



Office of the
Deputy Prime Minister

Creating sustainable communities

Operational Assessment of Service Delivery

Consultation Paper

April 2006



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Executive Summary

Context

This consultation exercise deals with one aspect of the Audit Commission's Service Assessment of Fire and Rescue Authorities. The Service Assessment comprises two elements; the Operational Assessment of Service Delivery, which ODPM has been asked to undertake working with Fire and Rescue Authorities and consideration of BVPI and PI data. These two components will be brought together by the Audit Commission and scored. The Audit Commission proposes that the service block will form part of the CPA for Single Tier and County Councils in 2006, for other types of Fire and Rescue Authorities it will be a stand-alone scored judgement. The Audit Commission will be consulting separately on the weighting to be given to the respective parts of the service assessment and the other parts of the package of performance assessment measures for Fire and Rescue Authorities.

The Operational Assessment

The Operational Assessment of Service Delivery will take the form of a self assessment which each Fire and Rescue Authority in England will undertake using a document (toolkit) based on the work of a CFOA working group, with which ODPM have been collaborating for some time. This work has generally been known as Operational Assurance.

Starting in July, Fire and Rescue Authorities will be given six weeks to complete a self assessment using the finalised toolkit. Following this, field teams of Fire and Rescue Service professionals seconded to ODPM for this purpose will visit each Fire and Rescue Authority and review the self assessment. This will take place from August to mid November. The field work will involve teams looking at the evidence put forward and the judgements, testing some of the evidence through sampling and interviewing relevant staff. Following this and the judgement will be either confirmed or adjusted. Initial feedback will be provided and at this point should an Authority require a review of the process so far, this would be initiated. Following this, finalised judgements will be passed to the Audit Commission for inclusion in the overall Service Assessment.

The Operational Assessment of Service Delivery process includes a quality assurance approach to ensure that the work of the field teams is consistent. A review process is also included to allow authorities to raise issues of concern following initial feedback.

The purpose of this self assessment is twofold. Firstly it will provide Authorities and other stakeholders with assurance concerning the delivery of services. Secondly, it will assist Authorities with improvement planning to enhance service provision.

Section 1

Background

The primary purpose of a modern Fire and Rescue Service is to help build a safer society and sustainable communities by working in partnership with others to promote community safety, whilst reducing death and injury, damage to property and damage to the environment from fire and other emergencies.

To succeed in this authorities need to examine operational service delivery issues as part of improvement planning. The Audit Commission Paper *“Learning the lessons from the Fire and Rescue CPA” (January 2006)* listed, as one of the outcomes, a need for Fire and Rescue Authorities (FRAs) to look at this area. This draft toolkit provides Fire and Rescue Authorities with a process that will allow internal or external review of the operational and technical aspects of service provision within an agreed national framework. It will assist FRAs to determine the extent to which service delivery is assured, as part of the broader Service Assessment of the Fire and Rescue Service conducted by the Audit Commission in 2006. The broader performance framework for 2006 will be consulted upon by the Audit Commission, but as the Service has assisted in the preparation of this Toolkit, and this part of the framework is Fire and Rescue Service specific, the Toolkit is being consulted upon separately.

The Audit Commission 2005 Fire and Rescue CPA was intended to provide an authoritative view on the efficiency of the management and organisational policies and practices of each FRA and serve as a basis for effective improvement planning. CPA was not designed to assess operational effectiveness, but did examine some of the processes which impact on operational practice, such as Performance Management, Integrated Risk Management Planning (IRMP) and the Integrated Personal Development System (IPDS). As part of the Service Assessment for 2006, the Toolkit will focus on service delivery and will not cover any of the themes covered in the 2005 CPA. However, a number of the diagnostics used in 2005 touch on areas that directly affect service delivery; the five diagnostic tools used were Community Fire Safety, IPDS, IRMP, Equality & Diversity and Partnership working. The Toolkit inevitably needs to touch on aspects of these but primarily is focused on the delivery of services.

This toolkit sets out the expectations for the various elements which underpin or influence the effectiveness and safety of operational FRA service delivery. These include evidence that might demonstrate compliance with relevant legislation or Codes of Practice and, where possible, what might constitute good practice. The document also has a scoring framework for use by sector competent staff. This will allow the same criteria to be used in forming judgements on the evidence available in each service, whether assessment is undertaken by self assessment, peer review, critical friend or as part of the Service Assessment fieldwork that is being led by ODPM. The role of external challenge is important to provide the impetus for improvement, promote best practice and provide assurance for the public and the Government. The toolkit is designed therefore to provide a common national tool for service managers to carry out a self assessment and when necessary for an external review that assessment.

What comprises 'Operational Assessment of Service Delivery'?

Operational assessment is based on the principles used in Integrated Risk Management Planning: an assessment of the risks, decision making about service delivery resource allocation, preventative and protective services, call handling, command support and operational response, together with the arrangements in place to secure the health and safety of staff, particularly the training and development for operational response options. All emergency responses, (fire fighting, fire rescue, transport accidents, specialist rescues, major incidents, terrorism, and environmental threats) are included in these definitions.

The underpinning arrangements include;

- the development and use of risk information;
- the implementation of risk reduction methodologies;
- disposition, availability and suitability of equipment and vehicles;
- receipt of calls; despatch of resources;
- incident command management;
- assistance arrangements with adjacent services;
- the adequacy of joint-service arrangements for major incidents (police/ambulance/adjacent and more distant F&RS's etc);
- resilience measures in place.

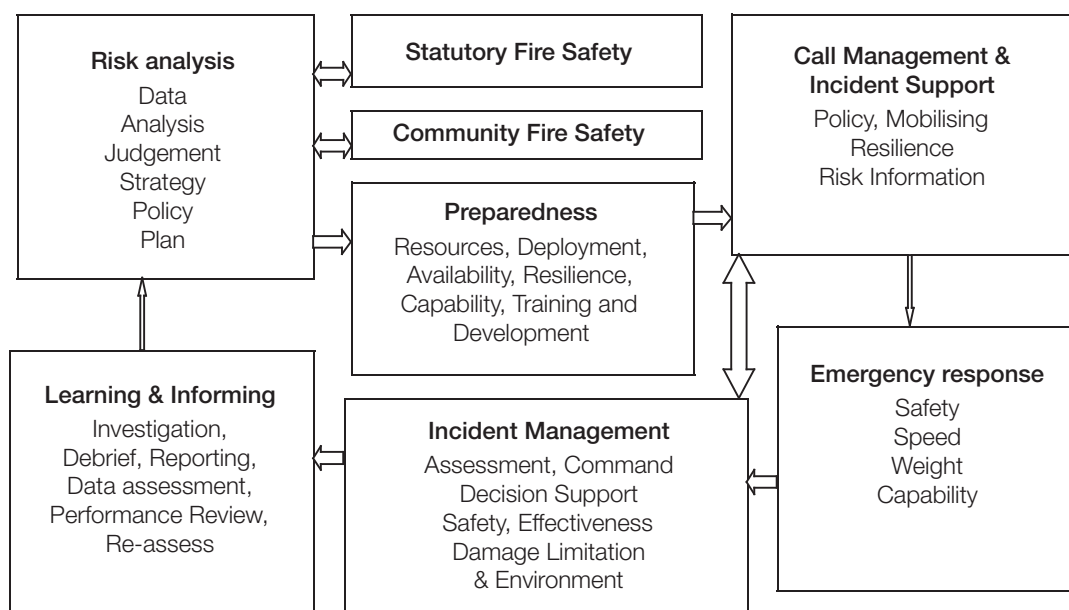
Section 2

Operational Assessment Toolkit – Principles and Main Components

Robust local performance management systems are key to securing continuous improvement in high quality, efficient, user focussed Fire and Rescue Authorities. Therefore, in a similar way to CPA, the first step in assessing operational performance is the consideration of how well the authority is managing itself and how well it knows itself. An examination of specific operational areas should start with a self analysis of the following information sources which will then lead to a more detailed examination utilising the toolkit;

- Integrated Risk Management Plans
- Corporate plans
- Recorded BVPI data
- Recorded ODPM data
- Performance against local delivery targets
- Equality Impact Assessments
- Incidents of special interest reports
- HSE Reports on operational activity or training for this
- Self/Peer assessments on operational matters

A model showing the cycle of how assurance of operational effectiveness is gained through operational assessment is shown below:



In satisfying themselves of the effectiveness of operational fire and rescue service delivery, authorities will wish to consider their performance against a number of factors. These are expressed in detail in each of the 5 parts of the toolkit. Each part is set out as a Key Line of Enquiry, they cover the following areas:

- Risk Analysis
- Prevention and Protection
- Operational Preparedness
- Call Management and Incident Support
- Emergency Response

Methodology

This toolkit is made up of discrete areas following the Audit Commission Key Line of Enquiry (KLOE) format with which FRA's will be familiar, designed to assure operational service delivery by means of self assessment, peer review or external review. As mentioned earlier, some KLOE's may contain elements to some extent covered by the 2005 CPA diagnostics. Whilst it is not the intention to duplicate work it is appropriate to include these, as:

1. FRA's will wish to look at Service Delivery as an entire focus area and to provide operational assurance from an integrated approach is being taken to the delivery of high quality services.
2. The CPA process is not 'cast in stone' and may change over time; whereas this toolkit is intended to be used as a 'rolling programme' of self determination and improvement planning. Its first use will set the benchmark for future review and improvement.
3. Any directed investigation by an external body will undoubtedly involve a comprehensive review of policies, procedures and expected outcomes. It is intended that this Service Assessment Toolkit will form the basis on which any investigation will be based. Therefore, each KLOE must include areas that CPA has touched upon.

The KLOEs will each take the following format:

A brief description of the KLOE giving an outline of the specific area(s) covered, followed by statements setting out the operational assurance outcomes to be delivered and self assessment focus areas that need to be addressed to satisfy the outcomes.

Each KLOE is divided into sections similar to those set out in HS(G)65 *Successful Health & Safety Management*. This format will provide consistency in approach and application across all operational areas. The sections include policy, organisation, planning and implementation, monitoring, audit and review. The KLOEs should be used by FRA's as a comprehensive toolkit to give a detailed picture of the area being reviewed. This approach will highlight strengths and areas requiring more detailed review or in need of improvement planning.

Section 3

Guidance on the use of the Toolkit

The toolkit is designed only for use by persons having competence in the KLOE area being reviewed. Interpretation of the evidence gathered will require professional judgement in order to give the public and other key stakeholders confidence that operational effectiveness of service delivery is being maintained in the FRA. The results of the assessment/review of each KLOE should be fed back into the FRA's formal review process to inform/improve future performance planning.

Some of the questions/evidence criteria may require a straightforward yes/no, though overall a more qualitative professional judgement will need to be made to assess the quality of what is being looked at and to inform the overall judgement.

When conducting such a comprehensive review, the evidence gathered may be both verbal (from interviews) and examination of written information (copy of policy document, or minutes of meetings, etc.). Each question in the evidence criteria section should be considered as a guide question only. The person(s) using the KLOE can develop further questions to test the validity of answers received before applying a judgement. Accompanying this is a matrix to assist the assessor in arriving at a balanced outcome for each KLOE. The full guidance for use of the toolkit and scoring is attached at Appendix 2.

Section 4

Scoring and Evidence Requirements

The Audit Commission have indicated that for each verified self assessment, they will require a single one to four score. To arrive at this, each KLOE will be awarded a rating from 1 to 4, an approach used previously in the 2005 Fire and Rescue CPA. The CPA consisted of a process whereby the output of a review was a report setting out a series of judgements and an overall rating:

4 – well above minimum requirements, performing strongly

3 – consistently above minimum requirements, performing well

2 – at only minimum requirements, adequate performance

1 – below minimum requirements, inadequate performance

It is proposed that the self assessment will follow this approach.

With regard to the external review of the self assessment, the final sign-off of the scores for each of the KLOE and the overall score of 1 to 4 will rest with field teams. The FRA will determine through its self assessment what it proposes to be an appropriate score and the review conducted by the field team will confirm this to be accurate or present evidence as to why an adjustment is necessary. The 5 scores from each KLOE will be added to get an overall score for the entire self assessment, using the method detailed below.

Weighting of Component Parts

There may be a need for different parts of the toolkit to have relative weightings. Those areas which have a direct affect on the public may be the ones that received a greater weighting for example. Looking at the five KLOE, Prevention and Protection and Emergency Response could receive an additional weighting, so that they account for a double score.

