

SELF-PREPAREDNESS AUDIT

SAFETY MANAGEMENT

A

ACCIDENT RISK
MANAGEMENT

B

DOCUMENTS
RELATED TO SAFETY

C

STRUCTURAL FIRE
SAFETY

D

SAFETY
TECHNOLOGY

E

SAFETY COMMUNICATIONS AND COMPETENCE

F

Auditing model for self-preparedness

The auditing model for self-preparedness is intended both for rescue authorities for the performance of a fire inspection and audit and for organisations as a tool for developing safety and self-preparedness. Self-preparedness is defined in the Rescue Act (379/2011), and the fulfilment of this obligation requires the organisation to identify and assess any accident risks, have methods for preventing the identified risks and be prepared to act in the accident situations in question. Self-preparedness plays an important role, as accidents can only be prevented by the organisation alone. The organisation is also partially responsible for taking action during an accident (with the Rescue Department providing support to the organisation). Accidents can harm people, the environment, reputation, operations and property – the magnitude of the damage is affected by the level of self-preparedness. Self-preparedness is also one of the contributing factors to the forming of a safety culture.

It must be noted that the legal requirements vary based on the nature of the operations, building type and the accident risks that threaten the operations. Because of this, the model must be applied in accordance with these requirements.

In this auditing model for self-preparedness, the requirements are divided into the following entities that are relevant to the development and implementation of self-preparedness:

- | | |
|-------------------------------|--|
| A Safety management | D Structural fire safety |
| B Accident risk management | E Safety technology |
| C Documents related to safety | F Safety communications and competence |

Each of these sections is further divided into three specifying criteria. The key content and goal of each section are defined in the section's description. The contents of the criteria are described in more detail after the table for each section.



Assessment scale

The auditing model for self-preparedness is divided into levels 1 through 5 for each section and criteria:

1 - Poor level: Significant deficiencies can be observed in the operations, which are thereby at an increased risk of accident. The organisation has failed to carry out the clear entities required under the Rescue Act (379/2011).

2 - Inadequate level: Clear individual deficiencies can be observed in the operations. However, level 2 requires that the majority of the requirements of the Rescue Act (379/2011) have been met.

3 - Statutory level: The organisation's operations meet the requirements of the Rescue Act (379/2011) in all respects. At most, level 3 may include some individual and insignificant deficiencies in self-preparedness.

4 - Voluntary level: The organisation meets the requirements for level 3 and has developed its operations with individual and clear measures to exceed the statutory level.

5 - Advanced level: The organisation meets the requirements for level 4 and has clearly developed its operations towards overall safety.

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Instructions

These instructions are intended both for rescue authorities for the performance of a fire inspection and audit and for organisations as a tool for developing their safety and self-preparedness.

Instructions for rescue authorities

The Helsinki City Rescue Department performs periodic fire inspections in accordance with this model. The site is audited together with a customer representative. If any deficiencies are observed in level 3, the rescue authorities must intervene in them by ordering the deficiencies to be corrected or by using other means available to them.

Instructions for other organisations

The auditing model for self-preparedness may be utilised freely in the development of the organisation's own safety and self-preparedness. The model can help organisations recognise deficiencies in their own operations and perform independent monitoring. The rescue authorities recommend that organisations regularly perform self-assessments of their self-preparedness with the help of this tool. It is recommended for self-assessments to also be performed prior to fire inspections and for the results to be compared with the rescue authorities' views during the fire inspection.

Performing an audit/self-assessment

An audit/self-assessment is performed by examining the operations, documentation, facilities in use as well as the structural and technical solutions. It is recommended for you to go through the model in the order presented in these instructions, starting from section A and ending with section F. The main thing is to involve enough parties who are familiar with the operations and facilities. Those performing the audit/self-assessment should also be accompanied by individuals in both supervisory and employee positions.

First, check the goal for the section, provided under the section's (e.g. A Safety management) heading, and find out what it means for the operations. Next, go over the criteria for the section in question (e.g. Aa Division of responsibilities), one by one. Start the examination of each criterion from its goal (e.g. Aa Division of responsibilities) and the description of level 3. Consider whether the requirement is met in the operations or whether reality deviates from the requirement in a negative or positive manner. The goal is not to conduct a scientific assessment, but to determine the most fitting value (1–5). The rule of thumb is that the previous level must be met in order for the next level to be achieved. Enter the result in the points table on pages 17–18 and also write down the main observation. The main observation may be a key defect at levels 1 and 2 or a key good practice in use at levels 4–5.

After this, go over the rest of the criteria by following these same steps. Calculate the result for the section based on the average of the three criteria, following normal rounding rules. If you notice that you should reassess a section you have already assessed, return to it and continue from where you left off. Go through all six sections in this manner and calculate the result for self-preparedness based on the average result of the six sections. If a criterion is not a statutory requirement, assign it the value 3. If the matter in question has been voluntarily adopted, assign it the value 4 or 5 according to the set of criteria.

Any deficiencies observed after the self-assessment must be corrected to meet the statutory level. This obligation does not require a separate order by the authorities. It is recommended for the measures to be scheduled and the responsibility for their implementation to be assigned immediately after the self-assessment. For more information on good approaches for achieving the statutory level, ask the rescue authorities.

Terminology

Audit – An objective assessment in a pre-defined format for determining whether the requirements set for the subject of the audit have been met. The Helsinki City Rescue Department performs periodic fire inspections as a combined fire inspection and audit in accordance with these instructions.

Self-assessment – An assessment performed by the operator independently on whether the requirements have been met.

Self-preparedness – A requirement under Section 14 of the Rescue Act (379/2011) regarding the independent safety efforts of a building's owner and occupant as well as business operators. The requirement also involves the provisions under Chapters 2 and 3 of the Rescue Act.

Accident risk – An unpredictable accident that may cause damage to people, the environment and property, among other things.

Accident risk management – Recognition, assessment and prevention of accident risks that threaten the operations and ensuring preparedness to act in accident situations. This is also commonly referred to as fire and rescue safety.

Other areas of safety that are essential to operations – Depending on the operations, this refers to the safety of production and operations, safety of the property and premises, personal safety, occupational safety and health, crime prevention, environmental safety and preparedness planning.

