions or deletions. If contacts are altered, added or deleted, Admin will be notified by email to manually update the contact details on Farynor.

| **Field Title** | **Description and Guidance on Completion** |
| --- | --- |
| Contact Type **(Drop Down)** | Add one or more of the following:   * **Occupier:** To be used for all audits.  This is the name of the person, business or company that is the responsible person for the premises as defined by The Order. Each time a Property is added to the Location the occupier contact details must be completed.  e.g.: Fire Station – London Fire Emergency Planning Authority. Tesco Metro – Tesco PLC. **Note:** Where the common parts are audited, the occupier should be entered as ‘default property’. * **Owner/ Co-owner:** To be used if a Location has multiple occupiers. The owner contact details should be completed for the Default Property.  To be used if a Location is in shared ownership this contact type should be used to record the co-owners details.  **Note:** In the case of a single occupier there is normally no need to complete the owner’s details as the single occupier will normally be the responsible person for the purposes of The Order. * **Managing Agent:** To be used against the default property if the Location is managed on behalf of an owner/co-owner. e.g.: London Block Management. * **Licensee:** To be used if a licence under the Licensing Act 2003 is in force and the licensee’s details are different from those of the Occupier’s.  **Note:** Petroleum Licensees should be recorded under ‘Occupier’ not licensee. * **On-site Representative:** To be used where the occupier is a multi-site company and the ‘occupier’ contact type contains the details of a head office or registered address.  This will be used for a local contact person. e.g.: Store Manager. * **Other relevant contact:** Only to be used if a copy of correspondence needs to be sent to the relevant contact. e.g.: Licensing department, environmental health officer. * **Point of Contact (Schools):** To be used for schools only. |
| **Organisation/ Business** (Free Text) | This will be either:   * **For an occupier, owner or co-owner:** Name of the **responsible person** as defined by The Order.   **For a body corporate:** The full organisation name should be entered here. e.g.: AC Accountants Limited, London Borough of Southwark. **For a non body corporate:** The name of the individual(s) responsible for the business or company trading at the property being audited should be entered here.e.g.: Frederick Fleet trading as Fleet Bros Consultants.   * **For all other contact types:** Organisation name or in case of a sole trader their full name.e.g.: Sam Smith or Premier Corner shop.   Find full names and registered address of Body Corporates on: [Companies House ‘Webcheck’ service](https://beta.companieshouse.gov.uk/). Refer to [FSIGN 108](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_108.docx) - Standard for addressing letters, notices and invoices. |
| **Responsible Person onsite** (Free Text) | To record the name of the contact.  **Note:** This field **should not** be used where the premises is occupied by a multi-site organisation or where the ‘occupier’ contact type contains the details of a head registered office address.  In this case the name of the person the IO dealt with on-site should be recorded under the ‘on site representative’ contact type. |
| **Position** (Free Text) | To record the job title for the contact . e.g.: Health and Safety Advisor, Store Manager. |
| **Address** (Free Text) | To record the address of the contact :   * **Body Corporate:** Registered address of the body corporate. * **Not a Body Corporate:** The address of the individual(s) responsible for the business or company trading at the property. * **Other:** The address of the where the individual or company can be contacted. |
| **Telephone** (Free Text) | To record the telephone number of the contact . |
| **Mobile No.** (Free Text) | To record the mobile telephone number of the contact . |
| **E-mail** (Free Text) | To record the email address of the contact . |
| **URL** (Free Text) | Website (if applicable) |

Enforcement History

Note: The information on this tab is pre- populated from Farynor and is for information purposes only. This tab will be blank if there is no enforcement history. This field should not be altered by the IO.

Any changes to this field should be done by Admin. IOs can inform Admin of any changes to this field via the ‘specific instructions for admin to action’ field on the audit conclusion tab.

|  |  |
| --- | --- |
| **Field Title** | **Description and Guidance on Completion** |
| **Infringement Type** (Auto fill) | To record the detail of any previous enforcement history (including Notification of Fire Safety Deficiencies, Enforcement Notices, Prohibition/Restriction Notices, Alterations Notices, Prosecutions). |
| **Date of Infringement** (Auto fill) | To record the date of an infringement that is not a Prohibition/Restriction Notice or Prosecution. |
| **Prohibit/Restrict Date** (Auto fill) | To record the date a Prohibition/Restriction Notice was issued. |
| **Prosecution Date** (Auto fill) | To record the date of a Prosecution. |

# Appendix 2: FS01 Form (Safety Critical Articles)

Guidance on auditing, evaluating and scoring Safety Critical Articles

Safety critical articles **must** be audited, evaluated and scored for every audit.

There are no default scores for these articles. The article should be scored either: broadly compliant, low risk, high risk or not applicable (for article 21 only).

Where a deficiency (non compliance) is identified IOs should evaluate the risk posed by the deficiency to score the article either low or high risk. IOs should take in to account the following when scoring the article:

* + risk of fire (likelihood of a fire x severity of fire)
  + risk of harm to relevant persons in case of fire (likelihood of harm x severity of harm)
  + the fire safety management of the premises
  + how quickly the fire and products of combustion will be detected
  + how quickly the fire and products of combustion will spread
  + how quickly relevant persons will be able to escape in case of fire (before the conditions for escape become untenable).

Completing ‘Contemporaneous’ Notes.

IO’s can enter contemporaneous notes in the ‘Contemporaneous Notes’ field. This is done by entering text in to the ‘Append Contemporaneous Notes’ field and selecting the ‘+Append Note’ icon.

**Select the ‘+ Append note’ icon before switching tabs, sections or articles otherwise the text inserted in to the ‘append contemporaneous notes’ field will be lost.**

It is not automatically appended to the ‘Contemporaneous Notes’ field. IOs must append the note, using the ‘+Append Note’ icon.

Contemporaneous notes are time and date stamped to provide accurate evidence in case of a prosecution. Notes cannot be deleted once they are in the ‘Contemporaneous Notes’ field.

If the IO enters information that is later found to be incorrect the IO should append a new contemporaneous note stating the correct information.

e.g: 07/06/2016 10:20: No recorded fire risk assessment available on request.  
07/06/2016 11:00: Onsite representative found a fire risk assessment in the manager’s office. This was suitable and sufficient.

What to record in the ‘Contemporaneous Notes’ field.

|  |  |  |
| --- | --- | --- |
| **Score** | **What to record** | |
| **‘Sleeping Vulnerable’ Premises[[3]](#footnote-3)** | **‘Other’ Premises[[4]](#footnote-4)** |
| **Broadly Compliant** | A brief note is required to state why the IO has evaluated and scored the article broadly compliant. | No notes are required. |
| **Low/ High  Risk** | A description of the deficiency is required. | A description of the deficiency is required. |
| **Not Applicable** | No notes are required. | No notes are required. |
| **‘Set all** (safety critical articles) **to Broadly Compliant’ Icon** | Set all to Broadly Compliant icon is not available. | No notes are required under each safety critical article.  A brief note is required to state why the IO has evaluated and scored all the safety critical articles as broadly compliant. |

**Note:** In some cases there may be minor deficiencies noted under an article, however the risk of harm to relevant persons is negligible.

In these cases, the IO should educate and inform Responsible Persons of their duties under The Order and give fire safety advice. IOs should score the article as Broadly Compliant.

IOs should note the deficiency and make a note of any verbal advice given in the audit conclusion field.

For example, under article 9(6) or under article 11(2), the Responsible Person may have failed to record the prescribed information. However, there is no risk to persons posed by this failing. The IO can score the article Broadly Compliant. However, they must educate the Responsible Person on their duties under The Order. IOs should note the deficiency and make a note of any verbal advice given in the audit conclusion field.

e.g.: No recorded fire risk assessment. Told Responsible Person they need a recorded Fire Risk Assessment as they employ 15 people. GN66 emailed.

Completing ‘Identify Reason for Failure’, ‘Reason for Failure’ and ‘Remedy fields’.

If the IO scores an article as Low Risk, High Risk or Non-Compliant they should also select the reason for failure from the ‘identify reason for failure’ drop down list and ‘+ Add Note’.

Selecting ‘+ Add Note’ will generate a Reason, failure and remedy field. The ‘Reason’ field is automatically populated from the ‘identify reason for failure’ drop down list and the ‘Failures’ and ‘Remedy’ field will display standard model text.  
**Note:** IOs will not be able to generate an Initial Expectation without selecting a ‘reason for failure’ and adding a note.

After the application of the Enforcement Management Model (EMM) if the confirmed action is a Notification of Fire Safety Deficiencies or an Enforcement Notice the IO must add text to the ‘failures’ and ‘remedy’ fields in order to make them specific to the deficiency found. This will create an audit schedule.  
**Note:** For confirmed action - verbal action (level 1), the IO does not need to do this.

The ‘failures’ and ‘remedy’ fields can be edited on the desktop computer via Farynor. The audit form can be sent to Farynor for desktop editing by selecting the ‘send to desktop’ icon on the audit form. The IO can then edit the editable areas of the audit form in the IO editing area on Farynor.

Article 9: Risk Assessment

*‘The responsible person must make a suitable and sufficient assessment of the risks to which relevant persons are exposed for the purpose of identifying the general fire precautions he needs to take to comply with the requirements and prohibitions imposed on him by or under The Order.’*

**Examples of what the IO should consider when auditing Article 9**

* + **Fire hazards (risk of fire)**  
    e.g.: ignition sources, fuel sources and oxygen sources, dangerous substances.
  + **People at risk (including people especially at risk).**  
    Number of persons, location of persons, characteristics of persons.  
    e.g.: persons with disabilities, lone workers, people under the influence of alcohol or drugs, young children, persons at high risk of fire.
  + **Evaluate risk of fire and risk of harm to relevant persons in case of fire.**  
    e.g.: likelihood and severity of harm.
  + **Identify the general fire precautions taken and/or will be taken (preventative and protective measures).**  
    e.g.: control of ignition and fuel sources and management procedures, means of fire detection and warning and provision of fire-fighting equipment. Cooperation and coordination between responsible persons.
  + **Is the fire risk assessment recorded, where required?  
    Note:** There is no standard format for a fire risk assessment.
  + **Review**

**Evaluating and Scoring Article 9**

|  |  |
| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 9** |
| A fire risk assessment has been carried out and is suitable and sufficient.  A clear emergency plan is in place and is recorded where required.  Reviews are planned.  Where actions based on the significant findings of the risk assessment have been identified, they are addressed in an action plan with dates for completion.  Dangerous substances/ young persons have been considered, where applicable. | No fire risk assessment undertaken.  The responsible person and/or duty holder has no knowledge or understanding of general fire precautions or management of fire safety.  A fire risk assessment may have been carried out but is not suitable or sufficient.  The fire risk assessment has not been reviewed by the responsible person and/or duty holder.  The fire risk assessment is either no longer valid or there has been a significant change(s) to the premises and/or the use, process, activity and/or risk present on the premises.  Where actions based on the significant findings of the risk assessment have been identified, there is no coherent plan for implementation and/or dates for completion  Where a dangerous substance is present in or on the premises, it has not been considered in the fire risk assessment.  Where a young person is employed, it has not been considered in the fire risk assessment. |

**Note:** Where fire safety measures have been inherited from the building owner or previous occupiers or owners the IO should establish if the responsible person and/or duty holder understands the purpose of the general fire precautions in place and how to maintain and manage them.

