

## 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 2021 (v3)**

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

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

### Contents

Introduction .....	2
Benefits of HASMAP .....	3
Arrangements for audits.....	3
What happens afterwards? .....	5
Appendix 1: HASMAP audit process .....	6
Document control box.....	8

## Introduction

1. The University of Manchester has adopted the HASMAP audit tool as the means of assessing health and safety management performance. This document is intended for any University employee who may become involved in a HASMAP audit, to enable them to understand the audit process.
2. HASMAP is a comprehensive management audit tool for assessing the effectiveness of health and safety risk controls and management. The HASMAP tool has been developed specifically for use in Higher Education (HE) establishments by the Universities Safety & Health Association (USHA) 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 (UCEA) support its use.
3. HASMAP audits are carried out by auditors who are 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 Occupational Health, Safety and Training Advisory Group (OHSTAG) and the HASMAP self-assessment tools completed across the University. The self-monitoring reports/tools will however usually provide useful evidence of local health & safety management activities.
4. HASMAP has 4 sections aligned to the "plan, do, check, act" management cycle, which are split into a total of 10 Indicators and 28 Themes. A full list of the indicators, themes and elements examined during audits can be found in the [HASMAP toolkit](#). Appendix 2 outlines the parts of HASMAP that may be considered within the University's audit programme. The University's audit programme covers all of the "Plan, Do, Monitor, Act" management cycle.

## Levels of assurance in HASMAP

5. The University's target is for all units to achieve and maintain high assurance in all themes.
6. **Basic assurance** is 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.
7. **Substantial assurance** is 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.

8. **High assurance** is where the health and safety management system continues to evolve and respond effectively to the changing needs of the institution. Aspects of the health and safety management system have been extensively developed.

### **Benefits of HASMAP**

9. 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, Department, Divisions, 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 can highlight good and excellent practice within an audited area/unit, which might be appropriate for adoption across the whole of the management area, or wider within the faculty or University;
  - it identifies areas of strong performance and also helps the audited area/unit focus on any aspects where improvement is needed;
  - it can form the basis of action plans to improve performance;
  - over time, audit reports can be used as a means of benchmarking; quantifying achievements and improvements;
  - HASMAP reports can provide an objective report of performance to governance committees within the university;
  - 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 for audits**

10. Safety Services uses HASMAP throughout the University as a tool to confirm the findings of the completed self-assessment tools (SAT) and to maintain high levels of assurance (where this is being achieved). Safety Services will do this by taking a sampling approach to auditing how the Faculties and Professional Services (PS)

manage health and safety. The HASMAP tool may also be used to structure the investigation of serious accidents and incidents.

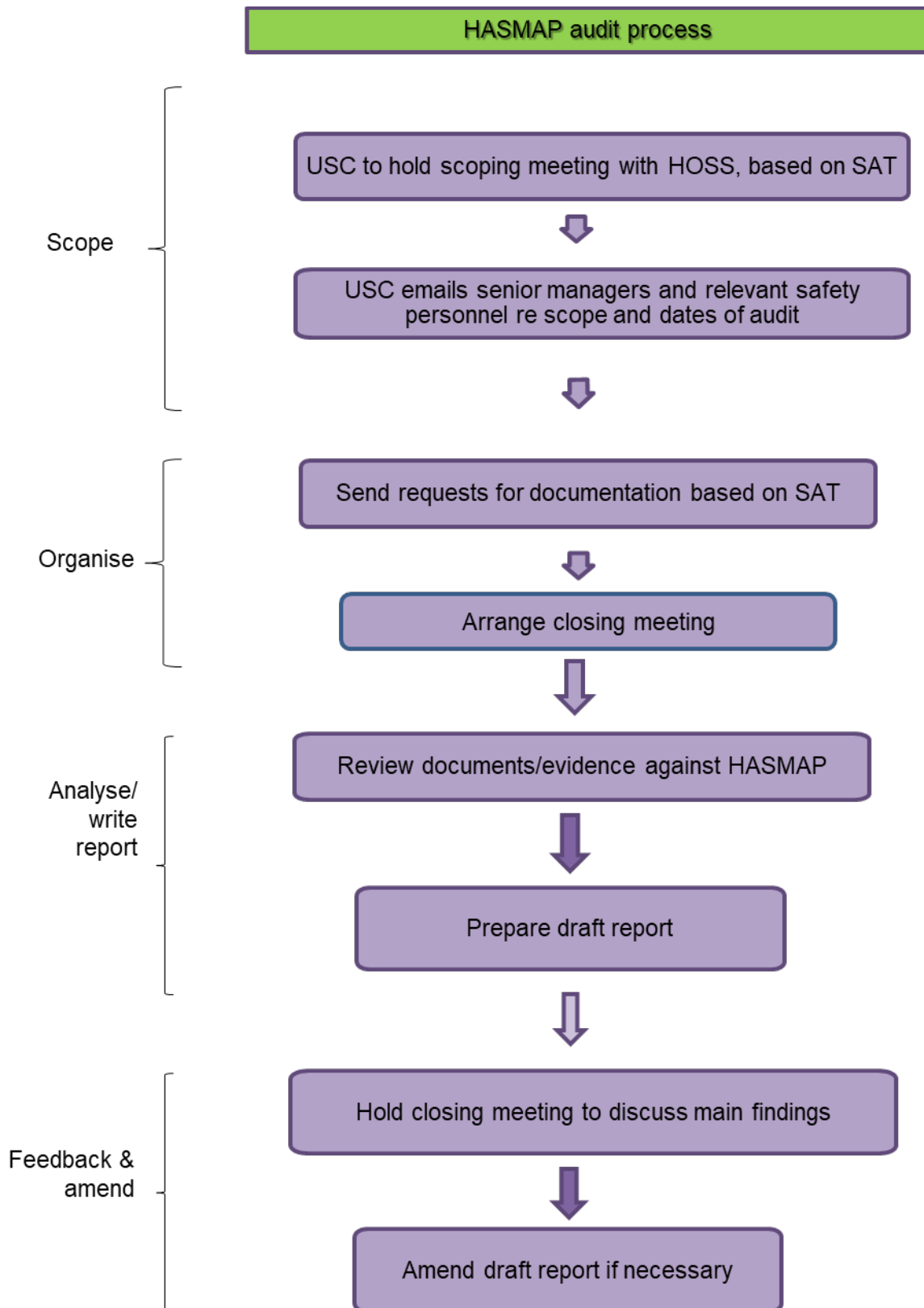
11. The principles which Safety Services will work to in conducting these audits are below:
  - Audits will be targeted on specific themes within HASMAP, to provide focus and add value
  - Audits will be conducted by examining the health and safety management system, based on the evidence indicated in the SAT, unless indicated otherwise
  - Audits will be based only on the evidence presented
  - Auditors will only carry out interviews or observe activities only if necessary and in agreement with the Head of Safety Services as part of the scoping exercise
  - Audits will report on good practice and make any recommendations to help improve or maintain the health and safety management system at high levels of assurance
12. The audit is usually carried out by the relevant University Safety Co-ordinator, who works with the audited area/unit on a regular basis. The general process is illustrated in the flowchart in Appendix 1.
13. The scope of each audit will be agreed in advance, this will be done primarily with reference to the SAT, the local risk profile (in the annual monitoring report) and accident data for the local area.
14. The detailed audit process to be followed and the time taken to undertake an audit of any given area/unit depends on the structure and size of the area/unit, the extent/depth of the sampled activities and the complexity of the work being undertaken. All audits will be undertaken in a timely manner.
15. 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 local/school safety advisor or the school/directorate/department lead and/or the faculty lead as appropriate and the auditor will require their co-operation and assistance in accessing documents and other evidence and arranging any interviews (if necessary).
16. The USC will provide the local contacts with a tailored document request form, based on the relevant sections of the locally completed self-assessment tool; documentation will be requested four weeks in advance of the audit. The evidence may be provided to the USC by email, or by allowing temporary access to a shared drive, or by providing links to online documents. The opportunity will be available for additional narrative to be provided on the document request form, to be returned together with relevant documentary evidence.

