

# **Audit and Inspection**

## **Health and Safety Policy and Procedure**

(Ref: QMHSD\_HS\_PCY020)

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## 1.0 Executive Summary

1.1 Queen Mary University of London (Queen Mary) is committed to establishing and implementing a robust audit and inspection regime to help ensure compliance with relevant legislative requirements and meet the requirements of its Health and Safety Policy.

## 2.0 Introduction

2.1 Audits and inspections can be extremely useful tools to use in order to proactively check the effectiveness of a Health and Safety Management System. They can also indicate whether the aims of Queen Mary's Health and Safety Policy are being achieved.

## 3.0 Purpose

3.1 The purpose of this Policy is to outline the processes for undertaking health and safety audits and inspections at Queen Mary.

3.2 This Policy defines roles and responsibilities when planning, organising, and conducting inspections and audits. It outlines the method for reporting the findings and development of subsequent action plans, as well as how the identified actions will be monitored to ensure they are complete.

3.3 Audits and inspections aim to:

- check and confirm that all Schools / Institutes / Directorates are compliant with the Queen Mary health and safety policy statement, plan and subsequent H&S topic policies, procedures and objectives. Where gaps and issues are identified, they enable appropriate remedial actions to be taken
- provide Queen Mary's Governing Council and Senior Executive Team (SET) with essential information needed in order to exercise effective control over management of health and safety and to ensure compliance with statutory, regulatory and other relevant requirements
- evaluate the integrity and reliability of the School / Institute / Directorate's local arrangements and procedures, as well as those at Faculty and Professional Services level where required
- encourage self-regulation and compliance with Queen Mary and statutory health and safety requirements.

## 4.0 Scope

4.1 This Policy applies to all Schools, Institutes and Directorates throughout Queen Mary.

4.2 The audit program will be performed with due professional care, in accordance with the audit criteria derived from the formal occupational health and safety management system ISO 45001:2018 standard and Health and Safety Management Profile (HASMAP) Universities Safety and Health Association (USHA) auditing tool. Where audits are undertaken which focus on specific topics, such as working at height, or local exhaust ventilation systems, the audit criteria will be derived from relevant legislation, standards, guidance and other documents to ensure that Queen Mary is complying with its responsibilities. Where required, technical expertise and input may be sought from other individuals (both internal and external to Queen Mary), on certain topics.

4.3 The audits will compare actual health and safety performance in the workplace against:

- legislative compliance

- guidance from relevant regulators such as Health and Safety Executive (HSE)
- best practice
- International and Sector standards

4.4 Inspections will be undertaken using pre-agreed checklists relevant to the nature of the location, equipment or activity being inspected.

## 5.0 Legislation

5.1 The Management of Health and Safety at Work Regulations 1999 specifies that every employer shall make and give effect to such arrangements as are appropriate, having regard to the nature of his activities and the size of his undertaking, for the effective planning, organisation, control, monitoring and review of the preventive and protective measures. Undertaking audits and inspections will enable Queen Mary to monitor the effectiveness of the arrangements in place and meet this requirement.

5.2 In addition, audits and inspections will help to check whether control measures identified through the risk assessment process are being implemented effectively. Risk assessments are a legal requirement under the Management of Health and Safety at Work Regulations 1999.

5.3 Queen Mary staff and students working in countries outside the UK, such as Queen Mary Malta, should ensure that they work in accordance with local legislative requirements, although the principles outlined within this policy would still be applicable.

## 6.0 Terms and Definitions

6.1 H&S audit: A process that is undertaken to check whether the systems an organisation has in place are working and effective and that compliance with legal requirements is being achieved. H&S Management Systems models such as ISO 45001:2018, HSG65 and HASMAP can be used to measure against. The findings of an audit will enable the organisation to take appropriate action where gaps are identified.

6.2 H&S inspection: A physical check of the working environment to identify potential hazards and, where required, enable suitable measures to be taken to prevent injury, harm or damage before it is caused.

6.3 Action plan: A record of any recommended remedial actions identified following an audit or inspection.

## 7.0 Roles and Responsibilities

7.1 Specific roles and responsibilities include:

### 7.2 Vice-Principals / Executive Deans

7.2.1 Vice-Principals and Executive Deans are answerable to the Principal for ensuring health and safety monitoring is undertaken across their Faculty.