Article 11 - Fire Safety Arrangements

*‘The responsible person must make and give effect to such arrangements as are appropriate, having regard to the size of his undertaking and the nature of its activities, for the effective planning, organisation, control, monitoring and review of the preventive and protective measures.’*

**Examples of what the IO should consider when auditing Article 11**

* + **Are there management systems in place to manage preventative and protective measures (general fire precautions)?**  
    e.g.: are there clear lines of responsibility for fire safety related matters? Are there fire safety management systems in place? Are competent persons appointed?
  + **Are the arrangements recorded, where required?**  
    e.g.: is there a fire policy document documenting roles and responsibilities for people involved with fire safety management?

**Scoring and Evaluating Article 11**

|  |  |
| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 11** |
| There is evidence of a suitable and sufficient management system in place.  The responsible person and/or duty holder has established and implemented effective arrangements for the planning, organisation, control, monitoring and review of preventative and protective measures.  The fire safety arrangements and/or management system is suitable and sufficient for the size, type and use of the premises.  The responsible person and/or the duty holder has recorded the arrangements in place, where required.  Any deficiencies or actions based on the significant findings of the fire risk assessment are addressed in an action plan with dates for completion. | There is no/inadequate management system in place.  The responsible person and/or duty holder has not established and implemented effective arrangements for the planning, organisation, control, monitoring and review of preventative and protective measures.  The fire safety arrangements and/or management system is not suitable and sufficient for the size, type and use of the premises.  The responsible person and/or the duty holder has not recorded the arrangements in place, where required.  Where deficiencies or actions based on the significant findings of the fire risk assessment are identified, they are not addressed in an action plan with dates for completion. |

Article 13 – Fire detection

*‘Where necessary…in order to safeguard the safety of relevant persons, the responsible person must ensure that…the premises are, to the extent that it is appropriate, equipped…with fire detectors and alarms… what is appropriate is to be determined having regard to the dimensions and use of the premises, the equipment contained on the premises…and the maximum number of persons who may be present at any one time.’*

**Examples of what the IO should consider when auditing Article 13 (fire detection)**

* + Where necessary, are appropriate fire detectors and alarms provided?
  + Does the alarm have a suitable and sufficient level of audibility? Are there a sufficient number of sounders/alarms? Will all relevant persons be warned in case of fire?
  + Are the fire detectors and alarms appropriate taking in to account: the features of the premises, the activity carried on there, any hazard present or any other relevant circumstance?
  + Consider means of giving warning to people with sensory impairments and/or people in noisy work environments or places of assembly.  
    e.g.: visual warning beacons, vibrating pads/pagers, sounders (that shut off music systems), voice alarm system.
  + Is there an established management procedure to monitor and manage unwanted fire alarm signals (false alarms)?

**Note:** If the fire detectors and alarm(s) meets the relevant British Standard, it will generally indicate that enough has been done to provide safety in case of fire (and to comply with The Order).

However, it is possible that safety can be achieved by alternative methods. IOs should use their professional judgement to assess if the fire detector(s) and alarm(s) provided are ‘reasonably practicable’ or ‘as reasonably required’ to provide for the adequate safety of relevant persons in case of fire.

i.e. a fire will be detected in its early stages by the method provided and all relevant persons will be warned and be able to make their escape before the means of escape become compromised by fire or the products of combustion.

**Deficiencies identified under this article may justify a prohibition/restriction notice under article 31 of The Order regardless of the compliance levels of the other safety critical/ optional articles.**

**Evaluating and scoring Article 13 (fire detection)**

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| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 13** |
| Where necessary, the premises is equipped with appropriate fire detectors and alarms.  The fire detectors and alarms are appropriate for the features of the premises, the activity carried on there, any hazard present or any other relevant circumstance. | Where necessary, the premises is not equipped with appropriate fire detectors and alarms.  An insufficient number of detectors and/or alarms have been provided.  e.g.: no sounders in basement to alert lone workers of a fire on the floors above.  Inadequate fire detectors and/or alarms have been provided.  e.g.: smoke detector in a kitchen or  people working in a noisy environment cannot hear the alarm over the noise and require a flashing beacon. |

Article 14 – Emergency routes and exits

*‘In order to safeguard the safety of relevant persons, the responsible person must ensure that routes to emergency exits from the premises and the exits themselves are kept clear at all material times (where necessary)’.*

There are also requirements that must be complied with in respect of the premises where necessary (whether due to the features of the premises, the activity carried on there, any hazard present or any other relevant circumstances) in order to safeguard the safety of relevant persons, refer to The Order, Article 14(2)(a)-(h).

**Examples of what the IO should consider when auditing Article 14**

**Where necessary:**

* + Can relevant persons escape quickly and safely in event of a fire?
  + Are the escape routes and exits kept clear at all times?
  + Is the emergency route adequately protected?
  + Do the emergency routes and exits lead directly as possible to a place of ultimate safety?
  + Are there a sufficient number of emergency routes and exits?
  + Are the emergency routes and exits suitably located and adequate widths for the number of people using them?
  + Are refuges provided?
  + Do exits and doors on escape routes open in the direction of escape?
  + Are sliding or revolving doors used as an emergency exit?
  + Are emergency doors locked or fastened? Are fastenings on emergency doors easily and immediately openable by any person?
  + Are emergency routes and exits indicated by signs?
  + Are emergency routes and exits provided with emergency escape lighting of adequate intensity in the case of failure of the normal lighting?

**Note:** If routes to emergency exit(s) and/or emergency exit(s) are obstructed during the audit, every effort should be made by the responsible person and/or duty holder to remove the obstruction while the IO is on site. If this is done the deficiency should be recorded under Article 11(1). However, if this is not possible the deficiency should be recorded under Article 14(1).

**Deficiencies identified under this article may justify a prohibition/restriction notice under article 31 of The Order regardless of the compliance levels of the other safety critical/ optional articles.**

**Evaluating and scoring Article 14**

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| --- | --- |
| Broadly Compliant | Examples of deficiencies under Article 14 |
| Routes to emergency exits and exits are kept clear.  Where necessary, emergency routes are adequately protected.  Emergency routes and exits lead directly as possible to a place of ultimate safety,  Sufficient number of emergency routes and exits.  Emergency routes and exits suitably located and adequate widths for the number of people using them.  Where necessary, refuges provided.  Where necessary, exits and doors on escape routes open in the direction of escape.  Sliding or revolving doors are not used as an emergency exit.  Emergency doors are not locked or fastened.  Fastenings on emergency doors are easily and immediately openable by any person.  Where necessary, emergency routes and exits indicated by signs. Where necessary, emergency routes and exits are provided with emergency escape lighting of adequate intensity in the case of failure of the normal lighting. | Routes to emergency exits and exits are not kept clear.  Where necessary, emergency route is not adequately protected.  Emergency routes and exits do not lead directly as possible to a place of ultimate safety,  Insufficient number of emergency routes and exits.  Emergency routes and exits are not suitably located and are not an adequate width for the number of people using them.  Where necessary, refuges are not provided.  Where necessary, exits and doors on escape routes do not open in the direction of escape.  Sliding or revolving doors are used as an emergency exit.  Emergency doors are locked or fastened.  Fastenings on emergency doors are not easily and immediately openable by any person.  Where necessary, emergency routes and exits are not indicated by signs. Where necessary, emergency routes and exits are not provided with emergency escape lighting of adequate intensity in the case of failure of the normal lighting. |

Article 15 – Procedures for serious and imminent danger and for danger areas

*‘The responsible person must establish and where necessary give effect to…procedures…to be followed in the event of serious and imminent danger to relevant persons, nominate…competent persons to implement procedures…inform and instruct relevant persons concerned’.*

**Danger area:** A work environment, which must be entered by an employee where the level of risk is unacceptable without taking special precautions. Such areas are not necessarily static in that minor alterations or an emergency may convert a normal working environment into a danger area.

**Note:** A person is regarded as competent for the purposes of implementing the evacuation procedures if they have sufficient training and experience or knowledge and other qualities.

**Examples of what the IO should consider when auditing Article 15**

* + Are there appropriate procedures in place for evacuation in case of fire (emergency evacuation plan)? This may include:
  + how to raise the alarm in case of fire.
  + action to be taken on hearing the alarm.
  + shut down procedures, where necessary.
  + summoning the fire and rescue service.
  + assembly point, roll call, sweeps.
  + staff roles and responsibilities .
  + contingency plan or business continuity plan.
  + Does the fire alarm system and compartmentation support the emergency evacuation plan adopted?
  + Have people with a disability been taken into account? e.g.: personal emergency evacuation plan (PEEP).
  + Has the responsible person and/or duty holder carried out drills to practise the emergency evacuation plan?
  + Are there a sufficient number of competent persons appointed to manage the emergency evacuation plan ?
  + Do competent persons have sufficient training, knowledge and experience to carry out their role?
  + If there are danger areas:
  + how are they managed?
  + what additional measures are in place?
  + have relevant persons been informed of the nature of the hazard and the steps to be taken?
  + are prevention procedures in place to restrict exposure of relevant persons to risk, unless trained?
  + is adequate information and signage provided?

