

Safety Services Guidance



Guidance on Health and Safety Management Profile (HASMAP) audits

Note: This version is in line with the version of HASMAP launched in October 2015

Key word(s) : HASMAP, HE sector audit tool, health & safety management system

Target audience : Senior managers, school/local safety advisors, anyone participating in an audit.

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Management cycle	Useful paragraphs
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Plan	1-6, appendix 1
Do	8-15, appendices 1, 2 and 3
Monitor	16-18, appendix 1
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Introduction

1. This document is intended for any University employee who may become involved in a HASMAP audit. The guidance is provided so that people can familiarise themselves with the tool and understand the process.
2. HASMAP is a comprehensive management audit tool for assessing the effectiveness of health and safety risk controls and management, based on the Health & Safety Executive's guidance publication HSG65 "Successful Health & Safety Management".
3. The HASMAP tool has been developed specifically for use in Higher Education (HE) establishments by the Universities Safety & Health Association, and has been accepted by the Health & Safety Executive as a valid scheme for measuring health and safety performance in the HE sector. The Chairs of University Councils and the Universities and Colleges Employers Association support its use, and the Higher Education Funding Council for England provided support by funding the training of safety professionals in HE.
4. The University of Manchester has adopted the HASMAP audit tool as the means of assessing health and safety management performance. The University's current target is for all units to achieve substantial assurance in all themes examined in an audit.
5. HASMAP audits are carried out by auditors independent of the unit being audited, usually by staff in central Safety Services; these audits are distinct from annual self-monitoring reports submitted to the University's Safety, Health & Environment Committee and Board of Governors. The self-monitoring reports will however usually provide useful evidence of local health & safety management activities.
6. The University's audit programme covers all of the Plan, Do, Monitor, Review management cycle.

Benefits of HASMAP

7. The benefits of using a structured audit package, and HASMAP in particular, are:
 - it focuses on the effectiveness of health & safety risk management;
 - it provides an objective series of criteria on which to judge performance, which ensures consistency of approach;

- it has been tailored specifically to the needs of the HE sector, and can be applied to any managed unit, including the University as a whole, Faculty, School, Institute, Directorate and smaller sub-units;
- it provides a comprehensive indicator of actual performance, especially when compared with reactive or lag indicators such as accident rates;
- efforts are made to ensure methodology and judgements made about performance are consistent across the campus;
- it provides a simple chart of performance against 10 key indicators, which identify areas of strong performance and also helps the audited unit focus on indicators where improvement is needed;
- it can highlight good and excellent practice within an audited unit, which might be appropriate for adoption across the whole of the unit;
- it can form the basis of action plans to improve performance;
- over time, audit reports and charts can be used as a means of benchmarking, and quantifying achievements and improvements;
- HASMAP reports can provide an objective report of performance to Risk Committee and the Board of Governors
- it can be cited in funding applications, as the means by which the University assesses and monitors how it complies with legal requirements relating to managing health & safety
- in the event of a serious accident or incident, evidence from audit reports can be used in investigations to help establish pre-existing levels of compliance.

Arrangements

8. The audit is usually carried out by a lead auditor, who may be accompanied by a second auditor from Safety Services. The Lead Auditor will normally have had little or no previous involvement with the unit being audited, and part of the role is to ensure that similar standards are being applied consistently across the campus. The Second Auditor may be the University Safety Co-ordinator who works with the unit on a regular basis and is familiar with the staff and activities.
9. HASMAP has 4 sections aligned to the “plan, do, check, act” cycle which are split into a total of 10 indicators and 27 Themes. A full list of the indicators, themes and elements examined during audits can be found in the [HASMAP toolkit](#). Appendix 3 outlines the parts of HASMAP that may be considered within the University’s audit programme. The scope of each audit will be agreed in advance.
10. The detailed audit process used depends on the structure of the unit and the extent/depth of the sampled activities. However, the general process is illustrated in the flowchart in Appendix 1.

11. In order to get the best value from the HASMAP audit and to ensure delivery of the HASMAP programme it is important that the process is followed in a timely and orderly fashion. The timescale will be agreed in advance with the senior manager, and the auditor (team) will require their co-operation and assistance in arranging interviews, accessing documents and other evidence, visiting sites, etc.

How is HASMAP scored?