Crisis situation – A serious crisis from the organisation's point of view as well as the disruption or interruption of operations.

Safety culture – The prevailing attitude within the organisation and the comprehensive realisation of safety matters.

Further information: Helsinki City Rescue Department, <http://www.hel.fi/pela/en>

		1 - Poor level	2 - Inadequate level	3 - Statutory level	4 - Voluntary level	5 - Advanced level	
A: Safety management	Aa: Division of responsibilities						
	There is no division of responsibilities.	The division of responsibilities only covers a part of accident prevention and actions in accident situations.	The division of responsibilities is clear and sufficiently covers accident prevention and actions in accident situations.	The efforts of the responsible parties cover the other areas of safety that are essential to operations.	The responsibilities have also been planned and assigned for crisis situations.		
	Ab: Independent monitoring						
	Independent monitoring is not performed.	Independent monitoring is performed sporadically.	The independent monitoring covers near-miss situations as well as deviations with regard to accident prevention and preparedness.	The independent monitoring covers the implementation of the other areas of safety that are essential to operations.	The independent monitoring and collection of feedback are carried out in a systematic and documented manner.		
	Ac: Response to safety deficiencies						
	The recognised or reported deficiencies are not taken into consideration.	The recognised or reported deficiencies are corrected sporadically.	The organisation addresses safety deficiencies and faults proactively.	The corrective measures also cover the other areas of safety that are essential to operations.	The organisation addresses faults in a systematic, documented and, where possible, anticipatory manner.		
	B: Accident risk management	Ba: Recognition and assessment of risks					
		The accident risks have been neither recognised nor assessed.	The recognition and assessment of accident risks is inadequate and does not acknowledge the specific characteristics of the site.	The accident risks have been recognised and assessed comprehensively, taking the specific characteristics of the site/ operations into account.	The recognition and assessment of risks covers the other areas of safety that are essential to operations.	The risks have been recognised and assessed from the perspective of an interruption of the operations.	
		Bb: Risk management methods					
The risk management methods are highly inadequate.		The measures do not cover both the prevention of accidents and preparedness to act.	The risk management methods enable both the prevention of accidents and actions in accident situations.	The measures cover the other areas of safety that are essential to operations more extensively.	The measures cover the risks that may cause operations to be interrupted and the recovery from them.		
Bc: Risk management documentation							
There is no documentation.		The documentation is inadequate or outdated.	The conclusions of risk assessments are documented appropriately and kept up to date.	The documentation covers the other areas of safety that are essential to operations.	The documentation covers the risks that may cause operations to be interrupted.		
C: Documents related to safety	Ca: Emergency plan						
	An emergency plan has not been prepared or it is significantly inadequate.	The emergency plan is partly inadequate or does not take all the site's specific characteristics into account.	An emergency plan has been prepared in accordance with the legal requirements, taking the specific characteristics of the operations and site into account.	The emergency plan or other document covers the other areas of safety that are essential to operations.	The emergency plan or other document covers the interruption of operations and recovery from such interruption.		
	Cb: Other documents related to safety						
	There are no such documents or they are significantly inadequate.	The documents are partly inadequate.	The other documents related to safety are appropriate.	The documents exceed the legal requirements.	The documents are included in the emergency plan or some other entity that is logical from the organisation's perspective.		
	Cc: Timeliness and availability of the documents						
	The documents or a significant part of them are outdated or unavailable to the relevant parties.	The documents contain individual pieces of outdated information or some of them are unavailable to the relevant parties.	The documents are up to date and available to the relevant parties.	In addition to the statutory documents related to safety, other documents are also up to date.	Special attention has been paid to availability and readability.		

	1 - Poor level	2 - Inadequate level	3 - Statutory level	4 - Voluntary level	5 - Advanced level
D: Structural fire safety	Da: Prevention of accidents				
	The prevention of accidents shows clear deficiencies which pose a risk of accident.	There are individual deficiencies in the prevention of accidents.	Accidents are prevented with structural means: - The building's condition and use (incl. storage of goods) in accordance with the building permit - Appropriate classification of the surface materials and furnishings - Maintenance and upkeep of ventilation systems and electrical equipment	The prevention of sabotage has been enhanced with structural or technical means or personnel tracking.	The fire safety of the materials and furnishings exceeds the statutory requirements.
	Db: Securing exit routes				
	There are significant deficiencies in evacuation safety.	There are individual deficiencies in evacuation safety.	Evacuation safety is in order and the exit routes comply with the regulations.	The accessibility and usability of the exit routes is checked regularly and systematically.	Evacuation safety has been improved to exceed the statutory level.
Dc: Limiting the effects of accidents					
There are significant deficiencies in the fire compartmenting or the conditions for rescue operations.	There are individual deficiencies in the fire compartmenting or the conditions for rescue operations.	The effects of accidents can be limited structurally: - The fire compartmenting is in order. - The conditions for rescue operations have been secured	The conditions for rescue operations have been improved based on the risks.	The fire compartmenting has been improved based on the risks.	
E: Safety technology	Ea: Accident detection and reporting				
	The site lacks some of the statutory equipment/systems or there are significant deficiencies in their operation.	There are individual clear deficiencies in the operation, maintenance or documentation of the equipment/systems.	The systems/equipment that detect and report accidents: - Adequacy and functionality - Maintenance, upkeep and documentation	The existing systems/equipment have been improved with individual risk-based measures.	In addition to statutory equipment and systems, the site is also equipped with other systems that detect and report accidents.
	Eb: Preparedness to extinguish a fire at the initial stages				
	The site lacks some of the statutory equipment/systems or there are significant deficiencies in their operation.	There are individual clear deficiencies in the operation, maintenance or documentation of the equipment/systems.	Systems/equipment used to extinguish a fire at the initial stages - Adequacy and functionality - Maintenance, upkeep and documentation	The preparedness to extinguish a fire at the initial stages has been improved based on the risks.	The site has a voluntarily installed automatic fire-extinguishing system at least in the section of the property that is most at risk or, if it is a statutory requirement, it has been improved based on the risks.
Ec: Safety technology used in accident situations					
The site lacks some of the statutory equipment/systems or there are significant deficiencies in their operation.	There are individual clear deficiencies in the operation, maintenance or documentation of the equipment/systems.	Systems/equipment used during an accident: - Adequacy and functionality - Maintenance, upkeep and documentation	The existing systems/equipment have been improved with individual risk-based measures.	In addition to statutory equipment and systems, the site also has other systems that improve the preparedness to act in accident situations.	
F: Safety communications and competence	Fa: Safety communications				
	The safety communications do not cover accident risk management.	The safety communications do not take both the prevention of accidents and actions in accident situations into account.	The safety communications are based on accident risks that threaten the operations as well as self-preparedness and an emergency plan.	The safety communications take the other areas of safety that are essential to operations into account.	The safety communications have been planned and practised in preparation for serious crisis situations.
	Fb: Preventive safety competence				
	A lack of safety competence enables the realisation of the accident risks.	There are individual deficiencies in the preventive safety competence.	The preventive safety competence is sufficient in relation to the accident risks posed to the operations.	The preventive safety competence covers the other areas of safety that are essential to operations.	Preventive safety competence is taken into account in the planning and management of operations.
Fc: Safety competence required for accident situations					
There is no sufficient preparedness to act in accident situations.	There are individual deficiencies in the safety competence required for accident situations.	The safety competence enables sufficient actions during accidents.	The safety competence covers the high-risk situations pertaining to the other areas of safety that are essential to operations.	The safety competence covers the preparedness to act in crisis situations.	