**Evaluating and scoring Article 15**

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| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 15** |
| An appropriate emergency evacuation plan is in place.  The emergency evacuation plan has been implemented, when required.  e.g.: following a fire or false alarm.  Where necessary, fire drills are carried out .  Sufficient number of competent persons are nominated to implement the emergency evacuation plan.  e.g.: fire wardens, person to carry out sweeps, person to carry out roll call.  Persons nominated to implement the emergency evacuation plan have received adequate training/experience/knowledge.  Danger areas are adequately assessed and where applicable, any relevant persons:   * allowed in restricted access areas have received adequate safety instruction. * have the knowledge and technical means to stop work and immediately proceed to a place of safety in case of fire. * are prevented from resuming work in any situation where there is still a fire condition. | No emergency evacuation plan.  Unsuitable emergency evacuation plan.  The emergency evacuation plan was not put in to practice, when required.  Where necessary, fire drills have not been carried out .  Insufficient number of competent persons nominated to implement the emergency evacuation plan.  Persons nominated to implement the emergency evacuation plan have not received adequate training/experience/knowledge.  Danger areas are not adequately assessed , where applicable. |

Article 17 – Maintenance

*‘Where necessary in order to safeguard the safety of the relevant persons the responsible person must ensure that the premises and any facilities, equipment and devices\* provided…are subject to suitable system of maintenance and are maintained…in efficient working order and in good repair.’*

**Examples of what the IO should consider when auditing Article 17**

* + Are facilities, equipment and devices provided in connection with general fire precautions maintained in an efficient state, working order and in good repair?
  + Are facilities, equipment and devices subject to suitable systems of maintenance?
  + Is regular testing and maintenance carried out by competent person/s?

**Examples of what should be tested and maintained:**

* + fire detection and warning system
  + portable fire extinguishers and automatic fire suppression system
  + fire doors/shutters/fusible links
  + emergency escape lighting
  + external metal escape stairs
  + self-closing devices to fire doors
  + compartmentation and fire separation
  + protected routes including flat front doors
  + any other applicable equipment that requires testing and/or maintenance.

Where there is one or responsible person and/or duty holder, arrangements must be made to ensure facilities, equipment and devices are maintained in an efficient state, working order and in good repair.  
e.g.: multi occupied building with shared fire safety systems and means of escape.

**Note:** IOs cannot penalise the responsible person and/or duty holder under this article for fire safety measures they do not have.  
e.g.: a missing fire door cannot be recorded as a maintenance failure because it is not there to maintain.

**Evaluating and scoring Article 17**

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| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 17** |
| Facilities, equipment and devicesprovided in connection with general fire precautions are maintained in an efficient state, working order and in good repair.  Facilities, equipment and devices are subject to suitable system of maintenance.  There is regular testing and maintenance carried out by competent person/s.  Where the premises being audited forms part of a building, the responsible person and/or duty holder have made arrangements with the occupier/owner of any other premises forming part of the building for the purpose of maintaining the facilities, equipment and devices .  Occupiers/owners of the other parts of the building cooperate with the responsible person and/or duty holder for the premises audited for the purpose of maintaining the facilities, equipment and devices. | Facilities, equipment and devicesprovided in connection with general fire precautions are not maintained in an efficient state, working order and in good repair.  Facilities, equipment and devices are not subject to suitable system of maintenance.  No regular testing and maintenance carried out by competent person/s.  Where the premises being audited forms part of a building, the responsible person and/or duty holder has not made arrangements with the occupier/owner of any other premises forming part of the building for the purpose of maintaining the facilities, equipment and devices.  Occupiers/owners of the other parts of the building do not cooperate with the responsible person and/or duty holder for the premises audited for the purpose of maintaining the facilities, equipment and devices. |

Article 21 – Training

*‘The responsible person must ensure that his employees are provided with adequate safety training.’*

**Note:** This article only applies to responsible persons who are employers. There is no legal duty for responsible person to keep training records.

**Examples of what the IO should consider when auditing Article 21**

Where the responsible person and/or duty holder is an employer:

* + Does the responsible person provide adequate instruction and training to employees?
  + Does the training include information on the precautions and actions to be taken by the employee to safeguard themselves and other relevant persons?
  + Is adequate instruction and training given to employees at the following times:
  + at the time of first employment (induction)
  + when exposed to new or increased risks due to:
* being transferred or given a change in responsibility.
* introduction of new equipment or change with existing equipment.
* introduction of new technology.
* introduction of a new system(s) of work?
  + Is adequate instruction and training:
  + repeated periodically.
  + adapted to take account of any new or changed risks to the safety of the employees concerned.
  + provided in a manner appropriate to the risk identified by the fire risk assessment.
  + taking place during work hours?
  + The IO can sample evidence of training by either reviewing training records of employees or questioning a cross section of employees during audit.

**Evaluating and scoring Article 21**

|  |  |
| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 21** |
| Adequate safety training is provided to employees:   * at time they are first employed. * adapted to take account of new or increased risks. * repeated periodically (where appropriate). * appropriate to the risk identified in the risk assessment. * takes place during working hours. * includes appropriate precautions and actions to be taken by the employee in order to safeguard himself and other relevant persons on the premises. | Employees are provided with no or inadequate safety training. |

# Appendix 3: FS01 Form (Optional Articles)

Guidance on auditing, evaluating and scoring

All optional articles are defaulted to not checked. The IO may decide to audit, evaluate and score an optional article if:

* + the premises has specific features that need to be audited.  
    e.g.: dry/wet rising main, dangerous substances present, kitchen ducting, fire separation between occupancy types.
  + a fire safety deficiency is noted that should be evaluated and scored under an optional article.
  + there is evidence of a poor fire safety standard and/or poor fire safety management during the audit of the safety critical articles.

The article should be scored either: broadly compliant, non compliant, low risk, high risk or not applicable.

Where a deficiency (non-compliance) is identified IOs should evaluate the risk posed by the deficiency to score the article either low or high risk. IOs should take in to account the following when scoring the article:

* + risk of fire (likelihood of a fire x severity of fire)
  + risk of harm to relevant persons in case of fire (likelihood of harm x severity of harm)
  + the fire safety management of the premises
  + how quickly the fire and products of combustion will be detected
  + how quickly the fire and products of combustion will spread
  + how quickly relevant persons will be able to escape in case of fire (before the conditions for escape become untenable).

Completing ‘Contemporaneous’ Notes.

[See Appendix 2: FS01 Form – Safety Critical Articles](#App2FS01FormCompletingNotes).

What to record in the ‘Contemporaneous Notes’ field.

|  |  |  |
| --- | --- | --- |
| **Score** | **What to record** | |
| **‘**[**Sleeping Vulnerable’ Premises**](#Footnote3) | [**‘Other’ Premises**](#Footnote4) |
| **Broadly Compliant** | A brief note is required to state why the IO has evaluated and scored the article broadly compliant. | No notes are required. |
| **Non-Compliant, Low /High Risk** | A description of the deficiency is required. | A description of the deficiency is required. |
| **Not Checked or Not Applicable** | No notes required. | No notes required. |

Completing ‘Identify Reason for Failure’, ‘Reason for Failure’ and ‘Remedy fields’.

[See Appendix 2: FS01 Form – Safety Critical Articles](#App2CompletingFailureRemedyNotes).

Article 8 – General Fire Precautions (Other)

Article 8 under the optional articles, should only be used where the other specific articles do not cover the deficiencies found. Recording a deficiency under this article will include it on an Enforcement Notice or Notice of Fire Safety Deficiencies.

Article 8 should be used to record deficiencies such as:

* + Poor cleaning and maintenance of ventilation ducts, kitchen ducting and flues.
  + Compartmentation and fire separation issues not affecting means of escape.
  + Failure to implement the significant findings of the fire risk assessment.

Article 8 may also be used on FSR Central Enforcement Group direction.

**Examples of what the IO should consider when auditing Article 8.**

**Ducting and flues e.g.:** *kitchen extraction systems, ventilation ductwork*

* + do the ducts or flues run unprotected through other occupancies?
  + what are the ducting and flues constructed from?
  + how often do the hoods, ducts, extraction fans and discharge ducts get cleaned?
  + is there evidence of a build up of grease/oil in the canopy/extraction hoods?
  + is there access to the ducts and flues for cleaning?

**Compartmentation and separation issues (not affecting means of escape)  
Note:** If the failure relates to means of escape –use article 14.

* + are there any breaches, gaps, holes, voids in compartment walls or floors?
  + is there adequate fire separation between purpose groups?

**Failure to implement the significant findings of the fire risk assessment**

* + is there a failure to implement the significant findings of the fire risk assessment i.e. preventative and protective measures (general fire precautions)?
  + in the fire risk assessment where the responsible person plans to take preventative and protective measures, have they done so in the timescale given?

**Note:** If the responsible person and/or duty holder has not carried out a fire risk assessment or the fire risk assessment is not suitable and sufficient use article 9.

**Evaluating and scoring Article 8**

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| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 8 (General FP’s):** |
| Adequate fire separation to walls and floors not affecting means of escape. Significant findings of the fire risk assessment have been implemented. Regular extract, flue, duct cleaning. Vertical shafts or risers are fire resisting, fire dampers and intumescent collars provided where required. Sufficient separation or thermal insulation where ducting passes close to potential fuels. | No or inadequate fire separation to walls and floors not affecting means of escape. Significant findings of the fire risk assessment have not been implemented.Issues identified with potential fire spread via shafts, risers or ducting. |

Article 10 – Principles of prevention to be applied

*‘Where the responsible person implements any preventive and protective measures he must do so on the basis of the principles of prevention’.*

**Principles of Prevention**

The principles of prevention are as follows:

* + **Avoiding risk**  
    e.g.: no smoking policy.
  + **Evaluating risk that cannot be avoided**  
    e.g.: hot works permits, method statements.
  + **Combating the risk at source**  
    e.g.: fire retardant bedding for smokers with mobility issues.
  + **Adapting to technical progress**  
    e.g.: upgrading rising butt hinges on fire doors to overhead self closing devices.
  + **Replacing the dangerous by non dangerous or less dangerous**  
    e.g.: replacing furniture and furnishings with items that meet the (Fire Safety) Regulations in the living areas of a sheltered accommodation block.
  + **Developing a coherent overall prevention policy which covers technology, organisation of work and the influence of factors relating to the working environment**  
    e.g.: fire safety policy and procedures. List of approved contractors/competent persons to carryout fire safety works.
  + **Giving collective protective measures priority over individual protective measures**  
    e.g.: installation of emergency escape lighting rather than providing all staff with a battery operated torch.
  + **Giving appropriate instructions to employees**  
    e.g.: appropriate staff training

**Note:** The responsible person cannot be seen to have failed to comply with this article if they have not undertaken a fire risk assessment, failure to undertake a fire risk assessment should be dealt with under article 9.

**Examples of what the IO should consider when auditing Article 10**

What has the responsible person and/or duty holder done to:

* + remove the chance of fire?
  + reduce the chance of a fire?
  + mitigate the effects of a fire?
  + put control measures in place?