An example could be:

KLOE	Raw score:	Adjusted score:
Risk Analysis KLOE 1	= 2	2
Prevention & Protection KLOE 2	= 4	8
Operational Preparedness KLOE 3	= 3	3
Call handing and Incident Support KLOE 4	= 4	4
Emergency Response KLOE 5	= 3	6

In terms of giving an overall score, if the above weighting is applied, this gives a maximum score of 7 fours. Using these, the following is proposed:

Four or more 4's and the rest 3's	= 4
Five or more with a score of 3 or greater and no score less than a 2	= 3
Five or more with a score of two or more	= 2
Any other combination	= 1

In the example given, the scores would be 3 fours, 3 threes and 1 two resulting in an overall rating of 3.

Section 5

Achieving Consistency, Quality Assurance and the Review Process

A key objective of the Operational Assessment of Service Delivery process is to ensure that we achieve consistency in the way we go about our work and of course in any judgements that are made. Valid and reliable results are vital to the success of the process and the purpose of quality assurance (QA) is to:

- Seek assurance that the process has been consistent with guidance;
- Ensure that evidence is correctly used and judgements correctly constructed; and
- Ensure the fieldwork programme is robust and sufficient to ensure robust judgements.

Our quality assurance approach is based on the following principles:

- Ensure fairness and consistency of standards and judgements;
- Be proportionate to the size and complexity of the work;
- Be based on clear principles and guidance;
- Involve people with the right skills and support to carry out their respective roles;
- Be supported by robust audit trails and clear judgements; and
- Demonstrate a clear fit with the Audit Commission's quality framework.

How will we deliver Quality Assurance?

To ensure that the review of self assessments is carried out to an acceptable standard in a consistent manner, we have set out a number of quality assurance elements which are based on the above principles.

Quality control of internal assessment

- Development of toolkit in conjunction with stakeholders;
- Process developed using best practice from Audit Commission;
- Use of standard documentation; and
- Guidance and scoring framework provided to self assessors, to include evidence requirement advice.

Quality control of external verification

- Project managed process;
- Consultation with stakeholders on toolkit, assessment principles, consistency and review procedures;
- Guidance and framework provided to verifiers;
- Use of standard documentation;
- Selection of personnel against specified job descriptions and selection criteria;
- Training of personnel against clearly specified objectives;
- Code of conduct and confidentiality agreement for seconded staff ;
- Stakeholder views sought after visit;
- On-going assessment of all team members;
- Consistency meetings as part of process;
- Review Panels as part of process;
- All documentation available to stakeholders; and
- Structured review of process involving stakeholder views at the conclusion of the process.

Review Procedures

Despite employing a robust QA process to ensure consistency of approach, it is recognised that from time to time disagreements with judgements will occur. In such cases, ODPM will use a review procedure to re-assess the evidence that led to the disputed judgement. The review procedure will be available immediately after the release of the judgement to the authority and should be completed within 28 days.

ODPM would expect authorities to raise any issues at the earliest opportunity with the field team leader, or broader issues with the Director of the process so they can be dealt with as soon as they occur. However, an Authority can ask for a formal review of its judgement when it receives its pre-publication feedback. It can apply for the review procedure in relation to the scope of the work undertaken, the way the inspection or assessment was conducted, and any resulting report or judgement, providing the matter of concern is capable of affecting the judgement. In circumstances where a range of issues are raised and one of the issues would require the review procedure to be followed, then all of the issues raised will be considered under the review procedure. The review procedure will be used to reach an outcome that is fair and consistent. As a result, the review manager will have the ability to review other parts of the reports and judgements linked to the disputed area. As a consequence scores may go up or down, or remain the same.

The Review process

An Authority must send to ODPM written notice of its application for a review within ten working days of receipt of initial feedback. The notice should:

- identify the scored judgement that it is requesting to be reviewed;
- state why it disagrees with the judgement and **provide the supporting documentation to justify its case**; and
- state what it believes the judgement should be.

The review request should be sent to the Director of Operational Assessment at ODPM. If a review is granted then a letter confirming this will be sent, together with details of the process. Any sharing or publication of the judgement will be stopped during the review process. For the process a review manager will be appointed (not previously involved in the assessment under review). The review manager will liaise with the Authority to understand its reasons for dissatisfaction, if this is not fully understood or the matter can be easily resolved. The review manager will arrange for a review to be undertaken which may involve:

- a desktop review of the evidence and any additional evidence provided (**evidence of post assessment developments will not be considered**)
- on site activity to collect further evidence
- discussions with other relevant stakeholders
- other work necessary in resolving the disagreement.

The review manager will then arrange for a review meeting to be convened. The review panel will consist of the review manager and an independent person with relevant sector knowledge. The review meeting will allow the authority to formally present its case and for the review panel to ask for further information and carry out a final review of the case. The review panel will then consider all of the available evidence and reach a determination, which will be communicated in writing. The decision of the review manager will be final.

Section 6

Timetable for implementation

This consultation exercise will commence on 7th April 2006 and will last ten weeks. Due to the considerable involvement of the service in the development of the toolkit, and the CPA timetable for Single Tier and County Council Authorities, a ten week exercise is thought appropriate. During this period a number of Fire and Rescue Services have volunteered to pilot aspects of the toolkit and this will aid the development of a fit for purpose product. **Redesign of the toolkit, following a review of consultation responses, is open to ensure the toolkit meets respondents' requirements in the best way.** The consultation will conclude on the 16th of June 2006.

Following this a review of responses will be undertaken and changes made to the process and toolkit, as considered appropriate. Within 3 months of the deadline date an overview will be published on the ODPM website which summarises the received responses and comments and any amendments to the process as a result of the consultation. In the week commencing 3rd July the finalised toolkit and guidance will be available for use. This will allow FRA's 6 weeks to complete their self assessment, which should be submitted to ODPM by 11th August. A six week period is the standard endorsed for self assessments by the Local Services Inspection Forum. A review of self assessments will commence immediately, with the first round of field work visits starting on Monday 21st August. The field work programme will run through to the end of November and following this final reports will be prepared for submission to the Audit Commission. Initial feedback to Authorities will be given as soon as is possible after the visit and any meetings to ensure consistency have taken place, the review process will be available after this.

Section 7

Context for the Self Assessment

To assist in the review of the self assessment and the subsequent Audit Commission lead assessments covering Use of Resources and Direction of Travel, Fire and Rescue Authorities are invited to submit a single summary of local factors which impact/influence their service provision. These may include:

- Geography
- Demography – population, sparsity, deprivation
- The Economy
- Financial standing and challenges
- Partnerships and Community Engagement
- Local risks

This information should be submitted to Di Bell at the email address below by 16nd June 2006 and should cover no more than four sides of A4. Information of this nature previously submitted in the 2005 CPA can be used, updated or amended. Whilst it is the intention to seek this information just once to inform all three assessments, Authorities will have the opportunity to update this contextual information before the Use of Resources assessment and the Direction of Travel assessment should they choose to.

A context summary statement should be submitted to **Di Bell, by e-mail to Diane.Bell@odpm.gsi.gov.uk by 16th June 2006**

Status of this document – This consultative document makes proposals concerning the development and use of a self assessment toolkit for use in the Fire and Rescue Service in England. The document also sets out the role the Operational Assessment field teams will undertake to review self assessments.

APPENDIX 1 – Draft Self Assessment Toolkit

Guidance for completion – important

It should be noted that the Evidence Criteria questions are to help paint the overall picture of what might be expected to be in place. They do not necessarily require individual answering or evidence referencing. With regard to evidencing, completion of the self assessments does not require production of the evidence, referencing/sign-posting the evidence will be sufficient. Overall a maximum of twenty pages of A4 should be used when completing the self assessment.

Key Line of Enquiry 1 – Risk Analysis

Risk analysis is the first stage in an integrated risk management programme. It is a technique whereby possible hazards, both to communities and the FRA's, are identified and an assessment made of how likely they are to occur and their possible consequence (likelihood and impact). Risk analysis includes the evaluation of information related to hazards based on past, current, or anticipated, future activities. This can include statistical incident data, environmental, and socio-economic data. Risk Analysis may help in defining the preventive and protection measures necessary to remove/reduce/control the likelihood of these hazards occurring and identify the emergency response options to successfully deal with incidents when they occur.

1. Policy

Key Areas for Enquiry

Does the FRA have a clearly defined policy in relation to the assessment of existing and potential risk within the diverse communities that it serves? The policy should state the FRA's strategic aims and objectives in reducing the level of risk by providing appropriate prevention, protection and emergency response options. The risk management framework or arrangements described within the policy should reflect the Fire Services Emergency Cover (FSEC) guidance issued by ODPM.

How well does the FRA ensure a competent workforce is available to develop risk analysis responses to mitigate risk within their communities, and respond to emergencies?

Self Assessment Focus

Evidence that:

1. The FRA's risk analysis processes supports the FSEC guidance produced by ODPM or alternative arrangements are in place to provide a risk management framework to identify existing and potential risks to the community within the FRA area.
2. The FRA has clear and coherent policies for workforce development covering planning, selection, learning and development, workforce competence and excellence

Evidence Criteria for Judgement

- 1.1 Does the FRA have a risk management policy that includes clearly stated aims and objectives for risk management?
- 1.2 Does the FRA set out a means for identifying existing and potential risks to the community within the risk management policy?
- 1.3 Does the FRA policy describe a range of risk reduction opportunities to support the management of risk?
- 1.4 Does the FRA provide a means to determine the resources required to address identified risks within the risk management policy?

- 1.5** Are policies subject to impact assessments including risk, equality and diversity?
- 1.6** Are the policies within a document control system?
- 2.1** Does the FRA have a policy to provide the physical and human resources for learning and development in this context? This may include training in and away from the workplace, coaching, mentoring, experiential learning, multi-media learning, performance review, assessment and appraisal.

2. Organising

Key Areas for Enquiry

Does an effective risk management structure exist within the FRA to support the development and implementation of the risk analysis process by assigning responsibilities at the appropriate level?

How effective are arrangements to assess and prioritise the existing and potential risks within the FRA's area and identify opportunities for improvement utilising the FSEC toolkit or an alternative?

Self Assessment Focus

Evidence that:

- 1.** The FRA will establish empirical and statistical evidence and other relevant information requirements to assess risk to the community and develop appropriate prevention, protection and response options. Utilising either the FSEC toolkit, or an alternative tool.
- 2.** Clear responsibility exists for the development, improvement and maintenance of the risk assessment process. An organisational chart exists with relevant responsibilities incorporated within job descriptions. Objectives are established and communicated to the relevant teams and individuals.
- 3.** Personnel engaged in risk analysis are either competent, or if in development are provided with adequate supervision, and undertake continuous development to maintain competence.

Evidence Criteria for Judgement

- 1.1** Is there evidence that empirical incident data has been considered?
- 1.2** Has the FRA used the latest census, or other suitable population data?
- 1.3** Has the FRA considered data from partner agencies and neighbouring FRA's, or any other forms of data, to support the assessment?
- 1.4** Does the FRA have data sharing protocols with other partner agencies?
- 1.5** Has the FRA considered the diversity of the community?
- 1.6** Is the FSEC toolkit, or an alternative, being used effectively to inform the IRMP?
- 1.7** Has consultation of stakeholders been undertaken?
- 2.1** Does an organisational personnel chart exist?

- 2.2** Do job descriptions exist and are they reviewed regularly?
- 2.3** Have objectives been agreed with teams and individuals?
- 2.4** Are decisions relating to selected response options made by the principal management team and presented to the FRA for approval?
- 3.1** Has the FRA made appropriate arrangements to ensure that risk analyses are accessible to all stakeholders and easy to understand?
- 3.2** Have the FRA arrangements to train, develop and secure the competence of personnel in their role and in particular the statistical and risk analysis techniques?

3. Planning and Implementation

Key Areas for Enquiry

Has the FRA considered all relevant key legislation, guidance and consultation when formulating their plans (see Annex A)?

Self Assessment Focus

Evidence that:

- 1.** The FRA establishes plans, procedures and practices in relation to risk analysis and assessment. These will contain details of the priorities, resource implications, targets and options required to achieve objectives.
- 2.** The risk analysis process has taken account of community, personal and corporate risk.
- 3.** The FRA has considered the guidance issued by ODPM, which provide advice and assistance.