A: SAFETY MANAGEMENT

The aim of safety management is to ensure the realisation of self-preparedness. Safety management is used to form the goals for self-preparedness and ensure that self-preparedness is maintained at least at a statutory level. Safety management must cover the operations of the building's owner, occupant, business operator and possible sub-contractors at the site in question.

The statutory level required for this section is based on Sections 4, 14, 15, 16 and 19 of the Rescue Act (379/2011).

1 Poor level	2 Inadequate level	3 Statutory level	4 Voluntary level	5 Advanced level
Aa: Division of responsibilities				
There is no division of responsibilities.	The division of responsibilities only covers a part of accident prevention and actions in accident situations.	The division of responsibilities is clear and sufficiently covers accident prevention and actions in accident situations.	The efforts of the responsible parties cover the other areas of safety that are essential to operations.	The responsibilities have also been planned and assigned for crisis situations.
Ab: Independent monitoring				
Independent monitoring is not performed.	Independent monitoring is performed sporadically.	The independent monitoring covers near-miss situations as well as deviations with regard to accident prevention and preparedness to act.	The independent monitoring covers the implementation of the other areas of safety that are essential to operations.	The independent monitoring and collection of feedback are carried out in a systematic and documented manner.
Ac: Response to safety deficiencies				
The recognised or reported deficiencies are not taken into consideration.	The recognised or reported deficiencies are corrected sporadically.	The organisation addresses safety deficiencies and faults proactively.	The corrective measures also cover the other areas of safety that are essential to operations.	The organisation addresses faults in a systematic, documented and, where possible, anticipatory manner.

Aa. Division of responsibilities

At the statutory level (level 3), sufficient division of responsibilities ensures sufficient preparedness for accident prevention and the preparedness to act in accidents. The division of responsibilities must cover the operations of the building's owner, occupant, business operator and possible sub-contractors. The responsibilities of each individual employee (or resident) must also be defined. The matters related to self-preparedness for which responsibility must be assigned include:

- Safety management
- Independent monitoring and reporting on safety deficiencies
- Correcting safety deficiencies
- Recognition and assessment of accident risks and choosing risk management methods
- Preparation and updating of documents related to safety and compliance with them
- Ensuring structural fire safety
- Taking care of safety technology
- Planning and implementation of safety communications
- Ensuring safety competence
- Other matters identified by the organisation

The division of responsibilities must be described as part of the emergency plan and it must be known to all relevant parties. It is recommended for the organisation's normal division of responsibility to be utilised in the planning of the division of safety-related responsibilities.

At level 2, the division of responsibilities only covers a part of the sections mentioned above. Some of the measures are therefore ignored and the level of self-preparedness decreases. At level 1, the division of responsibilities has not been planned. A significant part of the self-preparedness measures is therefore ignored and the likelihood of an accident risk being realised increases significantly.

At level 4, the division of responsibilities covers the requirements of level 3 as well as the other areas of safety that are essential to operations (see terminology on page 2). Responsibilities have been assigned for all safety measures. At level 5, the division of responsibilities also covers safety measures during a serious crisis situation.

Ab. Independent monitoring

At the statutory level (level 3), independent monitoring must cover near-miss situations and safety deficiencies with regard to accident prevention and the preparedness to act. Independent monitoring must cover the operations of the building's owner, occupant, business operator and possible sub-contractors. Independent monitoring must be continuous, with assigned responsibilities. Furthermore, all employees (or residents) must have the opportunity (and obligation) to report any safety deficiencies they notice. Matters that must be monitored from the perspective of self-preparedness include:

- Implementation of safety management
- Accident risk management
- The existence, timeliness, suitability and availability of documents related to safety as well as compliance with them
- Maintaining structural fire safety at least at the level required by law
- The functionality, maintenance and documentation of safety technology
- The comprehensiveness of safety communications and ensuring sufficient safety competence for all operations
- Other matters identified by the organisation

The implementation of independent monitoring must be described as part of the emergency plan and it must be known to all relevant parties.

At level 2, independent monitoring is only carried out sporadically, leaving some of the deviations unnoticed. At level 1, independent monitoring is not part of the operations, which means that the likelihood of an accident risk being realised increases significantly.

At level 4, independent monitoring covers the requirements of level 3 as well as the other areas of safety that are essential to operations. At level 5, independent monitoring is based on a separate plan and is a clear part of the operations. The in-house control measures also include the systematic collection of feedback. All in-house control measures carried out and feedback collected are documented.