**Evaluating and scoring Article 10**

|  |  |
| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 10** |
| Where the responsible person and/or duty holder have implemented general fire precautions they have done so on the basis of the principles of prevention. | Where the responsible person and/or duty holder have implemented general fire precautions they have not done so on the basis of the principles of prevention.  Where possible, a risk has not been:   * avoided or eliminated * reduced * controlled or isolated * mitigated. |

Article 12 – Elimination or reduction of risks from Dangerous Substances

*‘Where a dangerous substance is present in or on the premises, the responsible person must ensure that risk to relevant persons related to the presence of the substance is either eliminated or reduced so far as is reasonably practicable’.*

The Order defines a “dangerous substance” as:

1. a substance or preparation which meets the criteria in the approved classification and labelling guide for classification as a substance or preparation which is explosive, oxidising, extremely flammable, highly flammable or flammable, whether or not that substance or preparation is classified under the CHIP Regulations;
2. a substance or preparation which because of its physio-chemical or chemical properties and the way it is used or is present in or on premises creates a risk; and
3. any dust, whether in the form of solid particles or fibrous materials or otherwise, which can form an explosive mixture with air or an explosive atmosphere.

**Examples of what the IO should consider when auditing Article 12**

Where a dangerous substance is present:

* + Can the dangerous substance be replaced with a substance or process which either eliminates or reduces the risk to relevant persons?
  + Is the risk to relevant persons in relation to the substance either eliminated or reduced (so far as is reasonably practicable)?
  + Where it is not reasonably practicable to eliminate risk. Has a risk assessment been carried out to control the risk and mitigate the detrimental effects of fire?
  + Has the responsible person and/or duty holder arranged for the safe handling, storage and transport of dangerous substances and waste containing dangerous substances?
  + Has the responsible person and/or duty holder put measures in place to maintain the conditions necessary for the elimination and/or reduction of risk?
  + Is the local fire station aware of the risk? IOs should notify the local fire station by a **Station Notification Form (SFS\_A020\_a2a)**.

**Note:** If there is a Dangerous Substances and Explosive Atmospheres Regulations (DSEAR) 2002 risk assessment it may address the requirements under this article.

For further information on matters to be considered in risk assessment in respect of dangerous substances, see [The Order – Schedule 1](http://www.legislation.gov.uk/uksi/2005/1541/schedule/1/made).

**Evaluating and scoring Article 12**

|  |  |
| --- | --- |
| **Broadly Compliant** | **Examples of deficiencies under Article 12** |
| If a dangerous substance is present:   * risk to relevant persons related to the presence of the substance is either eliminated or reduced so far as reasonably practicable. * where it is reasonably practicable, the dangerous substances has been replaced, with a substance or process which either eliminates or reduces risk to relevant persons. * where it is not reasonably practicable to eliminate risk, there are measures in place to control risk and mitigate the detrimental effects of a fire (so far as reasonably practicable).   Arrangements for the safe handling, storage and transport of dangerous substances and waste containing dangerous substances.  Arrangements to ensure the measure(s) to eliminate or reduce risk are maintained. | If a dangerous substance is present:   * risk to relevant persons related to the presence of the substance is not eliminated or reduced (where it is possible to do so). Or the measures in place do not adequately eliminate or reduce the risk to relevant persons. * a dangerous substance has not been replaced (where it is possible to do so), with a substance or process which either eliminates or reduces risk to relevant persons. Or the replacement of the substance or process is inadequate as it does not eliminate or reduce risk. * Where it is not reasonably practicable to eliminate risk there are no measures in place to control risk and mitigate the detrimental effects of a fire.  Or the measures in place do not adequately control risk and mitigate the detrimental effects of fire.   No or inadequate arrangements for the safe handling, storage and transport of dangerous substances and waste containing dangerous substances are in place.  No or inadequate arrangements to ensure the measure(s) to eliminate or reduce risk are maintained. |

Article 13 – Fire-fighting

*‘Where necessary… in order to safeguard the safety of relevant persons, the responsible person must ensure that the premises are, to the extent that it is appropriate, equipped with appropriate fire-fighting equipment’... ‘any non-automatic fire-fighting equipment so provided is easily accessible, simple to use and indicated by signs... what is appropriate is to be determined having regard to the dimensions and use of the premises, the equipment contained on the premises, the physical and chemical properties of the substances likely to be present…’*

**Examples of what the IO should consider when auditing Article 13 (fire-fighting)**

* + Are there appropriate measures in place for fire-fighting on the premises?
  + Are the measures suitable to the nature of activity and size of the premises?
  + Are there an appropriate number of portable fire extinguishers and are they suitable to the risk?
  + Is fire-fighting equipment easily accessible, simple to use and indicated by signs (where necessary)?
  + Are there a sufficient number of nominated competent persons to implement these measures?
  + Has contact been made with emergency services regarding fire-fighting, rescue work, first-aid and emergency medical care?
  + Is the fire alarm system is remotely monitored? Are adequate measures in place to ensure the fire and rescue service are summoned without delay?

**Fire-fighting equipment includes:**

* + portable fire extinguishers
  + fire blanket
  + automatic fire suppression system e.g.: ansul, water mist, sprinklers

**Note:** A person is regarded as competent for the purposes of implementing fire-fighting measures if they have sufficient training and experience or knowledge and other qualities.

**Evaluating and scoring Article 13 (fire fighting)**

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| **Broadly Compliant** | **Examples of deficiencies under Article 13 (fire-fighting):** |
| The premises is equipped with appropriate fire-fighting equipment.  Any fire-fighting equipment provided is easily accessible, simple to use and indicated by signs (where necessary).  The fire-fighting equipment is appropriate to the:   * features of the premises including size, layout and use of the premises. * hazards present and activities carried out on the premises. * physical and chemical properties of the substances that are likely to be present. * maximum number of persons who may be present at any one time.   Sufficient number of competent persons with adequate training nominated to use fire-fighting equipment.  Where necessary, contacts with external emergency services have been established.  If the fire alarm system is remotely monitored, adequate measures are in place to ensure the fire and rescue service are summoned without delay. | The premises is not equipped with appropriate fire-fighting equipment.  Inadequate fire-fighting equipment is provided.  Fire-fighting equipment provided is not easily accessible, simple to use and indicated by signs.  The fire-fighting equipment is not appropriate to the:   * features of the premises including size, layout and use of the premises. * hazards present and activities carried out on the premises. * physical and chemical properties of the substances that are likely to be present. * maximum number of persons who may be present at any one time.   No or insufficient number of competent persons with adequate training are nominated to use fire-fighting equipment.  Where necessary, contacts with external emergency services have not been established.  If the fire alarm system is remotely monitored, inadequate measures are in place to ensure the fire and rescue service are summoned without delay. |

Article 16 – Additional Emergency Measures In Respect Of Dangerous Substances

This article imposes various duties on the responsible person and/or duty holder to make sure that employees and other relevant persons are safe in the event of an accident or emergency involving dangerous substances.

This article is not applicable if the results of a risk assessment show that, because of the quantity of each dangerous substance in or on the premises, there is only a slight risk to relevant persons; and the measures taken under article 12 are sufficient to control the risk.

**Examples of what the IO should consider when auditing Article 16**

* + Are there any additional emergency measures in place in respect of a dangerous substance?
  + Is there information on emergency arrangements available?
  + Is there a suitable warning and other communication system?
  + Are there remedial actions and rescue operations to be implemented immediately when an incident occurs?
  + Before any explosion conditions are reached is there a visual or audible warning given and are relevant persons withdrawn?
  + Are escape facilities provided and maintained to ensure that, in the event of danger, relevant persons can leave endangered places promptly and safely?
  + Is the relevant information made available to relevant accident and emergency services (internal/external) to enable those services to prepare their own response procedures and precautionary measures? Is relevant information displayed at the premises (where necessary)?
  + If the audit is following a fire arising from an accident, incident or emergency related to the presence of a dangerous substance, were immediate steps taken to:
  + mitigate the effects of the fire
  + restore the situation to normal
  + inform those relevant persons who may be affected.
  + If the audit is following a fire arising from an accident, incident or emergency related to the presence of a dangerous substance:
  + were only those persons who were essential for the carrying out of repairs and other necessary work permitted in the affected area?
  + were these people provided with appropriate personal protective equipment and protective clothing, any necessary specialized safety equipment and plant?

**Evaluating and scoring Article 16**

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| **Broadly Compliant** | **Examples of deficiencies under Article 16** |
| Information on emergency arrangements is available.  Suitable warning and other communications systems are established.  Visual or audible warnings are given where required.  Where the risk assessment indicates it is necessary, escape facilities are provided and maintained to ensure that persons can leave endangered places promptly and safely.  Where necessary, information required by this article is made available to relevant accident and emergency services and displayed at the premises.  In case of a fire arising from an accident, incident or emergency related to the presence of a dangerous substance in or on the premises, immediate steps are taken to:   * mitigate the effects of the fire * restore the situation to normal * inform the relevant persons who may be affected.   Only persons who are essential for carrying out of repairs and other necessary work are permitted in the affected area and are provided with:   * personal protective equipment and protective clothing * specialised safety equipment and plant. | No or inadequate information on emergency arrangements is available.  No or unsuitable warning and/or other communication systems are established.  No or inadequate visual or audible warnings are given where required.  No or inadequate escape facilities are provided to ensure that persons can leave endangered places promptly and safely (where risk assessment indicates it is necessary). Or the escape facilities are not maintained to ensure that persons can leave endangered places promptly and safely (where risk assessment indicates it is necessary).  Where necessary, no or insufficient information is made available to relevant accident and emergency services. Information is not displayed at the premises  In case of a fire arising from an accident, incident or emergency related to the presence of a dangerous substance in or on the premises, no immediate steps/ inadequate steps are taken to:   * mitigate the effects of the fire * restore the situation to normal * inform the relevant persons who may be affected.   Persons who are essential for carrying out repairs and other necessary work are not provided with appropriate equipment. |

Article 18 – Safety Assistance

*‘The responsible person must …appoint one or more competent persons to assist him in undertaking the preventive & protective measures.’*

**Examples of what the IO should consider when auditing Article 18**

* + Does the fire risk assessment identify the need for competent person(s)?
  + Are competent person(s) appointed to assist in undertaking preventative and protective measures (general fire precautions)?
  + Are there a sufficient number of competent person(s) appointed for the size of the premises?
  + Are competent person(s) provided with sufficient time and means to carry out their function?
  + Do competent person(s) have sufficient training, experience, knowledge or other qualities?
  + Is there evidence of co-operation between competent person(s)? and/or is there co-operation between responsible persons and/or duty holders (where applicable)?