Evidence Criteria for Judgement

- 1.1** Can the FRA demonstrate that it has examined the number, type, geographical location and time and day of all incidents in recent years, including, for example, road traffic collisions, and other emergency incidents, and is this information fully considered in its risk mitigation strategies?
- 1.2** Is the data utilised, current and presented in a suitable and understandable format?
- 2.1** Has the FRA completed a full evaluation of community risk in mapped format and are the findings supported by documentary evidence of the process followed?
- 2.2** Is there evidence that speed and weight of response of both emergency appliances and operational personnel have been considered and risk assessed?
- 2.3** Do plans, maps, summaries or tables show actual incidents and identify high and low risk areas for existing and potential risks?
- 2.4** Does the FRA consider the impact of risk and incident demand spatially and by time of day?

- 3.1** Has FSEC or an alternative been used to support the decision making process on prevention, protection and emergency response when formulating Pre Determined Attendances?
- 3.2** Has this been considered in line with the Civil Contingencies Act and the requirements for joint agency community risk profiling?
- 3.3** Has the FRA made use of information technology resources (including FSEC or similar) to assist the speed and ease with which the community risk profile can be updated?
- 3.4** Has the guidance contained within “Emergency Preparedness” and “Emergency Response and Recovery” been appropriately incorporated into local plans?
- 3.5** Does the FRA have arrangements to secure competent personnel to be available to undertake this work?
- 3.6** Are there arrangements in place to measure the effectiveness of changes to emergency response provision to inform future improvements?
- 3.7** Are organisational, team and individual planning and implementation objectives agreed and communicated?
- 3.8** Does the FRA have systems of work and working practices that support the selection and learning & development and maintenance of competence of personnel engaged in prevention and protection?

4. Measuring Performance (Monitoring)

Key Areas for Enquiry

Does the FRA have appropriate arrangements in place to monitor its risk management process and to measure it’s effectiveness?

Self Assessment Focus

Evidence that:

- 1.** The FRA identifies and prioritises the existing and potential risk within its area.
- 2.** Prevention, protection and response arrangements are continuously monitored, and analysed, to ensure that selected options achieve, and continue to achieve, established standards.
- 3.** Staff undertaking risk analysis work are competent or are developing their competence under adequate supervision and their performance is assessed against agreed objectives.

Evidence Criteria for Judgement

- 1.1** Has the FRA considered the availability of resources within regional and national boundaries to ensure the most appropriate speed and weight of emergency response?
- 2.1** Has the effectiveness of current preventative, protective and response arrangements been evaluated to identify strengths and weaknesses?

- 2.2** Are response times and resource disposition monitored and analysed to determine potential to improve performance?
- 2.3** Are risk reduction activities monitored and, where appropriate, actions taken to improve performance and methods of delivery?
- 3.1** Have competent staff responsible for various aspects of collecting and evaluating evidence, and for making the decisions which determine the risk, received appropriate training and is their work monitored ?
- 3.2** Is staff knowledge, skills and understanding subject to continual professional development and assessment to ensure competence?

5. Audit

Key Areas for Enquiry

Does the FRA have arrangements in place for the audit of its risk analysis process? This may be achieved through self-assessment, peer review, internal or external audit.

How well does the FRA disseminate the results of risk analysis to stakeholders and service users?

Self Assessment Focus

Evidence that:

- 1.** A systematic performance based audit system is used to improve the risk management process. Audit should involve all appropriate levels of the organisation, internal and external stakeholders.
- 2.** Risk management review decisions are referred to the FRA for approval, after taking into account the views of the local community and relevant stakeholders.

Evidence Criteria for Judgement

- 1.1** Has the FRA comprehensively analysed performance to ensure that it is achieving its prevention, protection and response targets?
- 2.1** Are all persons or organisations that might have a legitimate interest in the proposals under consideration, or who may be affected by those proposals, given the opportunity to express their views and are these included in the evaluation process?
- 2.2** Are all responses to consultation evaluated and formally considered by the FRA?

6. Review

Key Areas for Enquiry

Does the FRA review performance and the decisions made in the risk analysis process? Is this carried out at the appropriate level to facilitate the planning and implementation of action to improve performance? The outcome of the review process should result in continuous improvement of the FRA's ability to identify and assess risk to the community and inform options for the reduction of risk.

Self Assessment Focus

Evidence that:

- 1.** All areas of risk management and analysis are reviewed on a regular basis and appropriate action taken to improve performance and inform the IRMP process.
- 2.** The results of any changes are disseminated throughout the organisation and to other relevant stakeholders.

Evidence Criteria for Judgement

- 1.1** Does the FRA have in place an effective method for reviewing all aspects of its risk analysis processes?
- 1.2** Are reviews carried out on a regular basis and do they take account of any changes in risk profile and resource provision?
- 1.3** Has the FRA evaluated the effectiveness of its work with vulnerable/at risk groups?
- 1.4** Does the FRA have an agreed mechanism to identify and act upon any changes in the FRA's area that could impact upon risk?
- 2.1** Does the FRA have an agreed method for assessing the effectiveness of its consultation process to ensure all areas of the community and stakeholders' views are considered and acted upon as appropriate?
- 2.2** Do results from the review process inform IRMP and future action planning for the FRA, its partners and its personnel?

Key Line of Enquiry 2 – Preventative and Protection Services

The FRA will have a fire safety strategy that seeks to reduce the number of fires, fire deaths and injuries, and damage caused by fire within its geographical area. This will include strategies to meet its statutory duty to promote fire safety and the priorities established in the National Framework. The FRA will have a strategy that seeks to reduce the identified risks through targeted and proportionate programmes of work with local people, businesses and schools and other public and voluntary sector organisations. The FRA will have strategies to reduce the number of special service interventions it makes (to include Road Traffic Collisions), based on its IRMP.

1. Policy

Key Areas for Enquiry

Does the FRA have clearly defined policies to meet its statutory community/legislative fire safety responsibilities based upon the IRMP?

Does the FRA take into account the guidance in the National Framework document and national guidance published in support of enforcement?

How well do the policies address the reduction of other non fire incidents as set out in its IRMP?

Self Assessment Focus

Evidence that:

1. The FRA has an efficient and effective community safety policy, including fire safety, designed to meet the requirements of the community risk profile in all its diversity, and achieve compliance with all fire safety legislation for which the Authority has responsibility, as reflected within the IRMP.
2. The FRA has established arrangements for reducing arson, malicious and other unwanted fire calls. These arrangements reflect the requirements and guidance relevant to the Crime and Disorder Act and the Fire and Rescue Services Act 2004, and provide a framework for multi-agency effort to tackle crime and its causes. In addition involvement in Local Area Agreements will demonstrate the FRAs commitment to sustainable communities.
3. The FRA has appropriate policies for the investigation of fires in accordance with its powers of entry and will have considered this on a regional/collaborative basis.

Evidence Criteria for Judgement

- 1.1 Does the FRA have policies for all aspects of: legislative fire safety and community fire safety activities aimed at reducing fires, fire related fatalities and injuries in domestic dwellings; unwanted fire calls and arson reduction consistent with the community risk profile and the requirements of the IRMP?
- 1.2 Does the FRA have a CFS policy which establishes the targeting and engagement of those at greatest risk opportunities for improvement in community safety?

- 1.3** Has the FRA’s policy taken account of relevant Circulars and National Community Fire Safety Centre advice and guidance?
- 1.4** Does the FRA’s policy include taking a full and active part in Local Strategic Partnerships and Local Area Agreements to improve community and workplace fire safety?
- 1.5** Does the FRA have a policy to provide the physical and human resources for learning and development in this context? This may include training in and away from the workplace, coaching, mentoring, experiential learning, multi-media learning, performance review, assessment and appraisal.
- 1.6** Are policies subject to impact assessments including risk, equality and diversity?
- 1.7** Are the policies within a document control system?
- 2.1** Does the FRA take a full and active part in Crime and Disorder Reduction Partnerships to tackle arson and malicious calls?
- 2.2** Has the FRA considered the role of working with young people in effective risk reduction, within the context of local provision for young people?
- 2.3** Do the FRAs’ policies include the recovery of its costs arising from malicious calls when a culprit is prosecuted and convicted?
- 2.4** Does the FRA have a policy for dealing with unwanted calls emanating from automatic fire detection systems which identifies targets for reducing such calls?
- 3.1** Has the FRA developed a policy for fires to be appropriately investigated by authorised personnel for such purposes, and has the FRA considered the provision of this service regionally/collaboratively?

2. Organising

Key Areas for Enquiry

Does an effective management structure exist within the FRA to support the development and implementation of the prevention and protection services by assigning responsibilities at the appropriate level?

How effective are arrangements to assess and prioritise the existing and potential risks within the FRA’s area and identify opportunities for improvement?

Self Assessment Focus

Evidence that:

- 1.** The FRA has an appropriate structure to ensure that the promotion of prevention and protection activities within its diverse communities is effective, and clear responsibility exists for the development of plans relating to all aspects of this work. An organisational chart will exist showing responsibilities incorporated into the relevant person’s job description.

2. Arrangements for management and administrative systems will be established to ensure that the FRA can meet statutory duties and the priorities in the National Framework. These systems should record and provide information on all areas of prevention and protection activity, eg delivery of HFRCs, fire safety enforcement, fire safety education and arson reduction. Objectives are established and communicated to the relevant teams and individuals.
3. The FRA will have considered the sharing of specialist staff in discharging their functions for prevention and protection and fire investigation.

Evidence Criteria for Judgement

- 1.1 Does an organisational personnel chart exist?
- 1.2 Do job descriptions exist and are they reviewed regularly?
- 1.3 Have the FRA arrangements to train, develop and secure the competence of personnel in their role and in particular the statistical and risk analysis techniques?
- 1.4 Are all areas of responsibility for implementation of any community safety plan clearly specified, including the part that specialist fire safety staff (eg schools teams, community advocates and fire safety inspection staff) play in achieving the aims and objectives of the plan?
- 1.5 Are there programmes of work for all areas of community safety work, including fire safety inspections, schools visits and HFRCs, for example, which clearly target the areas of highest risk and allocate resources in proportion to risk?
- 2.1 Does the FRA have the appropriate management and administrative systems to support and meet its legislative obligations and priorities in the National Framework?
- 2.2 In Fire Safety Enforcement and Arson Reduction is there evidence of effective consultation with other authorities and agencies to provide consistency of advice/enforcement?
- 3.1 Has the FRA considered the regional sharing of specialist physical and human cover for both fire investigation and legislative fire safety enforcement purposes, and do their duty systems match the requirements of the IRMP?

3. Planning and Implementation

Key Areas for Enquiry

Do the FRAs' prevention and protection plans support the IRMP and will set out the objectives, priorities, resource implications, performance management and target times for completion of objectives? Is prevention and protection provided in a fair and equitable manner to the diverse communities served, and risk based?

Has the FRA made appropriate arrangements in accordance with the National Framework to investigate the cause of fire? Do these arrangements include regional collaboration?

Has FRA established procedures and action plans for reducing arson, malicious and unwanted fire calls?

How well do these identify the targets set and the post holder responsible for managing and monitoring the initiative? In respect of unwanted calls, does the plan follow national best practice guidelines?

Self Assessment Focus

Evidence that:

1. The FRA has completed a full evaluation of community risk in accordance with the guidance issued with Fire Service Circular 7/2003 'Integrated Risk Management Planning', and has a plan for HFRCs and other initiatives that target assistance to high-risk areas, minority and vulnerable groups. Challenging targets will have been set for increasing smoke alarm ownership.
2. The FRA will have adopted national guidance on fire safety as appropriate, and enforces legislation consistently. Enforcement activities are prioritised towards those premises that have the greatest potential for danger to life which are inspected at appropriate frequencies to maintain acceptable levels of safety from fire. Where operational personnel are used to carry out fire safety inspections and other fire safety activities, account is taken of their level of competence and training & development.
3. The FRA will have arrangements for liaison between fire, police and forensic investigators and other experts and to pass appropriate information gathered during fire investigations to other departments of the FRA and other FRA's if relevant. Such information will be used to inform aspects of the FRAs' activities, including fire-cover, fire-fighter safety and fire safety.
4. The FRA will have consulted police, telephone companies, ambulance service, probation service, social services, for example and any other relevant organisations, in order to plan a strategy to combat arson, crime and disorder and the making of malicious false alarm calls. This will also include prevention action for other risks such as road traffic collisions.
5. The FRA has systems of work and working practices that support the selection and learning & development and maintenance of competence of personnel engaged in prevention and protection?