17. It is crucial to ensure audits are completed in a timely manner that the requested information is provided on time to the auditor. If, in the opinion of the USC, insufficient evidence is referred to in the self-assessment tool, this will be reflected in the report.

### **What happens afterwards?**

18. Once the paperwork has been reviewed and any necessary interviews and visits have been completed and a draft audit report has been prepared, a closing meeting will be held to share the findings, involving relevant local contacts (the Head of Planning, Compliance and Governance or PS lead will be invited). This is an opportunity for the audited unit to suggest any factual corrections, ask for clarifications and start preparing an outline action plan to address the issues identified.
19. The final report will be sent to the Head of School/Institute/Director and any other relevant Senior Managers. Copies of the report will also be sent to relevant safety staff, the Head of Planning, Compliance and Governance, the Dean or the Registrar/Chief Operating Officer (as appropriate) and the Head of Safety Services.
20. Once the report has been received an action plan should be produced by the unit, based on the recommendations in the report. Progress in completing the identified actions should be managed by the area/unit and monitored via the relevant local health and safety committee until completion.
21. As the Safety Services led audits 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 shared across the Faculty or PS, where relevant. Where necessary, wider lessons learnt generated from audits will be discussed at OHSTAG.
20. All of the evidence collected during the audit, including both paper copies and electronic versions will be disposed of securely after the final report has been issued.

## Appendix 1: HASMAP audit process



**Appendix 2: List of indicators and themes which may be considered in a HASMAP audit.**

<b>Indicator</b>	<b>Theme</b>
<b>PLAN</b>	
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
<b>DO</b>	
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
<b>CHECK</b>	
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

<b>ACT</b>	
	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.

<b>Document control box</b>	
Title	Guidance on Health and Safety Management Profile (HASMAP) audits
Link to Policy or Chapter	University Health & Safety Arrangements <a href="#">Chapter 12 on Measuring Performance, Monitoring &amp; Auditing</a>
Date first issued:	v1.0 January 2010
Issued by:	Safety Services
Implementation date:	V 3.0 Mar 2016
Version:	V 4.3 January 2023 Updated to reflect changes to audit process, the use of the self-assessment tool and the new target of high assurance. V4.2 April 2018-Minor updates V4.1 Nov 2016 appendix 3 corrected V4.0 Sept 2016 V3.0 Mar 2016 – to reflect new HASMAP 2015 v2.2 minor updates Jan 2015 v2.1 2013 v2.0 Jun 2013
Next review date:	Upon significant change
Owner of this document:	Head of Safety Services, Dr Patrick Seechurn
Lead contact:	University Safety Coordinator/Auditor, Sheila Chisholm/Josh Arnold