7.2.2 Vice-Principals and Executive Deans shall ensure that:

- their control areas fully comply with the requirements of this document
- adequate resources are available to their schools/institutes to conduct health and safety inspections and implement subsequent remedial actions

- there is liaison with the Faculty/PS Health and Safety Manager within the Health and Safety Directorate (HSD) to prepare an annual health and safety improvement plan for their Faculty based on the inspection and audit results.

### **7.3 Heads of Schools and Directors**

7.3.1 Note: For the purpose of this document, the term 'Director' is used to refer to Directors of Institutes as well as Directors of Professional Services.

7.3.2 Heads of Schools and Directors are responsible for their School / Institute / Directorate's compliance with statutory and Queen Mary requirements.

7.3.3 For the audit, they shall be responsible for ensuring:

- sufficient resources are made available to accommodate the audit team as set out in the audit programme
- remedial actions identified from the audit are allocated to the appropriate persons so they can be taken forward and completed within a reasonable and agreed timeframe
- adequate time and resources are allocated in order to resolve any remedial actions
- the Faculty Health and Safety Management Group receives regular updates on the progress of recommendations and audit observations (as outlined in the action plan)
- their control areas comply with the requirements of this document.

7.3.4 For all health and safety inspections (including any undertaken in conjunction with members of the Health and Safety Directorate), they shall be responsible for ensuring:

- inspection teams are appointed
- appropriate training is provided to all members of the inspection team where required
- adequate time is allocated for members of their team to carry out the inspections and monitoring exercises
- inspections are completed on schedule as far as possible
- any remedial action identified from the inspection is taken, ensuring the action is allocated to the appropriate individual
- records are kept on MySafety (OSHENS)
- outstanding actions are kept under review and monitored through to completion.

### **7.4 The Director of Health and Safety**

7.4.1 The Director of Health and Safety is responsible for overseeing and ensuring that suitable inspection and audit procedures and guidance documents are developed and implemented across all areas of Queen Mary.

7.4.2 The Director of Health and Safety shall be responsible for ensuring:

- the H&S Manager (Audit Lead) and associated team receives appropriate training to remain competent to fulfil their responsibilities for auditing and monitoring
- the conduct and professionalism of the audit team
- any disputes arising from an internal and external audit or monitoring arrangements are investigated and mediated to achieve a resolution with maintaining compliance with established procedures and standards
- an annual H&S audit report is presented to the Principal and Queen Mary Council
- the audit procedure and standard is reviewed and updated on a regular basis or when necessary.

### **7.5 Health and Safety Manager (Audit Lead)**

7.5.1 Note: For the purpose of this document, the term 'the Audit Lead' is used to refer to Health and Safety Manager (Audit Lead).

7.5.2 The Audit Lead reports to the Director of Health and Safety and is responsible for developing and managing the Queen Mary health and safety inspection and audit system.

7.5.3 The Audit Lead shall:

- develop, implement, manage and continually improve a comprehensive, effective health and safety inspection and auditing system, to monitor health and safety performance across Queen Mary
- evaluate and confirm compliance with the requirements of the Queen Mary health and safety policies and procedures at Department level
- publish the agreed audit programme at the start of each academic year
- prepare health and safety audit and compliance reports for Director of Health and Safety, Senior Executive Team and other bodies or individuals as necessary
- provide (in conjunction with other H&S personnel) information, training and instruction and task-specific advice on inspection and audit procedures, sampling, outcomes and follow up actions
- monitor that annual health and safety inspections are carried out within Schools / Institutes / Directorates to required standards across all activities of Queen Mary and on all campuses
- provide guidance on reporting and follow up processes by the development of checklists and training on MySafety (OSHENS) audit tool
- reporting on the effectiveness of Departmental inspections to the Queen Mary Health and Safety Advisory Group (HSAG)
- during the audit, ensure that the audit team demonstrates integrity, appropriate standards and professionalism
- advise and assist Executive Deans, Heads and Directors on improving their performance through the production of annual health and safety plans and targets
- ensure the highest levels of confidentiality through a respect for the value and ownership of information received, and compliance with Queen Mary's data protection policy requirements.

## **7.6 Queen Mary Health and Safety Advisory Group (HSAG)**

7.6.1 HSAG shall review Queen Mary's compliance with health and safety legislation through audit reports and evaluate the effectiveness of compliance with the health and safety policies and associated procedures at Faculty, School, Institute and Department level.

## **7.7 Safety Coordinators**

7.7.1 Safety Coordinators will lead on self-inspections and will undertake the annual health and safety inspection in conjunction with members of the Health and Safety Directorate (HSD). Safety Coordinators are also required to support the Heads / Directors in ensuring any remedial measures identified are taken and actions closed off once complete.