**Note:** Competent people employed under this article are not the same as people nominated for duties that include fire-fighting, this will be under article 13(3)(b); nor that for people nominated to assist evacuation under The Order Article 15(1)(b).

A competent person is defined as a person having sufficient training, experience or knowledge and other qualities to enable him properly to assist in undertaking the preventative and protective measures.

**Examples of competent persons:**

* + Fire alarm investigator
  + Maintenance engineer
  + Specialist advisor for dangerous substances.

**Evaluating and scoring Article 18**

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| **Broadly Compliant** | **Examples of deficiencies under Article 18** |
| Appoint one or more competent persons to assist in undertaking the preventative and protective measures.  Where one or more competent persons have been appointed there is adequate co-operation between competent persons  The appointed competent persons have the time and means to fulfil their functions. e.g.: access to parts of the building, relevant documentation, other competent persons.  Competent person(s) who are not under the responsible person and/or duty holder employment are given adequate information to be able to complete their role. | Failure to appoint one or more competent persons to assist in undertaking the preventative and protective measures. Or The competent persons appointed do not have sufficient training, experience or knowledge and other qualities to enable him properly to carry out his function.  Where one or more competent persons have been appointed there is no or inadequate co-operation between competent persons.  The appointed competent persons did not have the time and/or means to fulfil their functions.  Competent person(s) who are not under the responsible person and/or duty holder employment are given no or inadequate information to be able to complete their role. |

Article 19 – Provision of information to employees

*‘The responsible person must provide his employees with comprehensive and relevant information on…’*

**Note:** This article only applies to responsible persons who are employers.

**Examples of what the IO should consider when auditing Article 19**

* + Does the responsible person and/or duty holder provide their employees with comprehensible and relevant information on:
  + the risks to them identified by the risk assessment
  + the preventive and protective measures
  + emergency evacuation plan
  + identities of persons nominated to implement fire fighting equipment and implement emergency evacuation plan
  + risks associated with other occupancies in the building?
  + Where a dangerous substance is present in or on the premises, does the responsible person and/or duty holder provide their employees with comprehensible and relevant information on:
  + details of any substances (name and risk)
  + access to relevant safety data sheet
  + significant findings of the fire risk assessment?
  + Does the responsible person and/or duty holder provide parent of a child with comprehensible and relevant information on:
  + the risks to them identified by the risk assessment
  + the preventive and protective measures
  + risks associated with other occupancies in the building?

**Evaluating and scoring Article 19**

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| **Broadly Compliant** | **Examples of deficiencies under Article 19** |
| Employees are provided with comprehensible and relevant information. i.e.: the risks identified by the risk assessment, the preventive and protective measures, emergency evacuation plan, identities of persons nominated to implement fire fighting equipment and emergency evacuation plan, risks associated with other occupancies in the building.  Where a child has been employed the parent of the child is provided with comprehensible and relevant information.  Where a dangerous substance is present in or on the premises employees are provided with comprehensible and relevant information. | Employees are not provided with comprehensible and relevant information. Or the information provided to employees is inadequate or irrelevant.  Where a child has been employed the parent of the child is not provided with comprehensible and relevant information. Or the information provided to the parent of the child is inadequate or irrelevant.  Where a dangerous substance is present in or on the premises employees are not provided with comprehensible and relevant information. Or the information provided is inadequate or irrelevant. |

Article 20 – Provision of information to employers and the self-employed from outside undertakings

*‘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.’*

**Examples of what the IO should consider when auditing Article 20**

* + Does the responsible person and/or duty holder provide the employer of any employees from an outside undertaking (who are working in or on the premises) with comprehensible and relevant information?
  + Does this information include risks to those employees and the preventative and protective measures taken by the responsible person and/or duty holder?
  + Does the responsible person and/or duty holder provide the employee from an outside undertaking with appropriate instructions and comprehensible and relevant information regarding any risks to that person?

**Evaluating and scoring Article 20**

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| **Broadly Compliant** | **Examples of deficiencies under Article 20** |
| The employer of any employees from an outside company, business or organisation who are working in or on the premises are provided with comprehensible and relevant information on:   * risks to those employees * preventative and protective measures taken by the responsible person and/or duty holder.   The employees from an outside company, business or organisation are provided with appropriate instructions and relevant information regarding any risks to that person.  The employer and employee of any person from an outside company, business or organisation is given sufficient information to enable that person to identify any person nominated to implement the emergency evacuation plan. | The employer and/or employee from an outside company, business or organisation who are working in or on the premises are not provided with comprehensible and relevant information . |

Article 22 – Co-operation and Co-ordination

*‘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.’*

Where two or more responsible persons and/or duty holders share, or have duties in respect of, premises (whether on a temporary or a permanent basis), this article should be considered.

**Note:** Where an explosive atmosphere may occur, the responsible person and/or duty holder who has overall responsibility for the premises must co-ordinate the implementation of all the measures required to be taken to protect relevant persons from any risk from the explosive atmosphere.

**Examples of what the IO should consider when auditing Article 22**

* + Have all reasonable steps been taken to co-operate with the other responsible persons and/or duty holders in regards to The Order?
  + Have all reasonable steps been taken to co-ordinate the measures taken with the other responsible persons and/or duty holders in regards to The Order?
  + Have all reasonable steps been taken to inform the other responsible person and/or duty holder concerned of the risks to relevant persons arising out of/in connection with the conduct by him of his undertaking.

**Evaluating and scoring Article 22**

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| **Broadly Compliant** | **Examples of deficiencies under Article 22** |
| The responsible person and/or duty holder has:   * cooperated with the other responsible persons and/or duty holders. * taken all reasonable steps to co-ordinate the measures he has taken with the measures the other responsible person and/or duty holder occupying the same premises, building, land demise. * taken all reasonable steps to inform the other responsible persons and/or duty holders concerned of the risks to responsible person and/or duty holder arising out of/ in connection with his undertaking. | The responsible person and/or duty holder has not or has not adequately:   * cooperated with the other responsible persons and/or duty holders. * taken all reasonable steps to co-ordinate the measures s/he has taken with the measures the other responsible person and/or duty holder occupying the same premises, building, land demise. * taken all reasonable steps to inform the other responsible persons and/or duty holders concerned of the risks to responsible person and/or duty holder arising out of/ in connection with his undertaking. |

Article 23 – General duties of employees at work

*‘Every employee must, while at work take reasonable care for the safety of himself and others; co-operate with their employer; and inform their employer or any other employee with specific responsibility for the safety of his fellow employees of any hazard.’*

**Note:** This article only applies to employees. Although an employee’s failure to comply with article 23 is an offence under The Order, this matter may be better dealt with by the employer.

**Examples of what the IO should consider when auditing Article 23**

* + Is there evidence of reasonable care being taken by employees to prevent harm to others, who may be affected by their acts or omissions at work?
  + Do employees inform their employer or any other employee (with fire safety responsibility) if there are fire safety issues or hazards identified?
  + Is there evidence that employees co-operate with their employer to enable compliance with any duty or requirement under The Order?

**Evaluating and scoring Article 23**

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| **Broadly Compliant** | **Examples of deficiencies under Article 23** |
| All employees, while at work:   * Take reasonable care for the safety of themselves and other relevant persons who may be affected by his acts or omissions at work. * Co-operate with employer to enable him comply with The Order. * Inform employer or any other employee (with specific responsibility for safety) of any fire safety issues or hazards identified under The Order. | Employees, while at work do not do one or more of the following:   * Take reasonable care for the safety of themselves and other relevant persons who may be affected by his acts or omissions at work. * Co-operate with employer to enable him comply with The Order. * Inform employer or any other employee (with specific responsibility for safety) of any fire safety issues or hazards identified under The Order. |

Article 37 – Fire-Fighters Switches for Luminous Discharge Tubes

This article applies to apparatus consisting of luminous tube signs designed to work at a voltage normally exceeding the prescribed voltage [(article 37(2))](http://www.legislation.gov.uk/uksi/2005/1541/article/37/made), or other equipment so designed.

This article outlines the requirements for the placement, colouring and marking of cut-off switches.

**Note:** This article only applies where premises have luminous discharge tubes (such as large illuminated supermarket signs). This article does not apply to licensed premises authorised for the exhibition of a film.

**Examples of what the IO should consider when auditing Article 37**

Where a luminous discharge tube(s) has been installed:

* + Are fire fighter cut-off switches provided?
  + Is the cut-off switch installed, sited, coloured and marked in accordance with the current Institution of Electrical Engineers (IEE) Regulations?
  + Has the correct notice been given to the fire authority in accordance with [Article 37(6)-(8)](http://www.legislation.gov.uk/uksi/2005/1541/article/37/made)?

**Evaluating and scoring Article 37**

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| **Broadly Compliant** | **Examples of deficiencies under Article 37** |
| The fire fighter switch is in accordance with IEE regulations. | The fire fighter switch is not in accordance with IEE regulations |

Article 38 – Maintenance of measures provided for protection of fire fighters

*‘Where necessary, in order to safeguard the safety of fire-fighters in the event of a fire, the responsible person must ensure that the premises and any facilities, equipment and devices provided … for the use by or protection of fire-fighters … are subject to a suitable system of maintenance and are maintained … in efficient working order and in good repair.’*

**Examples of what the IO should consider when auditing Article 38**

* + Are facilities, equipment and devices[[5]](#footnote-5) maintained in an efficient state, working order and in good repair[[6]](#footnote-6)?
  + Are facilities, equipment and devices subject to suitable systems of maintenance?
  + Is regular testing and maintenance carried out by competent person/s?
  + Are fire-fighting shafts fully protected?
  + Have the fire-fighting functions of the lift been tested/serviced?
  + Has the wet/dry rising main been pressure tested and visually inspected?
  + Are access boxes to dry or wet risers secured by a standard key held by the fire and rescue personnel?
  + Are smoke ventilation systems easily operable by fire and rescue personnel?

**Examples of what systems may be tested and maintained under Article 38:**

* + dry or wet rising main
  + fire-fighting lift, fireman’s lift
  + fire-fighting shaft
  + automatic smoke control system
  + fire alarm system provided solely to operate a smoke control system
  + water supplies e.g.: hydrants, water tanks
  + premises information box
  + fire control centre.