Ac. Response to safety deficiencies

At the statutory level (level 3), self-preparedness includes that any safety deficiencies and faults noticed and reported are addressed proactively. Safety deficiencies may occur for any criterion at level 3. The response to safety deficiencies must be realised for the building's owner, occupant and business operator as well as sub-contractors. Similarly, any orders to correct deficiencies that are issued by the rescue authorities are followed. It is important to respond to even minor safety deficiencies because accidents often result from the smallest realised risks. The response to safety deficiencies is indicative of the organisation's attitude towards safety and the authorities. It can also be used to assess the sufficiency of the resources reserved for self-preparedness.

At level 2, safety deficiencies and faults are addressed sporadically, leaving some of the deficiencies uncorrected. Furthermore, the orders issued by the authorities for deficiencies to be corrected are not complied with in all respects. At level 1, safety deficiencies are not corrected, resulting in the likelihood of accident risks being realised increasing significantly. Furthermore, the orders issued by the authorities for deficiencies to be corrected are not complied with at all.

At level 4, safety deficiencies are also corrected for other areas of safety that are essential to operations. At level 5, the correction of safety deficiencies is systematic and documented and, where possible, anticipatory. Anticipatory measures refer to in-house control measures that are more thorough than usual and the performance of maintenance and other measures before deficiencies occur, among other things.

B: ACCIDENT RISK MANAGEMENT

The goal of accident risk management is to recognise and assess the accident risks threatening the operations, prevent them from being realised and be sufficiently prepared to act in accident situations. Accident risk management ensures that the statutory level is met, there are risk management measures in place that are suitable for the operations and that self-preparedness is developed to exceed the level required by law.

The statutory level required for this section is based on Sections 4-8, 14-16, 19 and 22 of the Rescue Act (379/2011).

1 Poor level	2 Inadequate level	3 Statutory level	4 Voluntary level	5 Advanced level
Ba: Recognition and assessment of risks				
The accident risks have been neither recognised nor assessed.	The recognition and assessment of accident risks is inadequate and does not acknowledge the specific characteristics of the site.	The accident risks have been recognised and assessed comprehensively, taking the specific characteristics of the site/ operations into account.	The recognition and assessment of risks covers the other areas of safety that are essential to operations.	The risks have been recognised and assessed from the perspective of an interruption of the operations.
Bb: Risk management methods				
The risk management methods are highly inadequate.	The measures do not cover both the prevention of accidents and preparedness to act.	The risk management methods enable both the prevention of accidents and actions in accident situations.	The measures cover the other areas of safety that are essential to operations more extensively.	The measures cover the risks that may cause operations to be interrupted and the recovery from them.
Bc: Risk management documentation				
There is no documentation.	The documentation is inadequate or outdated.	The conclusions of risk assessments are documented appropriately and kept up to date.	The documentation covers the other areas of safety that are essential to operations.	The documentation covers the risks that may cause operations to be interrupted.

Ba. Recognition and assessment of risks

At the statutory level (level 3), accident risks must be recognised and assessed with consideration to the specific characteristics of the operations and the site. Although the same risk (such as fire or water damage) exists almost everywhere, its causes and consequences differ. The prevention of the accident risk in question and the actions taken in accident situations also differ. The essential thing is to recognise the accident risks and assess their causes (how and why could this happen in our organisation) and impacts at a concrete level (on people, the environment, operations and property, etc.). The main accident risks include:

- Fire
- Sudden illnesses and accidents
- Natural disasters
- Water damage and power failure
- External dangerous situations (fire, chemical accident etc. in the surrounding area)
- Risks caused by exceptional conditions (state of war, etc.)

The risks referred to above are the main accident risks involved in nearly all operations that must be recognised and assessed. Other accident risks (such as environmental damage for chemicals) threatening the operations must also be taken into account. These risks are best recognised by the parties operating at the site. Advanced risk assessment also assesses the likelihood of the risk being realised.

The recognition and assessment of risks must involve representatives of the building's owner, occupant and business operators in both supervisory and employee positions. It is also recommended for representatives of the maintenance services responsible for the property and its technology to be involved.

The risks must be recognised and assessed when the operations are launched and when the operations or facilities are changed. The organisation must also regularly make sure that the conclusions of the risk assessments are up to date (as part of in-house control).

At level 2, the recognition of risks is partly inadequate (cf. the list above) or the specific characteristics of the operations/site have not been taken into consideration in the assessment. At level 1, accident risks have not been recognised or assessed at all.

At level 4, the recognition and assessment of risks covers the other areas of safety that are essential to operations. At level 5, the recognition and assessment of risks covers the

risks that may cause the operations to be interrupted and terminated.

Bb. Risk management methods

At the statutory level (level 3), accident risks must be controlled with measures that both prevent accidents and limit the damage. In risk management measures, the safety competence of the personnel (or residents) plays the key role. It must also be kept in mind that a risk cannot be controlled if it is not acknowledged. Risk management cannot be left to rely only on structural or technical solutions.

Most of the accident risks can probably be prevented with appropriate preventive measures, and measures must be planned for every recognised risk to prevent them from being realised. A prevented risk will also be financially cheaper than a realised risk.

As it is impossible to completely eliminate risks, self-preparedness also includes ensuring sufficient preparedness for accidents. The organisation must be able to act independently in all the recognised accident situations.

At level 2, the risk management methods only cover either the prevention of accidents or actions in accident situations. At level 1, the risk management measures are highly inadequate. The risk management methods can be considered to be highly inadequate if any accident risks have been realised at the site or several smaller risks have been realised that could potentially lead to an accident situation.

At level 4, the risk management measures cover the other areas of safety that are essential to operations. At level 5, the risk management measures cover the risks that may cause the operations to be interrupted or terminated.

Bc. Risk management documentation

At the statutory level (level 3), the organisation must document the results of sections Ba. and Bb. in the conclusions of the risk assessment and as part of the emergency plan. The documentation must be kept up to date. The conclusions must be known to all relevant parties and used as part of the safety communications. The documentation must include:

- The recognised accident risks
- Their causes and consequences
- The measures for preventing the accident risks
- The measures for ensuring the preparedness to act during an accident situation

At workplaces, the recognition and assessment of accident risks, the choosing of risk management methods and documentation can be included as part of the hazard assessment for occupational health and safety.