12. Overall performance against the themes is scored to show a level achieved between basic and substantial assurance see descriptions below:

Levels of assurance

Basic assurance is scored where the basic architecture of a health and safety management system is in place but the health and safety management system is not fully embedded within the institution.

Substantial assurance is scored where a structured and systematic approach has been taken to the management of health and safety. The health and safety management system is robust in delivering effective control of risk and is fully embedded within the institution.

NB. As the University’s target is substantial assurance, high assurance is not being considered in the current audit programme.

13. See the table below for an explanation of the scoring system used:

Scoring system for overall performance summary of themes audited -

Compliance level	Description
Full	There is evidence that all elements of the theme are being met
Partial	Partial achievement of the theme i.e. there may be insufficient evidence or compliance in all locations, or there may be compliance with some elements and not others.
Nil	No evidence of any of the required elements within the theme being met

The scores given in the overall performance summary within the audit report are a summary of the overall performance against each of the themes examined during the audit, as shown in the table above.

14. An example of how the scoring is determined for each theme is presented below.

Example of a theme performance summary (A= leadership)

Theme	Basic assurance	Substantial assurance	Overall level of assurance for theme
A1 Health and safety policy	6/6	3/6	Partial substantial
A2 Management commitment and engagement	3/5	6/6	Partial basic NB. Substantial cannot be awarded overall until basic is fully met
A3 Risk profile	2/2	2/2	Substantial
A4 Objective setting	2/2	0/5	Basic

NB. Each individual theme's score represents the number of elements that have met the level of assurance and the number of elements examined within each theme. As the University's target is substantial assurance, currently the audit's focus only on basic and substantial assurance. Appendix 2 illustrates how this example would translate to a performance scorecard.

What happens afterwards?

15. Once the paperwork has been reviewed, interviews and visits have been completed, a draft report will be produced and when complete provided to the Senior Manager (Head of School/Director) in the unit. This is an opportunity for the audited unit to suggest any factual corrections and start preparing an outline action plan to address the issues identified.

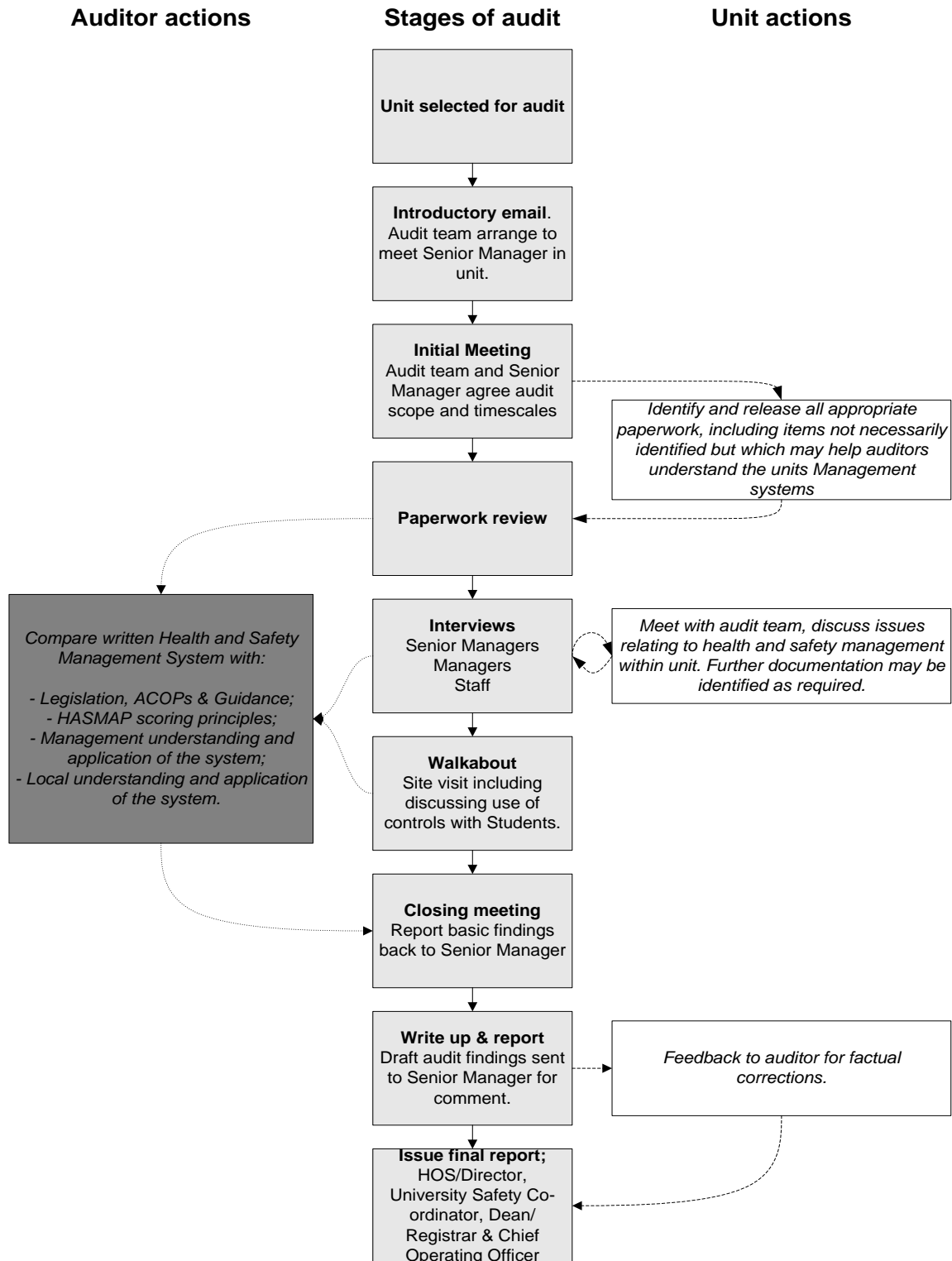
16. The final version of the report will be sent to the Senior Manager for the unit. Copies of the report will be sent to the Dean or the Registrar/Chief Operating Officer (as appropriate), and the Head of Safety Services and the unit's University Safety Co-ordinator. At this stage, the auditor(s) will also ask for feedback on the audit experience.