**Station Notification Form (SFS\_A020\_a2a)**

IO should notify the local station:

* + where uncommon facilities, equipment or devices have been provided for the use of fire-fighters
  + of any issues/deficiencies with any of the systems provided under article 38.
  + of any issues with access or water supplies.

**Evaluating and scoring Article 38**

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| **Broadly Compliant** | **Examples of deficiencies under Article 17** |
| Facilities, equipment and devices are subject to suitable system of maintenance.  Facilities, equipment and devices are maintained in an efficient state, in efficient working order and in good repair.  Where the premises being audited forms part of a building, the responsible person and/or duty holder has made arrangements with the occupier/owner of any other premises forming part of the building for the purpose of maintaining the facilities, equipment and devices.  Occupiers/owners of the other parts of the building cooperate with the responsible person and/or duty holder for the premises audited for the purpose of maintaining the facilities, equipment and devices. | Facilities, equipment and devices are not subject to a system of maintenance.  Facilities, equipment and devices are not maintained in an efficient state, in efficient working order and in good repair.  The responsible person and/or duty holder has not made arrangements with the occupier/owner of any other premises forming part of the building for the purpose of maintaining the facilities, equipment and devices.  Occupiers/owners of the other parts of the building do not cooperate with the responsible person and/or duty holder for the premises audited for the purpose of maintaining the facilities, equipment and devices. |

(IRMP) Returns - Guidance on auditing, evaluating and scoring

**IRMP Returns are recorded to provide information on article 24, 27, 29, 30, 32 to the Department for Communities and Local Government.**

**Article 24: Power to make regulations about fire precautions**  
The article empowers the Secretary of State to make regulations about fire precautions.  
Currently, the Secretary of State has not made any additional regulations about fire precautions.

**Article 27: Power of inspectors**  
If the responsible person and/or duty holder has prevented an IO from exercising their powers under article 27(1)(a)-(f) it should be scored here. Detail on the obstruction should be reported to a Team Leader and documented in the ‘lone worker risk’ field – Property detail.

**Article 29: Alterations Notices**This information can be obtained from Farynor or the Enforcement History tab on the audit form.

**Article 30: Enforcement Notices**This information can be obtained from Farynor or the Enforcement History tab on the audit form.

**Article 31: Prohibition Notices**This information can be obtained from Farynor or the Enforcement History tab on the audit form.

**Article 32: Offences**This information can be obtained from Farynor or the Enforcement History tab on the audit form.

**Note:** The IRMP returns are to be considered by the IO when they are applying the Enforcement Management Model.

# Appendix 4: FS01 Form (Audit Conclusion)

Guidance on evaluating and scoring the ‘Overall Fire Safety Standard’

The ‘Overall Fire Safety Standard’ is an evaluation of the ‘overall collective effect and impact’ of all failures in the general fire precautions and management arrangements in place. IOs must take account of how they have scored the safety critical articles, and relevant optional articles, before scoring the ‘overall fire safety standard’ of the premises (either Broadly Compliant, Low Risk or High Risk).

The overall fire safety standard must be scored for **all** audits.

(Important Note: the ‘Overall Fire Safety Standard’ does not relate to the nature of the premises – i.e.: premises use/size/hazards, etc.).

**Examples of what the IO should consider when scoring the Overall Fire Safety Standard:**

* + **Are ignition sources adequately managed and controlled in the premises to reduce the risk of fire?**  
    e.g.: portable appliance testing, no smoking policy, cleaning and maintenance of ventilation ducts, kitchen ducting and flues.
  + **Are adequate measures in place to control the spread of a potential fire in the premises?**  
    e.g.: compartmentation and or fire separation, wall coverings, storage of goods/flammable materials.
  + **Can persons evacuate the premises safely in the event of a fire emergency in the premises?**  
    e.g.: protected routes and fire doors, travel distance, size and number of escape routes and exits.
  + **Can persons use the escape routes and final exits safely?**  
    e.g.: signage, emergency escape lighting, self-closing devices, manual override for electronic locks, simple fastenings.
  + **Is there adequate equipment in the premises for extinguishing small fires?**  
    e.g.: portable fire-fighting equipment.
  + **Are adequate arrangements in place to detect fires and raise the alarm to those people on the premises?**  
    e.g.: automatic fire detection, manual system, flashing beacons.
  + **Is there an emergency evacuation plan in place?**  
    e.g.: emergency evacuation plan, personal emergency evacuation plan (PEEP), fire drills.
  + **Are adequate management procedures in place to mitigate the effects of fires in the premises?**  
    e.g.: fire safety checks and maintenance, a system to report faults and arrange repairs.
  + **Are adequate instructions or guidance on procedures to follow in an emergency provided for employees?**  
    e.g.: initial and refresher training, emergency evacuation plan, emergency notices, fire warden training.

| **Field Title** | **Description and Guidance on Completion** |
| --- | --- |
| **Overall Fire Safety Standard** (Check Button) | To score the **overall collective effect** of the general fire precautionson the premises.  The IO should select from the following:  **Broadly Compliant:** Relevant persons are exposed to no or minimal risk in case of fire. Adequate general fire precautions are in place. The general fire precautions provided on the premises are well managed and maintained.  **Low Risk:** Relevant persons are at some (but not serious) risk in case of fire. Minor improvements to general fire precautions are necessary and/or the general fire precautions in place are not managed and/or maintained in a sustainable manner.  **High Risk:** Relevant persons are at high (or serious) risk in case of fire. Major improvements to general fire precautions are necessary.  **Note:** The overall fire safety standard icons will be inaccessible until all of the mandatory Location/Property detail fields have been completed and all the safety critical articles have been scored.  If a safety critical article has been evaluated and scored as a low or high risk, the overall fire safety standard cannot be broadly compliant.  When the overall fire safety standard is selected it will automatically generate the initial enforcement expectation. |
| **Initial Expectation** (Auto Fill) | The initial (enforcement) expectation for the audit is automatically calculated by the audit form when the overall fire safety standard is selected.  The initial expectation will be either: Verbal Action, Notification of Minor Deficiencies, Notification of Deficiencies (NOD), Enforcement Notice (EN), Enforcement Notice -consider prosecution.  A note of the initial expectation will be time and date stamped in the audit conclusion.  **Note:** If the score for any of the safety critical articles, optional articles or overall fire standard are altered after the initial expectation has been calculated, the initial expectation will be recalculated and a note of the new initial expectation will be time and date stamped in the audit conclusion.  IOs should make a note to explain why the initial expectation was recalculated. |
| **Considered EMM?** (Check Box)  **See Appendix 6.** | To record if the IO has considered the EMM. Check box to indicate the EMM has been applied.  The IO **must** check the ‘consider EMM’ field for the confirmed action field to appear.   * Responsible Factors should be considered for audits if the initial expectation is NOD and above. * Strategic Factors should also be considered if the initial expectation is EN and above. |
| **Confirmed Action** (Drop Down) | To record the confirmed action. IOs should select the appropriate action from the drop down list.  The IO can use the drop down list to select the same level of enforcement (as the initial expectation) or one enforcement level higher or lower.  If the initial expectation and confirmed action are the **same.**  A confirm action pop up box will appear stating ‘are you sure you want to set the confirmed action?’  If the IO selects yes, the audit form scoring system is locked. No further changes can be made to the score of safety critical articles, optional articles, overall fire safety standard.  If the initial expectation and confirmed action are **different**. A confirm action pop up box will appear stating ‘are you sure you want to set the confirmed action to XXXX’? If the IO selects yes, there will be a field for the IO to provide a justification for raising or lowering the initial expectation based on the application of the EMM.  The justification will appear time and date stamped in the audit conclusion when the IO selects OK.  **Note:** Any audit that has the enforcement level altered by the application of the EMM or where the outcome of the EMM has been disregarded, or where the IO/FSA recommends a change to the RRL score; the audit form **must** be reviewed by a Team Leader. Therefore, the IO/FSA should set the audit form for ‘Team Leader review’.  Before any enforcement action is taken (Enforcement Notice or Notification of Fire Safety Deficiencies), it is essential that the IO determines if the business being audited is included in the Primary Authority Partnership scheme. For further information on Primary Authority Partnerships, see [FSIGN 610: Primary Authority Schemes](http://deptsite/docs/fsr/HotwirePublic/Fire%20safety%20regulation/Fire%20safety%20regulation%20policy%20and%20guidance/FSIGN_610.docx). |
| **Audit Conclusion** (Free Text) | To record the audit conclusion.  The audit conclusion should include brief notes on:   * the extent of the audit (which parts of the premises were audited) * deficiencies identified and remedial action required * any verbal advice given * Where the IO deems it is relevant brief notes should also be made on: staff training (where applicable), fire risk assessment, fire safety management and maintenance. * Names of persons present during the audit conclusion meeting   If the ‘**Set all broadly compliant’** icon has been used. The audit conclusion should include brief notes on safety critical items:   * means of escape * fire detection and warning * emergency evacuation plan   **Note:** There may be minor deficiencies noted however the risk of harm to relevant persons is negligible (ie FRA, records, signage, FFE). In these cases, the IO may have selected Broadly Compliant for each Article but informed the Responsible Persons of their duties under The Order and given fire safety advice. IOs should note these deficiencies and make a note of any verbal advice given in the audit conclusion field.  **Note:** The IO should enter text in to the ‘append audit conclusion’ field and select ‘append text’ to enter text in to the audit conclusion. |
| **Other Authorities to Notify (if required)** (Free Text) | To record other authorities that should be notified when an Enforcement Notice or Notification of Fire Safety Deficiencies is issued.  e.g.: English Heritage, Lead authority for a Primary Authority Partnership, Building Control or Licensing Authority. |
| **Specific instructions for Admin to action** (Free Text) | To record specific actions required by admin. This may include additional instructions regarding: issuing a NOD, EN; or sending a letter to other authority; or change to postcode (requires reverification); or change to an RRL score following a broadly compliant outcome of a revisit.  **Note:** Do not put generic comments such as ‘NFA, No Further Action, Close Job’ etc in this field. |
| **Number of weeks to complete work** (Free Text) | To record the number of weeks to complete the works specified in the audit schedule of an Enforcement Notice or a Notification of Fire Safety Deficiencies.  The number of weeks to complete the works should be discussed with the responsible person and/or duty holder during the audit conclusion meeting .  **Note:** Not being less than 28 days (4 weeks). |
| **On-site contact Signature** (Free Text) | To record the on-site contacts signature. e.g.: responsible person, duty holder or on-site representative.  The ‘sign’ icon saves the signature and ‘clear’ clears the signature.  The signature is a way of recording the on-site contacts understanding of the audit conclusion meeting and what is recorded in the audit conclusion field. There is no legal requirement for anyone to sign the audit form and the signature has no legal standing in a court of law.  If there is no on-site contact or the on-site contact declines to sign a note can be made in the signature field by the IO. |
| **On-site contact Name** (Free Text) | To print the on-site contact’s name . |
| **Travel Duration** (Free Text) | To record the travel time (to include travel time for all visits made).  This will automatically update the time on the progress sheet. Enter time in minutes. |
| **Audit Duration** (Free Text) | To record how long the onsite audit took (to include all visits to the premises). This will automatically update the time on the progress sheet. Enter time in minutes. |
| **Post Audit Processing Duration** (Free Text) | To record the time taken to complete the audit form and any other documentation related to the audit . This will automatically update the time on the progress sheet. Enter time in minutes. |

# Appendix 5: FS01 Form (Saving & Submitting the Audit Form)

The Audit Form has the following options:

**Save**

* + To save the audit form to the fire safety audit app on the MWT.
  + This should be used if the audit form cannot be completed onsite.