Evidence Criteria for Judgement

- 1.1 Has the FRA set a SMART plan with targets for prevention and protection?
- 1.2 Are priorities and agreed targets for reducing accidental fires and casualties in domestic dwellings been communicated to relevant teams and individuals and implemented, particularly HFRC's?
- 1.3 Has the FRA used briefings from the National Community Fire Safety Centre on national campaigns and have they considered to what extent more lives may be saved by improved community safety initiatives?
- 1.4 Are the FRAs local safety initiatives co-ordinated with national campaigns to maximise opportunities for increased public awareness and positive action?
- 1.5 If work with young people is undertaken, does the FRA engage with appropriate partners such as Connexions, Youth Offending Teams, schools, Sure Start, in the planning, design and delivery of schemes?

- 1.6** Does the FRA have a child and vulnerable adult protection policy and does it provide appropriate training?
- 1.7** Does the FRA make effective use of referrals to and from local partners (eg for youth diversion, HFRCs)?
- 1.8** Does the FRA seek to develop participation by young people and involve and consult young people in the design and delivery of initiatives for them?
- 1.9** Has the FRA taken steps to ensure the delivery of community safety and work with young people meets equality and diversity requirements?
- 1.10** Does the FRA make use of community volunteers to deliver community fire safety activities?
- 1.11** Has the FRA considered working in partnership with other agencies to reduce road traffic accidents and deaths?
- 2.1** Does the FRA engage with appropriate local partners in the planning, design and delivery of community and workplace fire safety activity and arson reduction, eg LA housing, education and social services departments, Primary Care Trusts, Chambers of Commerce and voluntary sector organisations?
- 2.2** Does the FRA fire safety plan clearly state the policies, practices and procedures used, set targets and provide a clear focus to the fire safety enforcement and advice service provided? Has the FRA adopted the guidance to enforcers and taken account of the guidance issued to responsible people under current fire safety legislation?
- 2.3** Have premises that have the greatest potential for loss of life been identified and prioritised for the purpose of fire safety inspections, and does the prioritisation process take account of the fire safety measures installed, the fire record and quality of the management of fire safety in the premises?
- 2.4** Does the FRA have a strategy for implementing and recording inspections carried out under appropriate legislation?
- 2.5** Does the FRAs' risk assessment methodology include a procedure for approving or rejecting the employers own risk assessment?
- 2.6** Does the FRA have mechanisms in place to receive and react to reports or complaints of dangerous conditions and/or risk to life from fire?
- 2.7** Does the FRA have systems to ensure the effective exchange of technical and safety critical information between operational and fire safety staff?
- 2.8** Does the FRAs' procedure for dealing with the exchange of information include details of the procedure to be followed when other agencies or organisations such as the Health & Safety Executive, police and local authorities are involved?
- 3.1** Does the FRA provide fire investigation on a regional/collaborative basis?
- 3.2** Does the FRA have a published procedure detailing how information gathered during fire investigations is shared with other staff internally, and is used to inform other aspects of FRA activity?
- 3.3** Does the FRA have arrangements whereby significant trends identified as a result of fire investigations are used to target fire safety campaigns locally and are fires of special interest brought to the attention of ODPM?

- 4.1 Has the FRA established appropriate and effective joint liaison and working procedures between the FRS, police, other relevant agencies and community representatives, to tackle arson, other anti social behaviour, and develop appropriate reduction strategies?
- 4.2 Has the FRA determined local targets to assist in reducing the number of arson attacks by category, e.g. vehicles, dwellings, schools, etc?
- 4.3 Is specific preventative advice offered to owners of premises known to be at significant risk of property loss from arson, together with employers and occupiers as appropriate?
- 4.4 Has FRA consulted the police, telephone companies, ambulance service, probation service, social services and any other relevant organisations, in order to plan a strategy to combat malicious false alarm calls?
- 4.5 Does the FRA conduct general awareness campaigns in support of reducing malicious calls and are these targeted at areas of greatest incidence?
- 4.6 Does the FRA plan for dealing with hoax 999 calls have local targets?
- 4.7 Does the FRA share information between agencies dealing with crime and disorder in order to reduce the incidence of arson and malicious fire calls?
- 4.8 Has the FRA implemented action plans for reducing arson, and malicious and other unwanted fire calls, has it established targets and does it follow national best practice guidelines to reduce unwanted calls?
- 4.9 Are the managers/owners of premises generating high levels of unwanted AFD calls encouraged to adopt preventative measures, and are effective liaison/reduction plans in place to reduce these calls?
- 5.1 Are organisational, team and individual planning and implementation objectives agreed?
- 5.2 Has the FRA developed the fire safety competencies of operational personnel as detailed within national occupational standards?

4. Measuring Performance (Monitoring)

Key Areas for Enquiry

Does the FRA have appropriate arrangements to monitor its risk management process and to measure it's effectiveness?

Self Assessment Focus

Evidence that:

1. Prevention, protection and response arrangements are continuously monitored, and analysed, to ensure that selected options achieve, and continue to achieve, established standards.
2. Staff undertaking risk analysis work are competent or are developing their competence under adequate supervision and their performance is assessed against agreed objectives.
3. The FRA include details of its performance within its annual 'Best Value Performance Plan' to show where performance standards are being achieved and, where they are not, the action being taken to improve performance.

Evidence Criteria for Judgement

- 1.1** Does the FRA have effective arrangements for the collection and analysis of CFS and fire safety data, to provide management information and to record performance in delivering the preventative and protection standards detailed within the IRMP, and is this data used to determine best value and local performance indicators?
- 1.2** Does the FRA measure performance against agreed targets and objectives?
- 1.3** Does the FRA have appropriate systems to continuously improve performance in all areas measured?
- 2.1** Have competent staff responsible for various aspects of collecting and evaluating evidence, and for making the decisions which determine the risk, received appropriate training and is their work monitored?
- 2.2** Is staff knowledge, skills and understanding subject to continual professional development and assessment to ensure competence (eg schools teams, firefighters delivering fire safety, community advocates)?
- 3.1** Does the level of smoke alarm ownership in dwellings compare favourably with similar FRA's, and have challenging targets been set to improve ownership?
- 3.2** Has the FRA evaluated how well its partnerships with other agencies are delivering the cross-cutting multi-agency objectives?
- 3.3** How effective has the FRA been in meeting the targets in the BVPP for the last three years and are targets challenging and realistic?
- 3.4** Have improvement plans based on performance review been implemented?
- 3.5** Does the FRA monitor, analyse and benchmark its performance in reducing deaths and injuries, malicious calls, and the effectiveness of the AFA policy?

5. Audit

Key Areas for Enquiry

Does the FRA have arrangements for the robust audit and review of its prevention and protection services, achieved through self-assessment, peer review, and internal/external audit?

How robust are the arrangements in place to audit the quality of service to customers, and to provide feedback to stakeholders?

Self Assessment Focus

Evidence that:

- 1.** Policies and procedures are developed and reviewed in light of experience. A systematic performance based audit system is used to improve prevention and protection services.
- 2.** Audit should involve all appropriate levels of the organisation, external agencies and relevant stakeholders.

Evidence Criteria for Judgement

- 1.1** Does the FRA have a performance based audit process?
- 1.2** Does the audit process include all aspects of prevention and protection activity?
- 1.3** Are elected members (champions) involved in the quality audit process?
- 1.4** Does the FRA audit progress against its risk based inspection programme?
- 2.1** Does it involve relevant of the organisation and, where appropriate, external agencies, stakeholders, and the community?
- 2.2** What quality assurance arrangements are in place to ensure customer satisfaction and how does this inform future practice?

6. Review

Key Areas for Enquiry

Does the FRA review performance and the decisions made in prevention and protection services?

Is this carried out at the appropriate level to facilitate the planning and implementation of action to improve performance?

Does the outcome of the review process result in continuous improvement of the FRA's ability to identify and assess risk to the community and inform options for the reduction of risk?

Self Assessment Focus

Evidence that:

- 1.** All areas of prevention and protection are reviewed on a regular basis and appropriate action taken to improve performance and inform the IRMP process.
- 2.** The results of any changes are disseminated throughout the organisation and to other relevant stakeholders.

Evidence Criteria for Judgment

- 1.1** Does the FRA have in place an effective method for reviewing all aspects of its prevention and protection services?
- 1.2** Are reviews carried out on a regular basis and do they take account of any changes in risk profile and resource provision?
- 1.3** Does the FRA have an agreed mechanism to identify and act upon any changes in the FRA's area that could impact upon risk?
- 1.4** Has the FRA evaluated the effectiveness of its work with vulnerable/at risk groups?
- 1.5** Do results from the review process inform IRMP and future action planning for the FRA, its partners and its personnel?
- 2.1** Does the FRA have an agreed method for assessing the effectiveness of its consultation process to ensure all areas of the community and stakeholders' views are considered and acted upon as appropriate?

Key Line of Enquiry 3 – Operational Preparedness

In accordance with the FRA’s Integrated Risk Management Plan (IRMP) the Fire and Rescue Service (FRS) is prepared to deal with all operational incidents to which it may reasonably be expected to respond, working with others as appropriate. This includes ensuring that all staff including incident commanders are trained and develop their competence to national occupational standards, which validates that staff are familiar with risks, are able to apply the command and control systems and working practices that are in place, and use the right equipment that is available.

1. Policy

Key Areas for Enquiry

Does the FRA, in accordance with the key legislation and guidance, have clearly defined policies establishing arrangements for the production and periodic revision of plans to deal with all types of operational incidents including major incidents, which may reasonably be foreseen as likely to occur within its geographical area, and for supporting incidents on a cross border, regional or national level?

How well does the FRA ensure that a competent workforce is available and equipped to meet the range of responses that are anticipated as necessary to mitigate risk within their communities, and respond to emergencies?

Self Assessment Focus

Evidence that:

1. Policies exist for operational preparedness that cover the following areas: response to a New Dimension event: other major incidents: operational planning; incident command system; the gathering and provision operational information; and these are available to relevant personnel and other agencies.
2. Collaborating FRA’s and other relevant agencies have been consulted in the preparation of policies and the arrangements for joint working at incidents.
3. The policies dovetail with local authority/relevant agency policies for dealing with major incidents, and there is evidence that these policies have supported policy development and compatibility.
4. FRA has clearly defined policies for workforce development covering planning, selection, learning and development, workforce competence and excellence.

Evidence Criteria for Judgement

- 1.1 Does the FRA have a policy that establishes arrangements for obtaining and making available operational information; major incidents; operational planning; and incident command?
- 1.2 Are policies subject to impact assessments including risk, equality and diversity?
- 1.3 Have the policies been updated to reflect the changes in key legislation, including the new arrangements in relation to the ‘senior fire service officer’?

- 1.4** Are the policies within a document control system?
- 2.1** Does the FRA have a policy for joint working/assistance arrangements?
- 3.1** Does the FRA have a policy for regional/pan regional sharing of resources e.g. appliances; special appliances; supervisory manager cover, to ensure, so far as practical, that there is efficient and effective shared use of resources, particularly the services of specialist staff, aerial and other fire appliances and specialist support services, e.g. rope rescue teams?
- 3.2** Does the FRA have a policy for Incident Command take into account FRA officers attending incidents outside their authority and vice versa?
- 4.1** Does the FRA have a policy to provide the physical and human resources for operational learning and development? This may include training in and away from the workplace, coaching, mentoring, experiential learning, multi-media learning, performance review, assessment and appraisal.
- 4.2** Does the FRA have a policy for operational workforce development?

2. Organising

Key Area for Enquiry

How effective is the management structure to support implementation of policies, procedures, and the learning and development of personnel by assigning responsibility at the appropriate level (in accordance with FRS role maps)?

Self Assessment Focus

Evidence that:

- 1.** In seeking to achieve the objectives of saving life, property and protecting the environment, the FRA has established arrangements to secure level of responsibility necessary, including systems to manage the risks at all operational incidents. This includes resource requirements being determined i.e. Gold Command, Hazmat Officers,
- 2.** Clear responsibility exists for the development and maintenance of policies, plans, safe systems of work and working practices. An organisational chart exists with relevant responsibilities incorporated within job descriptions. Objectives are established and communicated to the relevant teams and individuals.
- 3.** Adequate arrangements for consultation are in place to secure the involvement of staff who have a responsibility for operational preparedness. They are recorded and show the outcome of involvement and the impact on policy/plan development.
- 4.** Personnel engaged in operational preparedness are either competent, or if in development are provided with adequate supervision, and undertake continuous development to maintain competence.