17. Once the report has been received an action plan should be produced by the unit, based on the recommendations in the report and progress in completing the identified actions should be managed by the unit.

18. As the contact within each Faculty or Directorate may only take place once a year it has been agreed that the "wider lessons" from each audit need to be learnt across the Faculty or Directorate, in between audits.
19. A few wider lessons learnt will be generated each year from audits completed across the University, consideration of/compliance with these will be considered within health and safety monitoring reports.
20. All of the evidence collected during the audit, including both paper copies and electronic versions will be disposed of securely within 1 month of the final report being issued.

Appendix 1: HASMAP audit process

HASMAP audit process



Appendix 2: Example score card for themes in stage 2- A indicator

Solid blocks of colour show the score achieved while a block with hatchings indicates that there was evidence to indicate that the standard was partially achieved.

Ref	Theme	Level of assurance	
		Basic	Substantial
A.1	Health and safety policy		
A.2	Management commitment and engagement		
A.3	Risk profile		
A.4	Objective setting		

Appendix 3: List of indicators and themes which may be considered in a HASMAP audit.

Indicator	Theme
PLAN	
A: Leadership	A.1 Health and Safety Policy
	A.2 Management Commitment and Engagement
	A.3 Risk Profile
	A.4 Objective Setting
B: Planning for Emergencies	B.5 Critical Incident Management
	B.6 Protocols for Immediate Response
DO	
C: Health and Safety Arrangements	C.9 Local Arrangements
D: Risk Assessment and Risk Control	D.10 Hazard and Risk Register
	D.11 Arrangements for Risk Assessments
	D.12 Application of Arrangements
	D.13 Implementation of Controls
E: Competence	E.14 Health and Safety Training
	E.15 Health and Safety Competence
F: Communication	F.16 Institutional Communication
	F.17 Local Communication
G: Consultation	G.18 Institutional Consultation
	G.19 Local Consultation
CHECK	
H: Health and Safety Monitoring	H.20 Inspection / Audit
	H.21 Action Tracking
	H.22 Statutory Checks (equipment)
	H.23 Data Collection and Analysis
I: Accidents and Incidents	I:24 Accident / Incident Arrangements

ACT	
	I.25 Compliance with Arrangements
	I.26 Conduct of Investigations
J: Review	J.27 Self Review
	J.28 Improvement Planning

NB. The Institutional themes will not be included in the audit of an individual unit
The exact themes to be considered in an individual audit will be decided in the scoping meeting.

Document control box	
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