**Submit**

* + To send the audit form straight to Farynor file.
  + This should not be used by IOs on development, for ‘sleeping vulnerable premises’ Note 1 or where the initial expectation has been altered by the application of the EMM/ or where the suggested enforcement outcome by the EMM has been deviated from.
  + This should be used for jobs for ‘other premises’[[7]](#footnote-7) resulting in verbal action completed by competent IOs.

**Set for Team Leader Review**

* + To send the audit form for Team Leader Review.
  + This should be used for:
  + All jobs for ‘sleeping vulnerable premises’[[8]](#footnote-8).
  + All jobs resulting in a Notification of Fire Safety Deficiencies or above.
  + All jobs where the initial expectation has been altered by the application of the EMM.
  + All jobs where the suggested enforcement outcome of the EMM has been deviated from.
  + All jobs done by IOs on development.

**Send to Desktop**

* + To send the audit form back to Farynor for desktop editing.
  + This should be used for drafting Notification of Fire Safety Deficiencies or Enforcement Notices.  
    (Confirmed action level 2 and above).

**Close**

• To exit the audit form without saving.

**…..**

• This icon is to expand/collapse the menu bar.

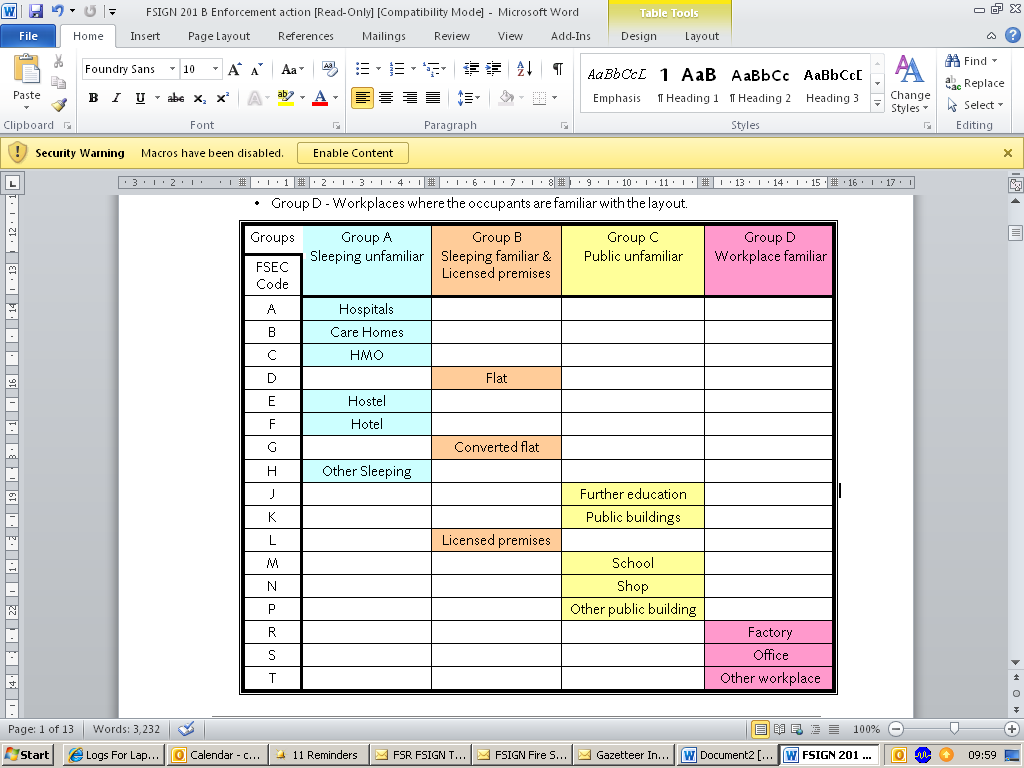
**Property Size for Use Calculator (m2)**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
|  | **M2** | | | | | | |
| **FSEC Group** | **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 |
| **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 |

**Risk Groups**

Derived from IRMP Note 4 and 17 FSEC Categories. Prior to the audit the IO needs to determine which of the 17 FSEC groups the premises being audited falls into. Once the FSEC code is determined the IO can identify which inspection group the premises falls within, using the table below.

* + Group A - The majority of sleeping risks where the occupants are unfamiliar with the building.
  + Group B - Sleeping risks 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.



Premises have been separated into these groups to enable higher scores to be given to relatively higher risk premises. The maximum number of points that can be applied to each premises group is shown below:

* + Group A - 128 points (highest risk premises)
  + Group B - 109 points
  + Group C - 89 points
  + Group D - 77 points (lowest risk premises)

This means that IO’s 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.

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Safety Critical Articles** | | | | | | |
| **Article  Number** | **Description** | **Group A** | **Group B** | **Group C** | **Group D** | **Level of deficiency/ risk** |
| Sleeping  Unfamiliar | Sleeping familiar and licensed premises | Public familiar | Workplace  familiar |
| 9 | Risk assessment | 10 | 10 | 10 | 10 | High Risk |
| 5 | 5 | 5 | 5 | Low Risk |
| 11 | Fire safety arrangements | 5 | 3 | 2 | 2 | High Risk |
| 3 | 2 | 1 | 1 | Low Risk |
| 13 | Fire warning/alarm | 26 | 13 | 13 | 13 | High Risk |
| 10 | 5 | 5 | 5 | Low Risk |
| 14 | Emergency routes and exits | 26 | 26 | 20 | 13 | High Risk |
| 10 | 10 | 8 | 5 | Low Risk |
| 15 | Procedures for imminent danger | 5 | 3 | 2 | 2 | Non compliant |
| 17 | Maintenance | 15 | 15 | 10 | 8 | High Risk |
| 8 | 8 | 5 | 4 | Low Risk |
| 21 | Training | 6 | 4 | 2 | 2 | High Risk |
| 3 | 2 | 1 | 1 | Low Risk |
| **Overall Fire Safety Standard (OFFS)** | | | | | | |
| OFFS | General fire precautions | 13 | 13 | 8 | 5 | High Risk |
| 7 | 7 | 4 | 3 | Low Risk |
| **Other Articles** | | | | | | |
| 10 | Principles of prevention | 5 | 5 | 5 | 5 | High Risk |
| 3 | 3 | 3 | 3 | Low Risk |
| 12 | Dangerous substances | 5 | 5 | 5 | 5 | High Risk |
| 3 | 3 | 3 | 3 | Low Risk |
| 13 | Fire fighting 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 | Employee duties | 1 | 1 | 1 | 1 |
| 37 | FF switches for luminous tubes | 1 | 1 | 1 | 1 |
| 38 | Maintenance of fire fighters measures | 3 | 3 | 3 | 3 |

**Weighting/Score Awarded to Articles**

For each article that is scored non-compliant (low risk, high risk, non-compliant) the audit form attributes a weighed score from the table above. For broadly compliant, not checked or not applicable, a score of ‘0’ is attributed.

**Initial Expectation**

The cumulative score obtained from ‘weighting / score awarded to articles’ is used to calculate the Initial Expectation.

|  |  |  |
| --- | --- | --- |
| **Level** | **Total Score** | **Initial Expectation** |
| 1 | 0-25 | Verbal Action |
| 2 | 26-35 | Notification of Fire Safety Deficiencies |
| 3 | 36-45 | If Level 3 is reached (36 -45 points) then one of two Initial Expectation’s may be applied dependant on the actual score:   * Notification of Fire Safety Deficiencies (36-40 points) * Enforcement Notice (41-45 points)   The audit form automatically selects the relevant enforcement outcome. |
| 4 | 46-55 | Enforcement Notice |
| 5 | 56+ | Enforcement Notice - Consider Prosecution **Note:** Prosecution must always be considered if over 56 points are scored.  A management review meeting should take place between the IO and Team Leader. |

**Note:** Prohibition/Prosecution are separate procedures outside this process and may be considered regardless of other enforcement activity

# Appendix 6: Use of the Enforcement Management Model (EMM)

The EMM allows IOs to make consistent and fair enforcement decisions based on clear guidelines, which are auditable and will be robust if challenged.

The EMM involves a series of questions, relating to the responsible person or duty holder, which allows the enforcement decision to be verified or modified (Responsible Person Factors) and a number of strategic factors (Strategic Factors) to confirm the enforcement decision or establish the need for a management review.

The ‘responsible person factors’ should be applied in order to confirm or alter the enforcement activity for initial expectation level 2 -5. If the initial expectation is level 4 or 5 then the ‘strategic factors’ should also be applied. The EMM is not applied to initial expectation level 1 audits.

**Note:** Several articles are added to the audit form (articles 27, 29, 30, 31, 32 and 24) to which no score is attributed. These should be considered when applying the EMM principles.

Where the application of the EMM results in a change to the initial expectation the IO should provide a justification in the pop up box that appears when the selected confirmed action differs from the initial expectation.

The IO must then send the audit form for Team Leader review even if the confirmed action is Level 1 (Verbal Action). This is done by selecting ‘set for Team Leader review’ on the audit form.

The Team Leader will carry out a management review when vetting the job in the ‘jobs to review’ area on Farynor. Team Leaders should make a comment in the ‘management review’ field to approve the change to the initial expectation by the application of the EMM.

If the enforcement action recommended from the outcome of the EMM is inappropriate, and the IO is considering alternative enforcement action, guidance should be sought from their Team Leader with the evidence that supports this view. The IO should agree the appropriate enforcement action with their Team Leader and if it is agreed that the enforcement action requires changing (based on the evidence provided) the reason for the deviation from the EMM should be noted on the audit form by the IO in the audit conclusion field and supported by a note in the management review field by the Team Leader.