Evidence Criteria for Judgement

- 1.1** Does the FRA establish arrangements to provide appropriate resources to meet the reasonably foreseeable operational activity level and a means to supplement those resources in the event of need eg. spate conditions or a large scale incident etc?
- 1.2** Does the FRA establish appropriate management structures, staffing levels and other resources to meet the requirements of bronze, silver and gold command, HAZMAT, BA maintenance, etc?
- 1.3** Is the FRA's ICS in accordance with the key guidance issued (Fire Service Manual 'Fire Service Operations- Incident Command') or are alternative arrangements in place?
- 1.4** Does command training and assessment exist, i.e. both simulation and workplace?
- 2.1** Do job descriptions exist, are they compatible with the relevant national occupational standards, the organisational chart, are they effectively monitored, and do people understand them?
- 2.2** Are relevant personnel at all levels aware of and do they understand the policies in relation to operational procedures, systems of work and working practices?
- 2.3** Have objectives been agreed with teams and individuals?
Are personnel competent in data capture, recording and use of safety critical operational information?
- 3.1** Does evidence exist of staff consultation/involvement in policy planning and development?
- 3.2** Has consideration of stakeholders been undertaken?
- 4.1** Does the FRA establish the resources and learning and development arrangements necessary to support the number of competent emergency response staff to meet the needs of its operational plans and procedures?

3. Planning and Implementation

Key Areas for Enquiry

Is the FRA's planning process sufficiently flexible to enable it to deal with reasonably foreseeable incidents and any major incident or event in conjunction with other agencies?

Are efficient arrangements in place to obtain and provide information required for firefighting and other emergency response purposes? Are organisational, team and individual planning and implementation objectives agreed?

How well implemented and maintained is the incident command function, the aim of which is to minimise and mitigate risks to individuals, the FRA and the community?

Does the FRA' Incident Command System, practices and procedures accord with relevant guidance (See Annex A)?

Are the arrangements by which the incident command system is delivered and supported clearly defined, and do staff involved understand the approach and objectives in relation to the command function?

How well does the FRA organise arrangements to train, develop and secure the competence of personnel in their role?

Self Assessment Focus

Evidence that:

1. Pre-planning takes place between the FRA and the occupiers of premises or sites in preparing for emergencies. Other FRA's/agencies/occupiers have been consulted as necessary in the preparation of the plans.
2. Information obtained from the FRA's generic and/or site specific risk assessments have been incorporated into the plans and are available, and arrangements exist for identifying the risks to operational personnel, other persons and the environment.
3. An IPDS based learning and development programme is in place and personal development records are maintained.
4. Relevant operational information is recorded, accessible in a structured format and available to operational personnel at the incident, and other Services/Agencies as appropriate.
5. Criteria exists for determining whether or not a particular premise should be inspected (FRS 2004 s7.2.d) and records maintained. This should be risk-based and targeted to premises that present the greatest risk to communities, the environment and firefighters. FRA personnel likely to respond to such incidents/risks will be aware of the hazards and be competent to deal with them.
6. Operational information is shared with other FRA's and appropriate agencies, and an audit trail is maintained.
7. The FRA's incident command and control practices and procedures accord with the guidance contained within the Fire Service Manual, 'Fire Service Operations – Incident Command'.
8. The FRA will have collaborated with other stakeholders and/or FRA's on workforce development, and upon the arrangements for joint working in the delivery of IPD systems

Evidence Criteria for Judgement

- 1.1 Is there evidence that the development of operational policy starts at the strategic level within the organisation and is delegated in a structured way?
- 1.2 Do FRA operational plans reflect the requirements of the FRA's IRMP and annual action plan?
- 1.3 Are the operational procedures and plans founded upon a comprehensive risk assessment carried out by competent personnel and where appropriate, linked to generic risk assessments contained within the 'Guide to Operational Risk Assessments' guidance documents?

- 1.4** Do example(s) exist of how local plans complement the regional/Local Authority plans for dealing with major incidents?
- 1.5** Is there evidence that speed and weight of response of both emergency appliances and operational personnel have been considered?
- 1.6** Does the FRA have business continuity plans for response to a major disruptive event or disaster?
- 1.7** Can the FRA demonstrate effective liaison between partner agencies and major risk sites in the development of policies and plans?
- 1.8** Are operational pre-plans for specific risk sites constructed in accordance with the COMAH framework?
- 1.9** Is there evidence that the FRA role has been properly incorporated within the on/off site emergency plan?
- 1.10** Does the FRA co-operate with other agencies in respect to its health, safety and welfare obligations, when planning for and attending emergencies, and does a mechanism exist whereby operational personnel have the opportunity to raise concerns on matters such as health, safety and welfare, training etc at the planning stage?
- 2.1** Does the FRA have a robust process for the development of risk assessments and for incorporating the actions/outcomes into the policies and procedures both generically and for specific site hazards?
- 2.2** Is there evidence that operational information links to other data capture requirements such as Fire Safety and corporate risk assessment requirements under IRMP?
- 2.3** Are site specific procedures in place and is exercise/actual incident information made available?
- 3.1** Does the FRA have the resources and learning & development arrangements necessary to fulfil all operational plans and procedures?
- 4.1** Is there evidence that relevant personnel at all levels of the organisation are aware of the plans existence and their respective roles within it?
- 4.2** Are there FRA arrangements for communicating urgent safety critical information throughout the organisational structure?
- 4.3** Does the FRA have adequate mechanisms to promulgate operational plans so that they are immediately available at the scene of operations? (Examples could be Operational aide memoirs or mobile data terminals).
- 4.4** Are training and development plans in place for all incident command roles and are PDR's available?
- 4.5** Organisational, team and individual planning and implementation objectives are agreed?
- 4.6** Do the requirements of the operational plans integrate with the control and mobilising arrangements?
- 5.1** What criteria determines if a site is inspected/re-inspected under section 7(2)(d) and is this followed?
- 5.2** Do arrangements exist for the inspection and recording of information about temporary or unusual special risks?

- 6.1** Is there evidence of cross FRA and inter agency liaison and co-operation?
- 6.2** Is there a multi agency meeting schedule (emergency services joint planning committee/Local Resilience Forum)?
- 7.1** Are the FRA's incident command procedures compatible with those of other FRA's and other agencies?
- 7.2** Is the Incident Command system communicated to all operational personnel?
- 8.1** Do collaborative arrangements exist for shared learning and development on a local/regional/collaborative and a national basis?
- 8.2** Can the FRA demonstrate that systems for selection, learning & development and performance management of personnel support service delivery?
- 8.3** Does the FRA have a structured development programme covering all areas of operational development, including local, collaborative, centralised and national learning events?

5. Measuring Performance (Monitoring)

Key Area for Enquiry

Does the FRA have appropriate arrangements to monitor operational performance and to measure its effectiveness?

Are operational staff competent or developing their competence under adequate supervision, and is their performance assessed against agreed objectives?

Self Assessment Focus

Evidence that:

- 1.** Local target setting is aligned to national BVPI & PSA 3 targets and locally determined targets. These are used to determine inform performance standards.
- 2.** An effective active monitoring system based on risk assessment and operational review is in place. This will include evaluation of the effectiveness of pre-planning, the actions of personnel, the outcomes achieved. Any significant outcomes from this process will be used to review policies and procedures and to further inform the FRA's future IRMP action plans. An audit trail of actions/changes resulting from debriefs/investigations will be evident.
- 3.** The FRA will have a programme of joint exercises with other appropriate organisations to test plans and procedures, and demonstrate that incident command and control procedures are effective.
- 4.** The FRA undertakes post incident surveys to gather information regarding the performance of fire crews and others in the quality of service delivery to individuals, occupiers and communities.
- 5.** The FRA has arrangements in place to ensure that the knowledge, skills and understanding of operational staff is subject to continual professional development and assessment to ensure competence.

Evidence Criteria for Judgement

- 1.1** Is there evidence of local target setting and alignment to national BVPI & PSA 3 targets?
- 2.1** Is the effectiveness of the pre-planning process and incident command monitored?
- 2.2** Are the individual and collective actions of incident commanders/crew commanders and crews monitored for operational effectiveness and personal development as part of the workplace assessment process? What action is taken locally to improve performance?
- 2.3** Is there evidence that the FRA process for obtaining operational information is effective, risk based and targets the premises that present the greatest risk to communities, the environment and fire fighters, and is kept up to date?
- 2.4** Is there evidence of a FRA procedure for amending a site specific plan or tactical procedure as a result of information gained at a pre planning inspection or as a result of a training exercise, other monitoring event, or shared learning from other authorities experience?
- 2.5** Is the FRA's monitoring of firefighter safety events (including attacks on firefighters) effective, and does this inform operational preparedness?
- 2.6** Is the process for risk assessments effectively monitored and on what frequency are assessments reviewed?
- 2.7** Are there arrangements to check operational plans and to ensure that 7 (2) (d) inspections are carried out and updated?
- 2.8** Are arrangements in place to monitor the operational competence of trainees, newly promoted or temporary promoted personnel at incidents?
- 3.1** Is effective incident command support given to incident commanders?
- 4.1** Is there evidence of post incident surveys being carried out, and are any issues arising considered?
- 4.2** Is there evidence of active monitoring, including a review of operational performance, injury statistics, safety event investigation and operational effectiveness available, including feedback loop arrangements?
- 4.3** Does the FRA monitor operational stress related ill-health and have policies for prevention, mitigation and support?
- 5.1** Are all staff updated/refreshed in knowledge skills and understanding required to maintain their competence, and is this assessed? (This can include participating in incident tabletop exercises; computers based simulations and live exercises?)
- 5.2** Does a robust audit trail for information sharing exist?

5. Audit

Key Area for Enquiry

Does the FRA have arrangements in place for the robust audit of operational preparedness?

Self Assessment Focus

Evidence that:

1. Policies systems practices and procedures will be audited based on experience gained from operational incidents and through the learning and development environment. A systematic performance based audit system will be used to improve policies, systems procedures and practices through self assessment, peer review, external consultation.

Evidence Criteria for Judgement

- 1.1 Is there evidence of formal audit arrangements of operational planning activities?
- 1.2 Is the audit process all embracing and does it include effectiveness at operational incidents and experiences gained through the learning and development?
- 1.3 Is there evidence that the outcome of audit is reviewed at the strategic level and actioned at the appropriate level?

6. Review

Key Area for Enquiry

Does the FRA have a process for making judgements about the adequacy of performance and taking decisions about the nature and timing of the actions necessary to remedy deficiencies?

How well do the outcomes of the review process result in continuous improvement in the FRAs operational preparedness?

Self Assessment Focus

Evidence that:

1. Comprehensive records of risk assessments are maintained, and operational information is reviewed to ensure it remains relevant, valid and accurate
2. Reviews will involve all appropriate levels of the organisation and external agencies where appropriate.
3. Operational procedures, systems of work and working practices will only be amended based on evidence obtained by monitoring, assessment of learning and development, and operational performance. An audit trail will be maintained.
4. Learning and development will be addressed based on matters arising from operational performance review and workplace assessment.

Evidence Criteria for Judgement

- 1.1 Does the FRS have in place effective arrangements for the review of operational planning and preparedness?
- 2.1 Is there evidence of a periodic or event triggered review of operational procedures, systems of work and working practices?

- 2.2** Do risk assessments and post incident debriefs from other services or agencies form part of the review process?
- 3.1** Do effective arrangements exist to review major incident plans in conjunction with other agencies?
- 3.2** How are findings from monitoring and audit fed back into the organisation, and how are other agencies involved in this?
- 3.3** Is there evidence that operational risk information is reviewed periodically or as a result of a trigger event to ensure currency, accuracy and effectiveness?
- 3.4** Does the FRA review the outcome of critical incident debriefs and are appropriate actions taken to improve individual and organisational performance and reduce operational stress and its effects?
- 4.1** Is there evidence that learning and development policy, systems, practices are amended following the monitoring of operational performance?

Key Line of Enquiry 4 – Call Management and Incident Support

The FRA will have arrangements for the receipt of calls; call handling, and mobilising and management of resources to support a full range of incidents. This will include the provision of equipment, personnel and services to receive and manage calls and despatch appropriate resources.

1. Policy

Key Areas of Enquiry

Does the FRA have efficient arrangements for dealing with calls for help and for summoning personnel in accordance key guidance and legislation, including the Fire Service Manual on Fire Service Technology, Equipment and Media and does the policy state the FRAs strategic aims and objectives?