The documentation is recommended to be prepared in as illustrative a manner as possible, utilising maps and images of the facilities. It is also recommended for the organisation to write down the causes and impacts of a risk in a scenario format, making it easier to spread risk awareness within the organisation. In the scenario, the causes leading to a risk being realised and its consequences are described in considerable and concrete detail.

At level 2, the documentation is inadequate or outdated. At level 1, there is no documentation.

At level 4, the documentation covers the other areas of safety that are essential to operations. At level 5, the documentation covers the risks that may cause the operations to be interrupted or terminated.

C: DOCUMENTS RELATED TO SAFETY

The implementation of self-preparedness must be systematic and documented in the emergency plan if the operator is required to prepare one. The emergency plan and other documents related to safety must be based on the specific characteristics of the operations and their accident risks. The documentation must be up to date and available to all relevant parties. The essential thing is that personnel (or residents) know how to act in accordance with them.

The statutory level required for this section is based on Sections 8, 14-15 and 18-21 of the Rescue Act (379/2011).

1 Poor level	2 Inadequate level	3 Statutory level	4 Voluntary level	5 Advanced level
Ca: Emergency plan				
An emergency plan has not been prepared or it is significantly inadequate.	The emergency plan is partly inadequate or does not take all the site's specific characteristics into account.	An emergency plan has been prepared in accordance with the legal requirements, taking the specific characteristics of the operations and site into account.	The emergency plan or other document covers the other areas of safety that are essential to operations.	The emergency plan or other document covers the interruption of operations and recovery from such interruption.
Cb: Other documents related to safety				
There are no such documents or they are significantly inadequate.	The documents are partly inadequate.	The other documents related to safety are appropriate.	The documents exceed the legal requirements.	The documents are included in the emergency plan or some other entity that is logical from the organisation's perspective.
Cc: Timeliness and availability of the documents				
The documents or a significant part of them are outdated or unavailable to the relevant parties.	The documents contain individual pieces of outdated information or some of them are unavailable to the relevant parties.	The documents are up to date and available to the relevant parties.	In addition to the statutory documents related to safety, other documents are also up to date.	Special attention has been paid to availability and readability.

Ca. Emergency plan

At the statutory level (level 3), the implementation of self-preparedness must be systematic and documented in the emergency plan.

The emergency plan must be prepared in cooperation with the building's owner, occupant and business operators, taking the specific characteristics of the operations/site into account. Even if the operator is not required to prepare a written emergency plan, the obligation to take self-preparedness measures applies in other respects. The obligation to prepare an emergency plan and its contents are defined in Section 15 of the Rescue Act (379/2011) and Sections 1 and 2 of the Government Decree on Rescue Operations (407/2011). The emergency plan is prepared based on the self-preparedness measures, and it must include an account of:

- the conclusions of hazard and risk assessments (B. Accident risk management)
- the safety arrangements for the building and the facilities used in the operations (A Safety management, D Structural fire safety, E Safety technology)
- the instructions given to the residents and other people in order to prevent accidents and for acting in accidents and dangerous situations (F Safety communications and competence)
- other possible measures related to the site's self-preparedness.

The list above provides an example of where the sections of the auditing model for self-preparedness would be located in an emergency plan. The essential thing is for each of the criteria in this model to be taken into account in the emergency plan. The emergency plan must be a document that provides the personnel (or residents) with enough information on self-preparedness measures. The emergency plan must, to the extent necessary, take the language backgrounds of the people involved in the implementation into account.

At level 2, the emergency plan lacks one of the elements described above or does not take the specific characteristics of the site into account. At level 1, an emergency plan has not been prepared or it is significantly inadequate (lacks more than one entity).

At level 4, the emergency plan or other document also cov-

ers the other areas of safety that are essential to operations. At level 5, the emergency plan or other document covers the interruption of operations and the recovery from such interruptions.

Cb. Other documents related to safety

At the statutory level (level 3), the other documents related to safety from the perspective of self-preparedness and the rescue authorities' supervisory role include:

- An evacuation safety report and implementation plan for evacuation safety
- A safety report
- A notification on the small-scale industrial handling and storing of hazardous chemicals
- A notification on the small-scale technical use, handling and storing of liquefied petroleum gas
- An explosion protection document
- An emergency plan for a public event

The documents in question pertain to certain special fields. If none of these obligations apply, the site is assessed with the same value as Ca. The documents must be based on the specific characteristics of the operations and the accident risks, and they must, where appropriate, take the self-preparedness requirements into account.

At level 2, the documents are partly inadequate or do not take the specific characteristics of the operations/site into account. At level 1, no such documents have been prepared or they are significantly inadequate.

At level 4, the documents are more detailed or in-depth than required by law. At level 5, the documents are included in the emergency plan or some other entity that is logical from the perspective of the organisation's operations.

Cc. Timeliness and availability of the documents

At the statutory level (level 3), the documents related to safety must be up to date and available to the relevant parties. The documents must be prepared when the operations are launched and when the operations or facilities are changed. The documents in section Cb. may also be required to be periodically updated. The organisation must also regularly make sure that the documents are up to date (as part of in-house control).

The documents must be available to all relevant parties, i.e. the parties participating in their implementation. These parties include the business operator's personnel (or residents), the building's owner and occupant as well as sub-contractors (such as property maintenance, cleaning and guarding).

The availability of the documents can be implemented by distributing traditional paper versions of them or by utilising the Intranet or a similar channel. It must be noted that the documents are not useful if the parties participating in their preparation do not know their contents and are not familiar with the measures planned in the documents.

At level 2, the documents contain individual pieces of outdated information or some of them are unavailable to the relevant parties. At level 1, the documents or a significant part of them are outdated or unavailable to the relevant parties.

At level 4, the other documents, besides the statutory documents related to safety, are also up to date. At level 5, special attention has been paid to the availability and readability of the documents. The use of images, diagrams and floor plans as part of the documents is highly recommended. It is recommended for the images to be of the site in question or illustrative images of the operations, showing either correct or incorrect operating models or essential structural or technical solutions.