**Responsible Person factors**

Responsible person factors are, on the whole, specific to the responsible person and their activities and usually confirm the initial expectation or move the severity of the enforcement up or down by one level, e.g. from a Notification of Fire Safety Deficiencies to an Enforcement Notice, or from an Enforcement Notice to Notification of Fire Safety Deficiencies.

**Responsible person factors must be applied in EVERY case where the Initial Enforcement Expectation is Level 2 (Notification of Fire Safety Deficiencies) or above.**

| **Responsible Person Factors** | |
| --- | --- |
| **Descriptor** | **Definition** |
| **Does the responsible person have a history of relevant enforcement action being taken?** | |
| **Yes (some/many)** | On the same or similar issues, by notices, prosecutions or informal action. |
| **No** | No enforcement has been issued on the same or similar matters. |
| **Is there a history of operational incidents at the premises?** | |
| **Yes (some/many)** | There is a history of operational incidents (e.g. fires, AFA’s, and spillages etc.) |
| **No** | There is no history of related incidents at the premises (inc. from other agencies). |
| **What is the intention of the responsible person in non-compliance?** (Usually discovered when gathering evidence for creating a case for prosecution) | |
| **Economic advantage sought** | Minimum legal requirements are deliberately avoided for commercial gain. |
| **No economic advantage sought** | Failure to comply is not commercially motivated. |
| **What is the level of perceived harm?** (Included in consideration of general fire precautions) | |
| **Serious** | A risk of serious harm to life as a result of the matter under consideration. |
| **Not serious** | There is little or no risk of serious harm. |
| **What is the cause of non-compliance / perceived / actual harm?** | |
| **Inadvertent** | Reasonable actions taken from position of understanding but something missed. |
| **Deliberate** | Actions that create risk are knowingly carried out or permitted and endanger life. |
| **Omission** | Actions that create risk are carried out or permitted only in ignorance. |
| **What is the inspection history of the responsible person?** | |
| **Extensive** | There is a history of significant problems, advice and poor inspection ratings. |
| **Some** | There is a history of nominal or piecemeal problems, especially with new/or obscure duties, rating history is in the average range. |
| **None** | There is a history of compliance, acceptance of advice, consistently high standards and low inspection rating. |
| **What is the standard of general conditions?** | |
| **Poor (High risk)** | There is a general failure of compliance across a range of issues, leading to intolerable risks. |
| **Tolerable** | Taking a holistic view of safety, the measures in place adequately address risks. |
| **Good (Low risk)** | Full compliance across the whole range of indicators with no notable omissions. |
| **What is the attitude of the responsible person to fire safety?** | |
| **Indifferent** | The attitude to fire safety is generally poor. Professional relationship is strained. |
| **Passable** | The attitude to fire safety is generally open and reasoned. Effective communication can be established. |
| **Good** | The attitude to fire safety is generally enthusiastic and proactive; actively seeking advice and pursuing solutions. |

**Initial Expectation: Notification of Fire Safety Deficiencies (NOD).**

Where the Initial Expectation indicates the issue of a NOD applying the Responsible Person Factors would allow either the confirmation of the NOD, lowering the enforcement level to verbal action or raising the enforcement level to an Enforcement Notice.

**Initial**

**Expectation**

Good

By-product only

Deliberate

Standard of ‘general fire precautions’

Tolerable

Attitude of Responsible Person to fire safety

Poor

Balance the responses to the areas above along with the weighting that should be given in each case. The final outcome relies on which of the columns ‘weighs most heavily’ in terms of the impact on the safety of the premises.

NoD

EN

Verbal Action

Passable

Hostile / Indifferent

**Notification of Fire Safety Deficiencies  
(NoD)**

None

None

Inadvertent

No

Good

Responsible Person has relevant history of enforcement

Premises has relevant incident history

Grounds for non-compliance

Non-compliance economically driven

Some

Extensive

Extensive

Some

Omission

Deliberate

**Initial Expectation: Enforcement Notice.**

Where the Initial Expectation indicates the issue of an enforcement notice applying the Responsible Person Factors would allow either the confirmation of the Enforcement Notice, lowering the enforcement level to a more informal Notification of Fire Safety Deficiencies or raising the enforcement level to enforcement notice - considering prosecution.

Balance the responses to the areas above along with the weighting that should be given in each case. The final outcome relies on which of the columns ‘weighs most heavily’ in terms of the impact on the safety of the premises.

**Initial Expectation**

Good

By-product only

Yes

Standard of ‘general fire precautions’

Tolerable

(average risk)

Attitude / of Responsible Person to fire safety

Poor

(high risk)

EN

EN -  
Fast track and consider prosecution.

Notification of Fire Safety Deficiencies

Passable

Indifferent

**Enforcement Notice (EN)**

None

None

Inadvertent

No

Good

(low risk)

Responsible Person has relevant history of enforcement

Premises has relevant incident history

Grounds for non-compliance

Non-compliance economically driven

Some

Extensive

Extensive

Some

Omission

Deliberate

**Strategic Factors**

There are a range of strategic factors that may impact on the final enforcement decision. IOs should consider the public interest and vulnerable groups (e.g. children, patients, and the elderly), and the broader socio-political impact of enforcement action. Strategic factors qualify the decision; they do not determine it.

When considering public interest, IOs and Team Leaders must be satisfied 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 can be difficult to assess.

IOs should contemplate: What would a reasonable person expect from the London Fire Brigade in the circumstances? A further test is whether the decision can be justified if challenged in law.

Certain issues may have a significant bearing on public expectation, for example fatal fires involving vulnerable groups. While public expectation must be carefully considered, it should not determine the action taken.

The proposed enforcement action is tested against the strategic factors. The flow-chart leads to either confirming the enforcement action or a management review (where the enforcement action does not address all the strategic factors or accord with the enforcement policy).

|  |  |
| --- | --- |
| **Strategic Factors** | |
| **Does the action coincide with the Public Interest?** | |
| **Yes** | 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 |
| **No** | 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 |
| **Are vulnerable groups protected?** | |
| **Yes** | The action results in control of risk to vulnerable groups |
| **No** | The action does not result in control of risk to vulnerable groups |
| **What is the long-term impact of the action?** | |
| **Sustained**  **compliance** | The action is sufficient to achieve sustained compliance across the range of risks associated with the premises |
| **No long-term impact** | The action is insufficient to secure sustained improvements and that problems may be expected at subsequent visits |
| **What is the effect of the action on other responsible persons?** | |
| **Positive**  **effect** | 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 |
| **Negative**  **effect** | 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 |
| **What is the initial impact of the action?** | |
| **Benchmark**  **achiever** | The action secures compliance with the relevant benchmark |
| **Incomplete compliance with the benchmark** | The action does not secure full compliance with the benchmark |
| **What is the functional impact of the action?** | |
| **Acceptable** | 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 |
| **Unacceptable** | 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. |
| **Have the principles and expectations of the enforcement policy been met?** | |
| **Yes** | The policy has been followed |
| **No** | The policy has not been followed |

Management review of action

Answers ‘weighted’ to the right-hand side should trigger a management review to determine the suitability of the action considered. Answers ‘weighted’ to the left-hand side should confirm the intended action.

Yes

Have the principles and expectations of the enforcement policy been met?

Action confirmed

No

**Strategic Factors**

Negative

What is the initial effect?

Benchmark incomplete

No

Yes

Sustained compliance

Positive

Benchmark achieved

Does action coincide with public interest?

Are vulnerable groups protected?

What is the long-term impact?

What’s the effect on other Responsible Persons?

Yes

No

No long-term impact

What is the functional effect?

Acceptable

Unacceptable

Document History

Impact assessments

|  |  |  |  |
| --- | --- | --- | --- |
| Equality | xx/mm/yyyy | Sustainability | xx/mm/yyyy |
| Health, Safety & Welfare | xx/mm/yyyy | Risk Assessment | xx/mm/yyyy |

Audit trail

Listed below is a brief audit trail, detailing amendments made to this policy/procedure.

|  |  |  |
| --- | --- | --- |
| **Page/para nos.** | **Brief description of change** | **Date** |
| All | FSIGN Format | 28/02/2012 |
| All | Guidance updated and re-issued to support new MWT | 14/06/2017 |
| All | Changed to support new LFC governance | 01/04/2018 |
| 1 link | Link to Address Lookup (UwFS data), page 15 | 06/12/2021 |
| All | Updated to recognise the RR(FS)O is amended | 01/05/2022 |
| Page 74 | IO instruct Admin to amend RRL following broadly compliant | 21/04/2023 |
| Various minor | Consult feedback applied | 03/05/2024 |
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1. Other Premises: Any other premises type not mentioned in Note 2. [↑](#footnote-ref-1)
2. Sleeping Vulnerable Premises: FSEC A (Hospitals). FSEC B (Care homes). FSEC E (Hostel). FSEC F (Hotel). [↑](#footnote-ref-2)
3. **Sleeping Vulnerable Premises:** FSEC A (Hospitals). FSEC B (Care homes). FSEC E (Hostel). FSEC F (Hotel) [↑](#footnote-ref-3)
4. **Other Premises:** FSEC D (Purpose built block of flats 4 floors and above), FSEC G (House converted to flats), FSEC H (Other sleeping accommodation), FSEC J (Further education), FSEC K (Public buildings), FSEC L (Licenced premises), FSEC M (School), FSEC N (Shop), FSEC P (Other premise open to the public), FSEC R (Factory or Warehouse), FSEC S (Office), FSEC T (Other place of work), FSEC X (Unknown) [↑](#footnote-ref-4)
5. Facilities, equipment and devices provided in respect of the premises under The Order, under any other enactment , including any enactment repealed or revoked by The Order.

   Only applies to facilities, equipment and devices provided under other enactments where they are provided in connection with general fire precautions. [↑](#footnote-ref-5)
6. This applies even if the other premises are not premises to which The Order applies.

   Where there is one or responsible person and/or duty holder, arrangements must be made to ensure facilities, equipment and devices are maintained in an efficient state, working order and in good repair. [↑](#footnote-ref-6)
7. Other Premises: All other premises not mentioned in Note 8 below [↑](#footnote-ref-7)
8. Sleeping Vulnerable Premises: FSEC A (Hospitals). FSEC B (Care homes). FSEC E (Hostel). FSEC F (Hotel). [↑](#footnote-ref-8)