How well does the FRA ensure a competent workforce is available and equipped to meet the range of responses that are anticipated as necessary to meet likely demand?

Self Assessment Focus

Evidence that:

1. The FRA will have developed written policies and arrangements for identifying, receiving and managing emergency calls, which may reasonably be foreseen as likely to occur within it's geographic area, and for supporting incidents as specified on collaborative, regional or national levels.
2. The FRA has taken FSC 54-2004, Emergency Call Management, into account when formulating all management and call handling policies.
3. The FRA has clear and coherent policies for workforce development; covering planning, selection, learning and development, workforce competence and excellence.

Evidence Criteria for Judgement

- 1.1 Do policies exist for the provision of emergency call management, personnel, services and equipment and do they incorporate key guidance and legislation?
- 1.2 Are the policies linked to the requirements of the FRA IRMP?
- 1.3 Are policies subject to document control?
- 1.4 Are policies subject to impact assessments for risk, diversity and equality?
- 1.5 Does the policy cater for the provision of and the testing of contingency arrangements and command and control equipment, resources and fallback arrangements?
- 1.6 Does the policy cover collaborative arrangements and are responsibilities clearly defined?

- 2.1** Do the policies and strategies take due account of the guidance contained within the Fire Service Manual on Fire Service Technology, Equipment and Media?
- 3.1** Does the FRA have a policy to provide the physical and human resources for learning and development in this context?

2. Organising

Key Areas of Enquiry

Does the FRA have an effective management structure to support implementation of policies, procedures, systems of work and working practices and the learning and development of personnel by assigning responsibility at the appropriate level? Are objectives established and communicated to relevant teams and individuals.

Has the FRA will established communications equipment requirements to accord with national guidance, including health, safety and welfare issues and to meet the requirements of operational risk assessments ?

Self Assessment Focus

Evidence that:

- 1.** Job descriptions exist and are they compatible with the organisational chart.
- 2.** Objectives are identified for teams and individuals.
- 3.** Clear responsibility exists for the development of the policies and plans and relevant responsibilities, and these are incorporated into job descriptions.
- 4.** Personnel are either competent, or if in development are provided with adequate supervision, and undertake continuous development to maintain competence
- 5.** The FRA has arrangements to provide appropriate communications for operational and command functions to support the range of incidents which might reasonably be anticipated within the FRAs' area.
- 6.** As far as reasonably practicable, FRA's embrace new technology to enhance interoperability, and have procedures to respond to New Dimension incidents prior to any national or regional arrangements.
- 7.** A full range of Standard Operating Procedures on the use of communication systems is provided.
- 8.** The FRA has liaison arrangements with other FRA's and other Emergency Services and external agencies to provide for effective emergency call handling and mobilizing and support.

Evidence Criteria for Judgement

- 1.1** Do job descriptions exist, are they compatible with the relevant national occupational standards, the organisational chart, are they effectively monitored, and do people understand them?

- 1.2** Have target staffing levels been set and reviewed and are contingency arrangements in place if the staffing levels fall below the target(s), or there is an increase in call volume (spate conditions)?
- 2.1** Where the DCOL 6/1996 has not been used, is the alternative model robust and evidence based?
- 2.2** Are arrangements in place to support liaison and interoperability with other FRA's and emergency services to supply relevant information that is both current and timely?
- 4.1** Has the FRA established arrangements to train, develop and secure the competence of personnel in their role in this context.
- 6.1** Are arrangements in place for supporting/organising a regional or national response ?
- 6.2** Does the FRA have arrangements for liaison with other FRA's as per the Fire Service Act Sections 13 and 16 and do staff understand them?
- 7.1** Are arrangements in place to secure the health, safety and welfare (including the ergonomic requirements of the control room environment)?
- 7.2** Are staff aware of the health and safety procedures and processes which apply to their work area or responsibilities?
- 8.1** Can the FRA demonstrate that it has considered business continuity in the event of a major disruptive event or disaster?
- 8.2** Has consultation of stakeholders been undertaken?

3. Planning and Implementation

Key Areas of Enquiry

Has the FRA made efficient arrangements for the receipt of emergency calls and mobilisation of appropriate resources and is the FRA capable of demonstrating that these arrangements are properly implemented, embracing improvements in technology, to support enhanced service provision?

Does the FRA have a command and control system that will record all relevant call information; resources despatched and log all actions taken?

Does the FRA have systems for data capture on operational activities, can this data be utilised to inform the FRAs' IRMP and other relevant plans or policies?

Does the FRA have effective liaison with other FRA's, Emergency Services and external agencies with the purpose of providing appropriate arrangements for emergency call management and mobilising of resources, as part of residual arrangements?

Is the FRA's planning process sufficiently flexible to enable it to deal with reasonably foreseeable incidents and any major incident or event in conjunction with other agencies?

Are efficient arrangements in place to obtain and provide information required for firefighting and other emergency response purposes?

Self Assessment

Evidence that:

1. Guidance on efficient arrangements for the receipt of emergency calls and mobilisation of appropriate resources will either accord with the Fire Service Manual, vol.1, Fire Service Technology, Equipment or alternative arrangements are in place.
2. The FRA will interface with third party service providers to facilitate dialogue between the Control room and members of the public when necessary.
3. The FRA will be pro-active in the support of prosecution for malicious callers.
4. The command and control system will aid the recording of call information, the despatch of resources, and the maintenance of an incident log, and provision of information to assist operational personnel responding to incidents.
5. Call management information is available and can be accessed centrally or from a station end PC, for completion of FDR1s and local statistics etc.
6. The FRA will publish procedures and contacts for the handling of emergency calls on a local/regional/collaborative/national level to enable support for resilience to be co-ordinated.
7. The FRAs organisational, team and individual planning and implementation objectives are defined.
8. The FRA has systems of work and working practices that support the selection and learning & development and maintenance of competence of personnel engaged in prevention and protection?

Evidence Criteria for Judgement

- 1.1 Has the relevant guidance and legislation been used to develop the call management function (including Fire Service Manual volume 1, Fire Service Technology, Equipment)?
- 1.2 Can the FRA demonstrate effective liaison with relevant stakeholders in the development of call management policies and plans for major risks?
- 1.3 Are procedures based on a risk analysis of the call management equipment and functions?
- 1.4 Can the FRA demonstrate effective liaison with relevant stakeholders in the development of call management policies and plans for major risk sites?
- 1.5 Do the FRAs' call management procedures support the full range of incidents?
- 1.6 Has the FRA established suitable arrangements for the provision of specialist advice from other agencies e.g. chemical data for hazardous material incidents, structural engineers for incidents involving building collapse, environment agency for incidents involving watercourses etc.?
- 1.7 Does the development of call management form part of the overall ICT strategy for the FRA?

- 1.8** Do appropriate alternative control room arrangements exist and are these arrangements tested regularly?
- 1.9** Is there a facility for a real time view of resource availability (appliances, equipment, crews and FDS officers)?
- 1.10** Does the FRA provide fire survival training for control staff when communicating with members of the public who are in imminent danger from fire?
- 1.11** Does the FRA identify members of the public at high risk, due to physical or other disability impairments? Is that information available and understood by control staff and operational staff?
- 2.1** Does the FRA have a facility to communicate with members of the public who are hearing impaired, or cannot speak English?
- 3.1** Does the FRA have a procedure for dealing with malicious calls, including the receipt of calls from mobile phone users?
- 3.2** Does the FRA work in close liaison with police; CDRP's, and telephone providers to support the prosecution of malicious callers and are there examples of successful prosecutions?
- 4.1** Does the system support Emergency Call Management protocols and track the decision making process?
- 5.1** Are secure procedures in place for the retention of Incident tapes and Incident logs?
- 5.2** Are arrangements in place for the effective management of all data sources to record call details and support effective mobilising?
- 5.3** Can MIS information be completed at Control, or at a fire station?
- 5.4** Does the MIS used by the FRA provide the functionality for the extraction of all reports required to support IRMP?
- 6.1** Is there evidence that the FRA mobilise the most appropriate resource irrespective of geographical boundaries?
- 7.1** Are organisational, team and individual objectives agreed?
- 8.1** Does the FRA have systems of work and working practices that support the selection and learning & development and maintenance of competence of personnel in this context?

4. Measuring Performance (Monitoring)

Key Areas of Enquiry

Does the FRA have appropriate arrangements to monitor call management and incident support to ensure they are effective and efficient?

Self Assessment

Evidence that:

- 1.** The FRA will have established minimum standards of service, and set targets for emergency call management, mobilising arrangements and monitor the performance of communication equipment.

2. An effective active monitoring system for all control room activity and performance is in place including health, safety and welfare issues associated with the control room environment.
3. Staff undertaking works in this environment are competent or are developing their competence under adequate supervision and their performance is assessed to agreed objectives.
4. The FRA will have arrangements for control room staff to contribute to debriefs, including formal operational debriefs, with a subsequent audit trail of actions/changes arising from them.
5. Effective monitoring arrangements are in place to record and track failures/faults which may result in loss of functionality and the integrity of the command and control system.
6. All procedures, arrangements and equipment will have been subject to a health and safety audit and practices will be monitored regularly to ensure ongoing compliance and suitability.
7. The FRA will have a process to evaluate improvements in technology to support key service delivery.

Evidence Criteria for Judgement

- 1.1 Does the FRA have a mechanism in place for monitoring call handling times?
- 1.2 Is there evidence of local target setting and alignment to national good practice and is target setting challenging and realistic?
- 1.3 Is the FRA meeting its targets and if not what action is being taken to improve performance?
- 1.4 Does the FRA utilise Call Challenge and is there a system in place for monitoring its effectiveness?
- 1.5 Is there evidence that the malicious false alarm call procedure has resulted in a reduction of these types of call?
- 2.1 Does the FRA have a monitoring system specifically for control activities and performance?
- 3.1 Is there evidence that staff are competent in their role within the Control and is learning and development of Control staff consistent and supportive of the roles and responsibilities of individuals?
- 3.2 Is staff knowledge, skills and understanding subject to continual professional development and assessment to ensure competence?
- 3.3 Are FRA control staff able to demonstrate a full working knowledge of call management in relation to incident support procedures?
- 4.1 Is there a debrief process for control activity and is this carried out routinely?
- 4.2 Are call management and mobilising actions taken into account during operational debriefs?
- 4.3 Are the lessons learnt from debrief fed back to improve control room activity?

- 5.1** Does the FRA have a fault reporting procedure(s) for all aspects of the call management system and do the procedure(s) allow for repeated failures/faults to be recorded and tracked?

5. Audit

Key Areas of Enquiry

Does the FRA have arrangements for the robust audit of the policy, procedure and provision of call management and incident support?

Self Assessment

Evidence that:

- 1.** Call management and incident support policies, systems, practices and procedures are audited to improve the efficiency, effectiveness and reliability of call management and incident support systems.
- 2.** A systematic performance based assessment which includes self assessment, peer review, internal and external consultation is used.

Evidence Criteria for Judgement

- 1.1** Is there evidence of formal audit arrangements for call management and incident support and is it robust?
- 1.2** Is there evidence that the outcome of audit is reviewed and actioned at the appropriate level?
- 1.3** Does the FRA conduct out external consultation to confirm quality of service provision?
- 1.4** Does the mobilising system maintain an audit trail of all call management actions?
- 1.5** Is there evidence of health and safety monitoring and of any actions arising from this?
- 2.1** Is there evidence of regular audit arrangements for all operational communications equipment and that the outcome of the audit is reviewed and acted upon at the appropriate level?

6. Review

Key Areas of Enquiry

Does the FRA have a process for reviewing performance and making decisions about the nature and timing of the actions necessary to remedy deficiencies? Do the outcomes of the review should result in continuous improvement of the FRAs call management and incident support?

Self Assessment

Evidence that:

- 1.** All call management and incident support policies, functions and facilities, are reviewed on a regular basis, procedures are amended appropriately, and action is taken to improve performance based on evidence.

2. The results of any changes are disseminated throughout the organisation and to all relevant stakeholders.
3. Learning and development is addressed based on findings arising from the monitoring of control performance.
4. The outcome of monitoring is recorded and provides an improvement plan and audit trail.

Evidence Criteria for Judgement

- 1.1 Does the FRA effectively review all emergency call management arrangements and incident support?
- 1.2 Are all appropriate levels of the organisation and relevant stakeholders consulted during the review process?
- 1.3 Are the contingency (fallback) arrangements reviewed in conjunction with all relevant stakeholders?
- 1.4 Have the procedures for dealing with a regional or national response been exercised and the learning outcomes actioned?
- 2.1 Are findings from review fed back into the organisation and is there an improvement plan?
- 2.2 Is there evidence of action taken where areas for improvement in procedures are recognised?
- 3.1 Does the FRA regularly review learning and development processes as a result of the monitoring of control performance?
- 4.1 Do both control and operational de-briefs form part of the review process?