D: STRUCTURAL FIRE SAFETY

Structural fire safety forms the physical foundation for self-preparedness. Self-preparedness includes that the operator tries to prevent accidents by structural means, secures exit routes in accident situations, prevents the effects of an accident from spreading and safeguards rescue operations during accident situations.

The statutory level required for this section is based on Sections 9-11, 13-14, 18 and 22 of the Rescue Act (379/2011).

1 Poor level	2 Inadequate level	3 Statutory level	4 Voluntary level	5 Advanced level
Da: Prevention of accidents				
The prevention of accidents shows clear deficiencies which pose a risk of accident.	There are individual deficiencies in the prevention of accidents.	Accidents are prevented with structural means: The building's condition and use (incl. storage of goods) in accordance with the building permit Appropriate classification of the surface materials and furnishings Maintenance and upkeep of ventilation systems and electrical equipment	The prevention of sabotage has been enhanced with structural or technical means or personnel tracking.	The fire safety of the materials and furnishings exceeds the statutory requirements.
Db: Securing exit routes				
There are significant deficiencies in evacuation safety.	There are individual deficiencies in evacuation safety.	Evacuation safety is in order and the exit routes comply with the regulations.	The accessibility and usability of the exit routes is checked regularly and systematically.	Evacuation safety has been improved to exceed the statutory level.
Dc: Limiting the effects of accidents				
There are significant deficiencies in the fire compartmenting or the conditions for rescue operations.	There are individual deficiencies in the fire compartmenting or the conditions for rescue operations.	The effects of accidents can be limited structurally: The fire compartmenting is in order. The prerequisites for rescue operations have been secured.	The conditions for rescue operations have been improved based on the risks.	The fire compartmenting has been improved based on the risks.

Da. Prevention of accidents

At the statutory level (level 3), self-preparedness also includes the prevention of accidents by means of structural fire safety.

The building must be maintained in the condition required by the building permit, and the defined uses for the facilities must be complied with. The building control authorities must be contacted regarding any needs to make changes.

Compliance with the defined purpose of use also includes the storage of goods in facilities where it is allowed. Goods may not be stored in exit corridors or along the building's walls. Hazardous chemicals must be stored in accordance with the relevant regulations, with special care and caution.

The surface materials and furnishings must comply with the required classifications.

The ventilation systems and electrical equipment must be kept in proper condition and maintained and repaired regularly.

At level 2, there are individual and clear deficiencies in the requirements listed above. At level 1, there are significant deficiencies in the requirements listed above that increase the risk of accident.

At level 4, the prevention of sabotage has been taken into consideration by structural or technical means or by means of personnel tracking. These structural methods include improving the locking at flammable sites (such as waste bin shelters and storage facilities) and increasing lighting in outdoor areas. Technical solutions include the utilisation of intruder alarm, access control and video surveillance systems, among other things. Personnel tracking can be performed as part of in-house control or as a subcontracted service (e.g. guarding). At level 5, accidents are prevented in high-risk operations/facilities by using furnishings or surface materials with a higher flammability rating.

Db. Securing exit routes

At the statutory level (level 3), an essential part of self-preparedness is securing exit routes by making sure that the exit routes comply with the regulations.

The exit routes must provide access to the ground level or some other safe location without requiring a key. Items may not be stored along exit routes. The exit routes must be marked properly across their length.

The use of exit routes for normal passage is allowed and even recommended, so that their use is natural during accident situations. It must be taken into consideration that not all the routes leading outside the building are necessarily official exit routes. An exit route is a safe route outside during an accident situation as long as it has been kept in proper condition.

At level 2, there are individual and clear deficiencies in the requirements listed above. Examples of such deficiencies include a locked exit route or the storage of individual items along the exit route. At level 1, there are significant deficiencies in the requirements listed above that increase the risk of an accident. Examples of such deficiencies include several locked or inaccessible exit routes.

At level 4, a special systematic and orderly approach is used in monitoring the usability and accessibility of existing exit routes. At level 5, evacuation safety has been improved with structural means to exceed the statutory level. Examples of these solutions include additional exit routes that also meet the legal requirements.

Dc. Limiting the effects of accidents

At the statutory level (level 3), self-preparedness includes limiting the effects of accidents by means of structural fire safety.

Fire compartmenting must be in proper condition; fire compartmenting constrains the effects of fire (smoke and heat) inside the fire compartment for a certain period of time, enabling evacuation and other measures during an accident situation. Fire doors must close and latch by themselves. If the operations require fire doors to be kept open, they can in certain cases be replaced with automatic fire doors. Any through holes in compartment walls must be sealed with firestops.

The preconditions for rescue operations enable the rescue department's operations during an accident. The preconditions for rescue operations include:

- An illuminated address number attached to the side of the building
- Proper marking and accessibility of emergency access roads
- Proper marking of main and line shut-off valves for water, gas and other chemicals (route starting from outside)
- Marking of storage facilities, tanks or piping containing hazardous chemicals or explosives
- Marking of the main switchboard (route starting from outside)
- Signage for the safety equipment (E Safety technology) and appropriate guide diagrams accompanying the equipment
- Possible route key for the rescue department, attached to the exterior of the building

At level 2, there are individual and clear deficiencies in the requirements listed above. At level 1, there are significant deficiencies in the requirements listed above that increase the risk of accident.

At level 4, the preconditions for rescue operations have been improved to exceed the statutory level with either additional signage, an emergency access road or signage on the grounds. At level 5, the fire compartmenting has been improved to exceed the statutory level with regard to high-risk operations/facilities.

E: SAFETY TECHNOLOGY

Safety technology provides assistance in accident risk management. Self-preparedness includes that the operator uses sufficient technical means to ensure the detection and reporting of accidents, the preparedness to extinguish a fire at the initial stages and measures during an accident situation. Special attention must be paid to the maintenance and functionality of the safety technology.

The statutory level required for this section is based on Sections 12-14 and 17-18 of the Rescue Act (379/2011).