## **7.8 All staff, students and others**

7.8.1 All staff, students and others who may be involved in the process are required to co-operate fully with inspections and audits and to be open and honest in replies to questions asked of them by the Inspection and Audit teams.

## 8.0 Policy / Operational Arrangements

### 8.1 Audit Process

8.1.1 Internal health and safety audits will be conducted by the Health and Safety Directorate (HSD) and, in most cases, will be undertaken by the Queen Mary Audit Lead.

8.1.2 Internal health and safety audits will generally focus on the health and safety management system within a specific School / Institute / Directorate at Queen Mary. There may be times, however, when a specific topic area may be identified to be audited. This could include topics such as training needs and arrangements, safety when working at height, asbestos management etc.

8.1.3 The process for internal audits which focus on the H&S management system within a School / Institute / Directorate is outlined on the [Audit and Inspection](#) webpage.

8.1.4 When topic-based audits are conducted, the Audit Lead will consider:

- any Queen Mary policies, procedures and other documents that are relevant to the subject
- the relevant persons to be involved in the process such as those with roles and responsibilities that relate to the topic, or those in operational roles to show how the work is undertaken in practice
- any activities or processes that may need to be observed to gauge the effectiveness of the procedures in place
- how the findings will be cascaded to the relevant persons so that, where necessary, the appropriate actions can be taken to make the required improvements.

### 8.2 Health and Safety Inspections

8.2.1 At least one Health and Safety inspection of all Schools / Institutes / Directorates should be completed within any 12-month period.

8.2.2 Local inspection regimes should be implemented and may take the form of a walk around using a simple checklist or could be more in-depth safety tour. In all cases, the scope of the inspection should be determined and should clearly outline the areas that will be covered, the activities to be considered, and the individuals involved.

8.2.3 The Faculty/PS Health and Safety Manager/Adviser for the area will undertake annual inspections of specified areas within a School / Institute / Directorate. Union Safety representatives will also be invited to attend these.

8.2.4 Health and Safety inspection checklists may include:

- assessing the elements of the local health and safety management system and effectiveness of the local procedures, including checking documents such as risk assessment, statutory inspection records, maintenance and test records, training records etc.
- a thorough inspection of physical aspects of the workplace, including work equipment and activities. It may not be feasible to include all areas within a School / Institute / Directorate, so higher hazard areas and activities should be the main focus
- checking compliance with agreed safe systems of work, permit to work systems, local safety rules, utilisation of personal protective equipment etc.

8.2.5 It should be noted that health and safety inspections are not a substitute for routine health and safety checks, maintenance and testing.

8.2.6 Findings from Health and Safety inspections should be recorded on the MySafety system and the School / Institute / Directorate should have systems in place to ensure that any remedial actions are addressed in a reasonable and agreed time period.

8.2.7 Further guidance on undertaking H&S inspections can be found on the [Audit and Inspection](#) webpage.

### **8.3 Specific Hazard Related Inspections**

8.3.1 Certain work undertaken at Queen Mary falls under the remit of specific regulations which carry additional legal duties. Examples include the use of ionising radiation and working with genetically modified organisms or biological agents. In these instances, there are requirements for responsible persons to undertake inspections at set frequencies. There may also be a need to involve inspectors external to the Faculty where the work is carried out, such as Health and Safety Advisers, external experts, and other peer reviewers.

8.3.2 The HSD (Fire Safety Team) will carry out periodic Fire Safety Building Checklist visits across Queen Mary owned and occupied buildings. This will identify current fire safety standards at the time of the visit and also consider whether the policy, procedures, and systems operated by Queen Mary are achieving the desired results.

8.3.3 Findings of inspections should be provided to the person(s) responsible for the work activities, equipment or location who should then ensure that the appropriate remedial action is taken within a reasonable and agreed timeframe. All actions should be kept under review to ensure that they are completed or escalated where necessary.

8.3.4 Further guidance on inspections can be found on the [HSD Audit and Inspection](#) webpage,

## **9.0 Further Information**


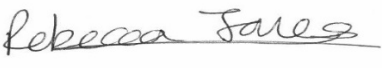
Health and Safety Executive (HSE) – [Guidance for Managing H&S](#)

Universities Safety and Health Association (USHA) – [HASMAP](#) Information

Queen Mary [Audit and Inspection](#) webpage



**Document Control**

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