Key Line of Enquiry 5 – Emergency Response

In accordance with the FRAs' Integrated Risk Management Plan (IRMP) the FRA will determine its resource requirements to deliver effective intervention services for all incidents to which it might reasonably be expected to respond, as detailed in the Fire and Rescue Services Act 2004, the Emergency Services Order and the National Framework and by fire authority decisions.

1. Policy

Key Areas for Enquiry

Does the FRA have established policies, which underpin its ability to provide timely, safe, effective and efficient interventions at emergency incidents? Do they demonstrate a strategic commitment to both the standard of emergency intervention and the maintenance of operational competence? Do the policies, either corporately or individually, reflect a comprehensively risk assessed approach to a wide variety of intervention issues falling into the areas of pre-planning, operational response and post incident analysis and other considerations? Do the policies relating to the organisation's capacity for operational response contribute to the achievement of the FRAs' established performance standards?

How will the FRA ensure a competent workforce is available to develop risk analysis responses to mitigate risk within their communities, and respond to emergencies?

Self Assessment Focus

Evidence that:

1. The FRA has a policy determining the location of fire stations, appliances, equipment and people based on it's community risk profile, safety strategy and the emergency response standards detailed within the IRMP.
2. The FRA has a policy for attendance at incidents by managers, which reflects the requirements of the IRMP. The basis upon which the policy is founded will be evident.
3. The FRA has a policy for securing the physical and human resources appropriate for dealing with normal operational needs.
4. The FRA has clear and coherent policies for workforce development covering planning, selection, learning and development, workforce competence and excellence
5. The FRA has a policy for effective liaison and consultation with all key stakeholders.

Evidence Criteria for Judgement

- 1.1 Does the FRA have a suite of operational policies relating to the range of incident types to which operational personnel may be required to respond? Do these policies include appropriate Safe Systems of Work according to the incident type? Do these policies reflect national guidance?

- 1.2 Do policy documents relate to the provision, allocation, deployment, crewing of emergency response appliances (including special appliances) and resources?
- 1.3 Does the FRA have a policy for determining the levels of attendance and response times which are appropriate for each identified area of risk and is it within a document control system?
- 1.4 Have policies been subject to impact assessment of risk, diversity and equality?
- 1.5 Are policies subject to document control?
- 1.6 Does the FRA have a policy to ensure that the health & safety implications arising from any changed procedures are considered and addressed appropriately?
- 1.7 Does the FRA have a policy for collaboration/co-operation/sharing resources?
- 2.1 Is there a policy for the attendance of managers at incidents?
- 2.2 Does the policy, and any related guidance, require the national Incident Command System to be utilised at incidents or are alternative policy arrangements in place?
- 3.1 Does the FRA have established policies in relation to the securing resources from agencies and advice from utilities? (water, gas, electric, surveyors, timber, bulk sand etc) for effective intervention at incidents?
- 3.2 Does the FRA have established policies surrounding Memorandums of Understanding with other organisations such as the Environment Agency?
- 4.1 Do policies incorporate the need to maintain the availability of sufficiently competent staff to meet the standards and requirements determined by the IRMP?

2. Organising

Key Areas for Enquiry

Does an effective management structure exist to support the implementation of policies and procedures by assigning responsibilities at the appropriate level [in accordance with the Fire & Rescue Service role maps]?

Self Assessment Focus

Evidence that:

1. Clear responsibility exists for the support of the policies and plans. An organisational chart exists showing relevant responsibilities, which are incorporated into job descriptions.
2. The strategic level of responsibility includes the formulation of systems to ensure that there are sufficient operational personnel, to meet the organisational needs within safe systems of work, which include an effective structure to implement incident command and to monitor operational performance.

Clear responsibility exists for the development, improvement and maintenance of emergency response. An organisational chart exists with relevant responsibilities incorporated within job descriptions. Objectives are established and communicated to the relevant teams and individuals.

Personnel engaged in this work are either competent, or if in development are provided with adequate supervision, and undertake continuous development to maintain competence.

Evidence Criteria for Judgement

- 1.1** Do job descriptions exist and are they compatible with the organisational chart?
- 2.1** Does the FRAs' operational structure and the numbers of managers on the flexible duty system provide the potential for flexibility of response based upon identified local risk i.e. does resource provision vary in terms of availability, type and weight and can it be supplemented in the event of extraordinary demand?
- 2.2** Is there evidence of an effective incident command structure that takes account of external partners and multi-agency working?
- 3.1** Are the crewing arrangements for station based personnel appropriate to the needs of all duty systems and adequate for all reasonably foreseeable eventualities?
- 3.2** Has consultation of stakeholders been undertaken?
- 4.1** Have the FRA arrangements to train, develop and secure the competence of personnel in their role?

3. Planning and Implementation

Key Areas of Enquiry

Does the underlying aim of the FRAs' emergency response provide a timely, effective and efficient intervention when required to respond to an emergency situation (fire or otherwise)? How well does this provision reflect the extent of locally assessed risk and identified incident demand and is it based on a risk assessment process which seeks to minimise risk to all operational personnel, the community and the environment?

Self Assessment Focus

The FRA fire and rescue cover requirements (fire stations, appliances, special appliances, specialist equipment, numbers of staff and managers and crewing patterns), are appropriate to meet the standards set out within the FRAs' IRMP.

Where appropriate provision for a special appliance can be made by arrangement with an adjacent FRA, or other supplier, FRA's will have considered this and have chosen the most effective solution.

The flexible duty system employed for managers providing operational availability will be compatible with the requirements of the IRMP. The FRA will have considered the regional/collaborative sharing of Senior Officer cover.

The distribution of personnel across stations and appliances reflect the competence requirements needed to deliver an effective and safe operational response.

Evidence Criteria for Judgement

- 1.1** Does the FRA maintain acceptable ridership statistics without unnecessary over provision or compromising safe systems of work, i.e. do they have flexible arrangements for addressing anticipated shortfalls, e.g. pre-arranged overtime, annualised hours, WT/RT contracts, part-time working?
- 1.2** Can personnel attached to specific stations or appliances demonstrate the achievement of competence or that they are under development, and are there sufficient numbers of people available to meet operational needs?
- 1.3** Has consideration been given to sharing of resources with adjoining FRA's and where appropriate other providers?
- 1.4** Has the fire authority assessed their responsibilities in responding to non-emergency calls and considered what calls for assistance they will and will not attend?
- 1.5** Does the FRA operate a co-responder scheme?
- 1.6** Is there evidence that the maintenance and testing arrangements for all appliances and equipment takes account of statutory legislation, manufacturer's guidance, relevant national guidance, best practice and local requirements?
- 1.7** Does the FRA have an effective hydrant and other water supplies inspection programme and has the availability of adequate water supplies been appropriately risk assessed, and is this communicated to operational crews?
- 1.8** Does the FRA investigate accidents, injuries and near misses on the incident ground and are the conclusions used to improve policy, procedures and firefighter safety?
- 1.9** Do the FRAs' practices and procedures incorporate the requirements of FRS Circular 5/2005? When a fire or incident occurs that comes within the criteria relating to incidents of special interest will the FRA notify the relevant parties in accordance with the instructions?
- 2.1** Is there evidence that the operational procedures appertaining to the use and mobilising of resources, including special appliances, and the crewing arrangements of specialist teams are founded upon a comprehensive risk assessment?
- 3.1** Is the incident command system to be utilised at incidents effectively communicated to all relevant personnel?
- 4.1** Does the FRA have systems of work and working practices that support the selection and learning & development and maintenance of competence of personnel engaged in prevention and protection?
- 4.2** Are Organisational, team and individual planning and implementation objectives agreed?

4. Measuring Performance (Monitoring)

Key Areas for Enquiry

Does the FRA monitor its performance in dealing with emergency incidents and the effectiveness of its emergency response in saving life, property and the environment? Do these arrangements also consider the ongoing effectiveness of existing policies and procedures and seek to identify the potential for improvement?

Self Assessment Focus

Evidence that:

1. The FRA will include performance information of its response to operational incidents within appropriate annual plans, which show whether response standards are being achieved and, if not, the action being taken to remedy the situation.
2. The FRA regularly reviews emergency response arrangements including, appliances, operational personnel, and FDS staff, taking into account the effect of changing risk profiles. The extent of their operational use should be recorded, together with appliance attendance times.
3. Managers are actively implementing health, safety and welfare measures on the incident ground.
4. The FRA undertakes post incident surveys to gather information regarding the performance of fire crews and others in the quality of service delivery to individuals, occupiers and communities.
5. Staff undertaking this work are competent or are developing their competence under adequate supervision and their performance is assessed against agreed objectives.

Evidence Criteria for Judgement

- 1.1 Does the FRA record performance and identify any failures in achieving its established response standards using, e.g. monthly data collection and analysis, and is this information acted upon and communicated to stakeholders?
- 2.1 Is the intervention response data analysed to determine effectiveness and local performance indicators i.e. mobilisation times, stop times, fires confined to room of origin etc.?
- 2.2 Is there evidence (including empirical evidence) that the process utilised to determine the extent of appliance provision is delivering the agreed level of resources?
- 2.3 Are statistics relating to emergency response vehicle downtime available? Do these indicate that downtime is effectively managed so as to keep this to a minimum?
- 2.4 Does the FRA maintain comprehensive records relating to non-availability of appliances, due to insufficient crewing or otherwise?

- 2.5** Do records indicate that, where appropriate, managers take charge of incidents with regards to incident command and are records maintained of the number of incidents/exercises that they attend?
- 3.1** Are the individual and collective actions of incident commanders/crew commanders and crews monitored for competent performance as part of the workplace assessment process? What action is taken to improve performance?
- 3.2** Does the FRA analyse incident/safety event data to ensure health and safety issues are effectively addressed at incidents?
- 4.1** Is there evidence of a comprehensive feedback process for operational incidents including, where appropriate, formal debriefs for incidents. Is there evidence of operational procedures having been amended as a result of post-incident analysis and feedback?
- 4.2** Does the FRA utilise customer surveys to determine the level of satisfaction with service delivery?
- 5.1** Is staff knowledge, skills and understanding subject to continual professional development and assessment to ensure competence?

5. Audit

Key Areas for Enquiry

Does the FRA have arrangements for the robust audit and review of its emergency response arrangements and maintain records of self assessment, peer review, external consultation and internal audit?

Self Assessment Focus

Evidence that:

- 1.** Policies and operational procedures are developed and reviewed in the light of experience. A systematic performance based audit system is used to improve operational procedures. Audit should involve all appropriate levels of the organisation, external agencies and relevant stakeholders.

Evidence Criteria for Judgement

- 1.1** Are learning and development needs analysed regularly to ensure that procedures, personal and team performance remains consistent with the FRAs' determined standards for response?
- 1.2** Are shift patterns and FDS staff cover analysed to ensure that they meet the varying needs of the IRMP?
- 1.3** Are systems in place to audit the effectiveness of appliances and equipment in providing the FRAs' operational response?
- 1.4** Does the FRA have a facility to audit incident ground effectiveness, including incident command and firefighter health and safety, both internally through assessment and feedback and externally by consultation with other emergency services and partner agencies? Does the FRA take account of comments by service users?
- 1.5** Are findings from audit fed back into the organisation and are other agencies involved in this?

6. Review

Key Areas for Enquiry

Does the FRA have a process for reviewing the quality of performance of emergency response? Is the review process carried out at different levels within the service to facilitate the planning and implementation of action for improvement? Do the outcomes of the review process result in continual improvement to deliver the FRAs' IRMP and associated intervention within the community?

Self Assessment Focus

Evidence that:

1. All areas of operational response are reviewed on a regular basis and action is taken to improve performance where appropriate. The results of any changes are disseminated throughout the organisation and all relevant stakeholders.