1 Poor level	2 Inadequate level	3 Statutory level	4 Voluntary level	5 Advanced level
Ea: Accident detection and reporting				
The site lacks some of the statutory equipment/systems or there are significant deficiencies in their operation.	There are individual clear deficiencies in the operation, maintenance or documentation of the equipment/systems.	The systems/equipment that detect and report accidents: Adequacy and functionality Maintenance, upkeep and documentation	The existing systems/equipment have been improved with individual risk-based measures.	In addition to statutory equipment and systems, the site is also equipped with other systems that detect and report accidents.
Eb: Preparedness to extinguish a fire at the initial stages				
The site lacks some of the statutory equipment/systems or there are significant deficiencies in their operation.	There are individual clear deficiencies in the operation, maintenance or documentation of the equipment/systems.	Systems/equipment used to extinguish a fire at the initial stages: Adequacy and functionality Maintenance, upkeep and documentation	The preparedness to extinguish a fire at the initial stages has been improved based on the risks.	The site has a voluntarily installed automatic fire-extinguishing system at least in the section of the property that is most at risk or, if it is a statutory requirement, it has been improved based on the risks.
Ec: Safety technology used in accident situations				
The site lacks some of the statutory equipment/systems or there are significant deficiencies in their operation.	There are individual clear deficiencies in the operation, maintenance or documentation of the equipment/systems.	Systems/equipment used during an accident: Adequacy and functionality Maintenance, upkeep and documentation	The existing systems/equipment have been improved with individual risk-based measures.	In addition to statutory equipment and systems, the site also has other systems that improve the preparedness to act in accident situations.

Ea. Accident detection and reporting

At the statutory level (level 3), self-preparedness includes the detection and reporting of accidents by technical means. Safety technology that detects accidents includes:

- Fire alarms and fire alarm systems
- An automatic fire alarm system
- Possible systems and equipment intended for gas and chemical leaks

Safety technology that alerts people to accidents includes:

- Fire bells and fire bell systems
- Public announcement systems and equipment
- Other systems reporting danger, such as light systems based on visual warnings or systems conveying signal data

The systems and equipment in question must be kept operational, maintained, inspected and suitable for their purpose. The systems and equipment must have a repair and maintenance programme as well as documentation on the performance of maintenance and inspections. With regard to an automatic fire alarm system, the organisation must also make sure that the information card is up to date and that false fire alerts are avoided.

At level 2, there are individual and clear deficiencies in the requirements listed above. With an automatic fire alarm system, there may be no more than three false fire alerts per year at level 2. At level 1, the site lacks some of the statutory systems or there are significant deficiencies in their operation. The number of deficiencies can be verified from the inspecting body's inspection records, for example.

At level 4, the existing systems have been improved with individual risk-based measures. Examples of these measures include voluntary expansion of the systems or the replacement of the alarms with more suitable ones. At level 5, the organisation has voluntarily purchased other systems or equipment that detect or alert people to accidents. Examples of these include the systems and equipment listed above and, where appropriate, video surveillance systems and building surveillance systems.

Eb. Preparedness to extinguish a fire at the initial stages

At the statutory level (level 3), self-preparedness includes ensuring sufficient preparedness to extinguish a fire at the initial stages. Preparedness to extinguish a fire at the initial stages includes:

- Equipment for extinguishing a fire at the initial stages
- Automatic extinguishing systems
- Dry sprinkler systems

The systems and equipment in question must be kept operational, maintained, inspected and suitable for their purpose. The systems and equipment must have a repair and maintenance programme as well as documentation on the performance of maintenance and inspections.

The equipment for extinguishing a fire at the initial stages must be kept properly attached, marked and freely accessible.

At level 2, there are individual and clear deficiencies in the requirements listed above. Examples of these include a single unmaintained or incorrectly stored fire extinguisher and individual deficiencies in the inspecting body's inspection records pertaining to automatic fire-extinguishing equipment. At level 1, the site lacks some of the statutory systems or there are significant deficiencies in their operation. The number of deficiencies can be verified from the inspecting body's inspection records, for example.

At level 4, the preparedness to extinguish a fire at the initial stages has been raised based on the risks by voluntarily purchasing additional fire-extinguishing equipment that is suitable for the operations. At level 5, the organisation has voluntarily purchased an automatic fire-extinguishing system at least for the higher-risk part of the property or, if it is a statutory requirement, it has been improved based on the risks.

Ec. Safety technology used in accident situations

At the statutory level (level 3), self-preparedness includes securing the measures taken during an accident with technical means. Systems and equipment used during an accident situation include:

- A system used to mark and illuminate the exit routes
- Smoke ventilation systems and vents
- A mechanism that enables ventilation shutdown
- Machines, equipment and materials of a civil defence shelter

The systems and equipment in question must be kept operational, maintained, inspected and suitable for their purpose. The systems and equipment must have a repair and maintenance programme as well as documentation on the performance of maintenance and inspections.

At level 2, there are individual and clear deficiencies in the requirements listed above. At level 1, the site lacks some of the statutory systems or there are significant deficiencies in their operation.

At level 4, the existing systems have been improved with individual risk-based measures. Examples of these measures include voluntary expansion of the systems or the replacement of individual parts with ones that are more suitable for the operations. At level 5, the organisation has voluntarily purchased other systems or equipment for the site which are used during an accident. Examples of these include the systems and equipment listed above and the voluntary replacement of the systems in question.

F: SAFETY COMMUNICATIONS AND COMPETENCE

Self-preparedness is meaningless without appropriate safety communications and competence. The various means of safety communication are used to ensure that the information on self-preparedness measures reaches all relevant parties. Safety communications are also used to ensure sufficient safety competence for both accident prevention and the preparedness to act that is required in accident situations.

The statutory level required for this section is based on Sections 3-5, 14-15, 18 and 22 of the Rescue Act (379/2011).

1 Poor level	2 Inadequate level	3 Statutory level	4 Voluntary level	5 Advanced level
Fa: Safety communications				
The safety communications do not cover accident risk management.	The safety communications do not take both the prevention of accidents and actions in accident situations into account.	The safety communications are based on accident risks that threaten the operations as well as self-preparedness and an emergency plan.	The safety communications take the other areas of safety that are essential to operations into account.	The safety communications have been planned and practised in preparation for serious crisis situations.
Fb: Preventive safety competence				
A lack of safety competence enables the realisation of the accident risks.	There are individual deficiencies in the preventive safety competence.	The preventive safety competence is sufficient in relation to the accident risks posed to the operations.	The preventive safety competence covers the other areas of safety that are essential to operations.	Preventive safety measures are taken into account in the planning and management of operations.
Fc: Safety competence required for accident situations				
There is no sufficient preparedness to act in accident situations.	There are individual deficiencies in the safety competence required for accident situations.	The safety competence enables sufficient actions during accidents.	The safety competence covers the high-risk situations pertaining to the other areas of safety that are essential to operations.	The safety competence covers the preparedness to act in crisis situations.