Evidence Criteria for Judgement

- 1.1 Does the FRA have in place an effective method for reviewing its overall emergency response provision and for taking appropriate action where necessary?
- 1.2 Does a procedure exist for the periodic review of predetermined attendance for all emergency incidents to ensure they are appropriate to the risk?
- 1.3 Has the FRA reviewed FDS staff cover, crewing systems and shift patterns and has this resulted in amendments to the IRMP?
- 1.4 Are standard operational procedures regularly reviewed to ensure that they remain appropriate, reflect the latest GRA information and maintain safe systems of work?
- 1.5 Is there evidence that the FRA has considered different methods of crewing special appliances, including the use of personnel on the retained duty system/other duty systems and switch crewing?
- 1.6 Are findings from monitoring and audit fed back into the organisation and how are other services/agencies involved in this?
- 1.7 Are appropriate procedures in place to respond to any personal learning and development needs identified through the monitoring of operational performance?

Annex A

Relevant Key Legislation and Guidance:

The Fire and Rescue Services Act 2004

The Fire Precautions Act 1971*

The Fire Precautions (Workplace) Regulations 1997 (as amended in 1999)*

The Civil Contingencies Act 2004

The National Framework document

“Emergency Preparedness” and “Emergency Response and Recovery” guidance documents.

Relevant Fire & Rescue Service Circulars

*Due to be superseded by the Regulatory Reform Order.

APPENDIX 2

Self Assessment Guidance

Introduction

The self assessment toolkit is the starting point of the Operational Assessment of Service Delivery, part of the 2006 Service Assessment. It has been designed by the CFOA/ODPM working group to help you review all aspects of your service delivery and work towards continuous improvement. It also provides a framework within which to form a judgement against each of the 5 Key Lines of Enquiry. Interpretation of the evidence gathered will require professional judgement in order to give the public and other key stakeholders confidence that operational effectiveness of service delivery is being maintained in the FRA.

Elements of the Key Lines of Enquiry

There are five different KLOEs in the Operational Assessment of Service Delivery Toolkit. Each KLOE is divided into a number of parts:

- A brief introduction setting out the area to be reviewed.
- Six **sub sections** based on HS(G) 65.
- Each subsection starts with a self assessment **focus** which guides assessment activity.
- **Evidence Criteria for judgement** – used to help determine the appropriate score for each subsection in each KLOE.

Evidence

The advice contained in this section is key to the production of an effective and realistic self assessment and should be given careful attention. Evidence should be sought from relevant sources in the organisation. **The evidence should avoid lengthy description and unsupported statements and focus on providing key information or pointers to such information.** Ideally no more than twenty pages of A4 in total for all 5 KLOE should be used. Not all evidence relating to an issue will be needed to be high-lighted, just the most relevant or best evidence. Evidence previously submitted for reviews can be used if relevant (such as 2005 CPA evidence for Community Fire Safety diagnostic). Key documents will be operational policies and procedures, risk assessments, diversity impact assessments, minutes of meetings and more strategic documents such as Integrated Risk Management Plans, Corporate Plans and Best Value Performance Plans.

Evidence does not need to be submitted to the field teams but should be referenced/sign-posted giving relevant sections or page numbers, so that it can be readily obtained. Honesty by the self assessor in looking at the toolkit responses is essential, both in terms of providing a useful outcome on which each F&RS can improvement plan and in giving an accurate picture for the field teams to work on. Triangulation of evidence (multiple methods in the assessment of the same evidence) does provide stronger evidence but may not always be possible.

Scoring

The Audit Commission have indicated that for each verified self assessment, they will require a single one to four score. To arrive at this, each KLOE will be awarded a rating from 1 to 4, an approach used previously in the 2005 Fire and Rescue CPA. The process to follow will be first to gather relevant evidence against the evidence criteria in the sub sections and then form an overall judgement for the entire KLOE. This will then need to translate into a scored judgement using the rating system below.

The teams judge each theme and assign a score using the following table:

KLOE score	Description	Judgement
1	Below minimum requirements	Inadequate performance
2	At only minimum requirements	Adequate performance
3	Consistently above minimum requirements	Performing well
4	Well above minimum requirements	Performing strongly

A more detailed example of this is:

KLOE 1: Risk Analysis – policy

Judgement label	Self assessment focus	Evidence criteria for judgement
Below minimum requirements	The FRA's risk analysis processes will comply with guidance produced by ODPM, and a risk management framework will have been prepared to identify existing and potential risks to the community within the FRA area.	There is no evidence of a risk management policy or framework.
At only minimum requirements	As above	The FRA has a basic risk management policy.
Consistently above minimum requirements	As above	The FRA has a risk management policy, it sets out a means for identifying existing and potential risks. The policy includes a means for risk reduction opportunities to be identified and determines resource issues.
Well above minimum requirements	As above	The FRA has a risk management policy, it sets out a means for identifying existing and potential risks. The policy includes a means for risk reduction opportunities to be identified and determines resource issues. The policy sets out consultation arrangements.

The above example relates to one section of the risk analysis KLOE. In order to arrive at a score for the entire KLOE, a judgement will need to be made by the self assessor as to how well the KLOE sections, overall, have been met. Using the judgement labels a score of one to four should then be given.

With regard to generating an overall single score for the entire self assessment, the following approach should be used:

Four or more 4's and the rest 3's	= 4
Five or more with a score of 3 and no score less than a 2	= 3
Five or more with a score of two or more	= 2
Any other combination	= 1

The **criteria for judgement** provide an indication of the expected levels of performance consistent with performance well above minimum requirements. They are **not** intended to prescribe specific standards or activities; or to be exhaustive lists of how a Fire and Rescue Service is expected to perform at this level. **It follows therefore that they do not need to be answered individually or to have individually referenced evidence.** They do however try to set out what would reasonably be expected to be in place in order to discharge this function well. Qualitative judgements will still need to be made however by the self assessors. It is estimated that the self assessment will take up to 10 person days to complete, though the pilots conducted through this consultation exercise will inform this further.

APPENDIX 3

The consultation criteria

The Government has adopted a code of practice on consultations. The criteria below apply to all UK national public consultations on the basis of a document in electronic or printed form. They will often be relevant to other sorts of consultation.

Though they have no legal force, and cannot prevail over statutory or other mandatory external requirements (e.g. under European Community Law), they should otherwise generally be regarded as binding on UK departments and their agencies, unless Ministers conclude that exceptional circumstances require a departure.

1. **Consult widely throughout the process, allowing a minimum of 12 weeks for written consultation at least once during the development of the policy.**
2. **Be clear about what your proposals are, who may be affected, what questions are being asked and the timescale for responses.**
3. **Ensure that your consultation is clear, concise and widely accessible.**
4. **Give feedback regarding the responses received and how the consultation process influenced the policy.**
5. **Monitor your department's effectiveness at consultation, including through the use of a designated consultation co-ordinator.**
6. **Ensure your consultation follows better regulation best practice, including carrying out a Regulatory Impact Assessment if appropriate.**

The full consultation code may be viewed at
www.cabinet-office.gov.uk/regulation/Consultation/Introduction.htm

Are you satisfied that this consultation has followed these criteria? If not, or you have any other observations about ways of improving the consultation process please contact:

Adam Bond, ODPM, Consultation Co-ordinator, Room 2.19, 26 Whitehall,
London, SW1A 2WH.

Or by e-mail to: adam.bond@odpm.gsi.gov.uk

ANNEX A

Operational Assurance Working Group

Task and Finish Group

Established: 2005

Terms of Reference

The Group was established to develop a toolkit to provide assurance that all aspects of service delivery are appropriately managed and to promote the health, safety and welfare of Fire and Rescue Service personnel.

Membership

Andrew Shuttleworth – Strathclyde FRS
Angela Laws – Lancashire FRS
Ben Diamond – West Midlands FRS
Dave Simpson – Tyne & Wear FRS
Dave Paton – Lancashire FRS
Liz Drummond Greater Manchester FRS
Gary Dobson – LFEPA
G Murray – South Yorkshire FRS
Russ James – Greater Manchester FRS
Alan Marshall – Derbyshire FRS
John Hoey – South Yorkshire FRS
John Moorcroft – Merseyside FRS
Mark Taylor – West Midlands FRS
Steve Worrel – Shropshire and Wrekin FRS
Craig McIntosh – West Yorkshire FRS
John Kennedy – West Yorkshire FRS
Warren Pickstone – Greater Manchester FRS

For ODPM:

Gary Walsh – East Sussex FRS
Richard Rigby
Cyd Ormrod
Denys Rama – ODPM
Jamie Courtney – ODPM
Chris Hartrick – ODPM
Gordon Russel – ODPM
Eamonn Barclay
Garry Williams – ODPM

ANNEX B

Glossary

Competence

An individual is competent when he/she can perform the activities expected of their role to the National Occupational Standards. This involves demonstrating and being assessed against the performance criteria, knowledge and understanding of each element within their role map.

Integrated Personal Development System (IPDS)

The Integrated Personal Development System (IPDS) represents a complete change of approach to workforce development for Fire and Rescue Authorities. Brought in as part of the June 2003 pay and modernisation agreement for operational staff, IPDS introduces a competence-based approach, and its system of development specifically targets the needs of the individual.

FRA

Fire and Rescue Authority

FR&S

Fire and Rescue Service

CPA

A Comprehensive Performance Assessment is a strategic review looking at corporate governance and planning arrangements, carried out by the Audit Commission. The Fire and Rescue Service in England underwent this in 2005.

KLOE

A Key Line of Enquiry is the section of the toolkit covering one of the five areas of service delivery being looked at. The Key Line of Enquiry sections are based the format used in the 2005 Comprehensive Performance Assessment.

HFRC

Home Fire Risk Check

ANNEX C

List of individuals and organisations that have been invited to comment on this consultation document:

Association of British Insurers

Audit Commission

Association of Principal Fire Officers

Business and Community Safety Forum

Cabinet Office

Confederation of British Industry

Chief Fire Officers

Chief Fire Officers' Association (CFOA)

Chief Executive, County Councils

Clerk to the Combined Fire and Rescue Authorities

Emergency Planning College

Employers' Organisation for Local Government

Fire Brigades Union

Fire Officers' Association

Fire Service College

Health & Safety Executive

HMFSI

HMFSI (Scotland)

IRMP Steering Group

Institution of Fire Engineers

Local Government Association

London Fire and Emergency Planning Authority

National Assembly for Wales

National Association of Fire Officers

National Joint Council for Local Authorities' Fire Brigades

Practitioners' Forum

Chairs of Regional Management Boards

Retained Firefighters Union

Scottish Executive

Unison

Annex D

Response to Consultation Paper – questionnaire

Q1: Do you agree that the Toolkit will offer a valid assurance that Service Delivery is managed in accordance with HS(G) 65?

Strongly agree agree neutral disagree strongly disagree

Q2a: Do you agree with the overall format of the toolkit?

agree disagree

Q2b: Would it be beneficial to sign-post which parts of the toolkit have greater weight/importance?

agree disagree

Q3: Do you agree that the section of each KLOE should be structured on the basis of the model set out in HS(G) 65?

agree disagree

Q4a: Do you consider that the five components of the Toolkit cover the areas sufficiently? Please delete as appropriate

Risk Analysis: Yes/No

Prevention and Protection: Yes/No

Operational Preparedness: Yes/No

Call Management and Incident Support: Yes/No

Emergency Response: Yes/No

Q4b: If you answered no to any of the above please provide a detailed reply.

Q4c: Are there any others which need to be included? Please LIST below:

Q5: Do you support the principles of the scoring proposals?

Strongly agree agree neutral disagree strongly disagree

Q6: Do you support the principles of the means of ensuring consistency (QA) and the review process?

Strongly agree agree neutral disagree strongly disagree

Q7: Do you consider that the Guidance Note and Toolkit provide sufficient information for you to carry out a self assessment?

Strongly agree agree neutral disagree strongly disagree

Q8: Do you believe the timetable, as proposed allows sufficient time for the assessments to be carried out?

a) yes or b) no

Q9: Do you think the toolkit components scores should be weighted?

a) yes or b) no

Q10: If yes do you agree with the proposed system?

a) yes or b) no

If no please indicate what weightings you would prefer to see:

Q11: Do you agree with the estimated workload arising from using the self assessment toolkit?

a) yes or b) no

If no please indicate how you would like to see the workload minimised:

Any additional comments:

If you are willing to be contacted further with regard to your responses please provide contact details:

Name: _____

Tel. No: _____

E-mail: _____

Thank you for completing this questionnaire. Please return it to Di Bell by 16th June 2006 by e-mail to Diane.bell@odpm.gsi.gov.uk or by post to:

**Di Bell
Office of the Deputy Prime Minister
5th Floor
Allington Towers
Allington Street
London
SW1**

Thank you for taking the time to complete this questionnaire.