Fa. Safety communications

At the statutory level (level 3), safety communications include all the measures that are used to inform the relevant parties of the self-preparedness measures. The information on matters related to self-preparedness must be communicated to everyone who must participate in implementing them. These parties include the business operator's personnel, the building's owner and occupant as well as sub-contractors (such as property maintenance, cleaning and guarding). If the site in question is a residential building, the residents must be taken into account in the safety communications.

The safety communications must cover all the sections and criteria of the auditing model for self-preparedness. Self-preparedness is meaningless without appropriate safety communications and competence. The various means of safety communication are used to ensure that the information on self-preparedness measures reaches all relevant parties. Safety communications are also used to ensure sufficient safety competence for both accident prevention and the preparedness to act that is required in accident situations.

The method for implementing safety communications is not clearly defined; instead, it is left for the organisation to plan. It is recommended for a variety of means to be utilised in the safety communications, such as:

- Lectures, information bulletins and drills
- Documents
- Campaigns, e.g. risk of slipping in the autumn
- Normal coffee table discussions
- Everyday work supervision
- Blogs, competitions and incentive bonuses

The only limit to the implementation of safety communications is your imagination!

At level 2, the safety communications do not take both the prevention of accidents and actions in accident situations into account. At level 1, the safety communications do not cover accident risk management.

At level 4, the other areas of safety that are essential to operations are taken into account in the safety communications. At level 5, the safety communications have been planned and practised for serious crisis situations from the organisation's perspective.

Fb. Preventive safety competence

At the statutory level (level 3), the safety competence must cover the prevention of the recognised accident risks. The preventive safety competence must at least cover the prevention of the following accident risks:

- Fire
- Sudden illnesses and accidents
- Natural disasters
- Water damage and power failure

Other recognised accident risks (such as environmental damage for chemicals)

Safety competence can best be increased with training and drills. Regardless of the method, it is essential for both the prevention of accidents and actions taken during an accident situation to be taken into account.

Section Fa. covers the contents and methods of safety communications. This section (Fb.) assesses the competence achieved with these methods. Competence is sufficient when the prevention of recognised accident risks is part of everyday competence. The individuals to whom special responsibilities have been assigned (Aa. Division of responsibilities) must have sufficient competence to perform their own duties. The same applies to the requirement for competence at sites with exceptional risks (such as production facilities that handle hazardous chemicals).

At level 2, there are individual and clear deficiencies in the preventive safety competence. An example of such a deficiency is a situation in which some of the personnel are not familiar with the preventive measures for a certain risk in their own operations. At level 1, the lack of preventive safety competence is so considerable that it would enable the accident risks to be realised. This is apparent, for example, if a significant proportion of the personnel do not recognise the preventive measures for key accident risks in their own operations.

At level 4, the preventive safety competence covers the other areas of safety that are essential to operations. At level 5, preventive safety competence is taken into account as an essential part of the planning and supervision of work.

Fc. Safety competence required for accident situations

At the statutory level (level 3), safety competence must also cover actions in recognised accident situations, such as:

- Fire
- Sudden illnesses and accidents
- Natural disasters
- Water damage and power failure
- External dangerous situations (fire or chemical accident in the surrounding area)
- Risks caused by exceptional conditions (state of war, etc.)
- Other recognised accident risks (such as environmental damage for chemicals)

Safety competence can best be increased with training and drills. Regardless of the method, it is essential for both the prevention of accidents and actions taken during an accident situation to be taken into account.

Section Fa. covers the contents and methods of safety communications. The competence achieved with these methods is assessed in this section (Fc.). Competence is sufficient when the preparedness to act in recognised accident situations is part of everyday competence. The individuals to whom special responsibilities have been assigned (Aa. Division of responsibilities) must have sufficient competence to perform their own duties. The same applies to the requirement for competence at sites with exceptional risks (such as production facilities that handle hazardous chemicals).

At level 2, there are individual and clear deficiencies in the safety competence required for the accident situation. An example of such a deficiency is a situation in which a certain part of the personnel is not familiar with the planned operating models in a recognised risk situation. At level 1, the lack of safety competence is so significant that it would not be possible to take action in an accident situation. An example of this is a situation in which a considerable part of the personnel is not familiar with the operating models planned for a recognised risk situation.

At level 4, the safety competence covers other areas of safety in threatening high-risk situations. At level 5, the personnel is prepared to act in a crisis situation that is serious for the organisation.

OBSERVATIONS AND SCORING OF THE AUDIT/SELF-ASSESSMENT

See page 3 for instructions. Write down the main observation and result for each criterion in the table below. Calculate the result for each section based on the average of the criteria, following normal rounding rules.

SECTION/CRITERION	Key observation	1–5	SECTION/CRITERION	Key observation	1–5
A: Safety management	Result for the section		D: Structural fire safety	Result for the section	
Aa Division of responsibilities			Da Prevention of accidents		
Ab Independent monitoring			Db Securing exit routes		
Ac Response to safety deficiencies			Dc Limiting the effects of accidents		
B: Accident risk management	Result for the section		E: Safety technology	Result for the section	
Ba Recognition and assessment of risks			Ea Accident detection and reporting		
Bb Risk management methods			Eb Preparedness to extinguish a fire at the initial stages		
Bb Risk management documentation			Ec Safety technology used in accident situations		
C: Documents related to safety	Result for the section		F: Safety communications and competence	Result for the section	
Ca Emergency plan			Fa Safety communications		
Cb Other documents related to safety			Fb Preventive safety competence		
Cc Timeliness and usability of the documents			Fc Safety competence required for accident situations		



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