



Rules and Regulations

The Safety and Health
Management System of AUVA

AUVA-SHM 6th Edition

Preface

This document is intended first and foremost for managers, prevention experts and personnel managers as well as all those who wish to develop their own safety and health management system or integrate it into an existing management system. AUVA's Safety and Health Management System (AUVA-SHM) was inspired by the structure of the process-oriented management system of the ISO 9000 series.

The amended AUVA-SHM is based on the Austrian Guideline for SHMSs (Ö-SGMS) published by the Federal Ministry of Economics and Labour (as of October 2004) and focuses on the safety and health and involvement of staff members.

Preface

to the 6th amended edition

The AUVA-SHM is constantly under review and updated to reflect new insights.

The present document has been amended to accommodate new insights from the fields of management consulting and certification as well as comments on the part of the social partners and certification authorities. The object was to state the demands of AUVA-SHM more clearly and make the System more transparent. An explanatory section titled "Anleitung und Beispielsammlung zum Regelwerk AUVA-SGM" ("Instructions and Examples regarding AUVA's SHM") with examples tested in practice was published under www.auva.at/sgm in November 2007. It contains additional explanatory notes that facilitate implementation at enterprise level.

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Benefits and Advantages of the AUVA SHM

Greater staff satisfaction

The AUVA SHM aims at promoting staff safety and health. This improves employees' performance and work satisfaction, staff members identify more with the work they do, staff turnover decreases and the knowhow acquired by staff members remains within the company.

More conformity with the law

The AUVA SHM takes relevant legal provisions into account and lays down procedures, measures and responsibilities to ensure compliance with these provisions, thus achieving a higher level of conformity with the law.

Fewer sickness absences

A safety and health management system is particularly important to create and maintain a positive working climate. Workplace layout and equipment and the working environment as a whole go a long way to preserve and/or improve the health of staff members.

High degree of motivation

Systematic safety and health efforts that form part and parcel of the work experience are a clear sign of the importance the enterprise attaches to health and safety. This encourages the staff to assume responsibility of their own accord.

Cost reduction and competitive advantages

Improvements in the fields of safety and health as well as organisation and communication help reduce costs and add to job security. Customers increasingly tend to prefer partners and subcontractors that operate safety and health management systems.

Improved image

Better, safer and healthier workplaces raise a company's image as an attractive employer. Special annual reports on health and safety highlight the enterprise's interest in these matters as they document activities already undertaken or projected and communicate them to the company's staff and business partners.

Easy integration into other management systems

It takes but little effort to integrate the AUVA SHM into existing quality and environmental management systems.

Important management information

Suitable indicators help to demonstrate developments clearly, enabling the management to react rapidly and effectively to changing conditions.

Well-structured improvement processes

Ways to make use of the potential for improvement are identified and appropriate action can be taken effectively and efficiently

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1 Introduction

Safety and Health are central concerns of society. Up to the mid-nineties of last century these matters were chiefly dealt with by detailed and comprehensive laws and regulations. Since then, the protection of workers has developed far beyond the stage of mere compliance with legal rules. Modern legal provisions call for the systematic and independent detection and assessment ("evaluation") of risks in the interest of minimising risks and health hazards.

This basic idea – a systematic and preventive approach to safe workplaces and the protection of health – is the basis of any Safety and Health Management (SHM) System. Building on existing evaluation and risk assessment practices, health-related subjects are integrated into company structures. The object is to ensure and promote safety, health and performance – indeed, matters of considerable importance to society, managements and individuals. Their realisation is only possible if safety and health matters are managed within the company, and if all company staff, including external ones, are integrated in the process. Policies and objectives of the AUVA SHM system have to be orientated along these lines.

AUVA's SHM, then, goes far beyond merely calling for compliance with legal provisions.

The present Rules and Regulations describe the requirements of the AUVA SHM. An organisation that has introduced the AUVA SHM system meets all criteria required for certification and may apply for it to be carried out by any accredited certification authority.

1.1 Field of Application and Conditions for the Use of the AUVA SHM System

An essential prerequisite is the willingness of the top management to introduce, implement, monitor and constantly improve the management system and to provide the necessary resources. Employees should be actively involved in organising, planning, implementing evaluating the AUVA SHM system and in making necessary improvements.

The AUVA SHM constitutes an identification and assessment (evaluation) system for potential risks and exposures that is in conformity with the protection of workers provisions currently in force.

The System is designed to govern various kinds of processes:

- a) Processes relevant to the System: These include, in particular, documentation, document and record flow, measurement, analysis and improvement processes, internal audits, management review, policy decisions and adjustments, and proof of conformity;
- b) Processes relevant to safety and health: These are, above all, ensuring conformity with the laws, selection, qualification and training, internal and external communication, as well as all other SHM processes discussed in Chapter 5 of these Rules and Regulations..

1.2 Documentation

The documentation descriptive of the management system consists of documents and records.

It must be

- up to date
- available to all employees concerned
- such that results can be checked (through internal and external audits) and
- capable of constant improvement.

The scope and form of documentation of the AUVA SHM system will vary with circumstances (e.g. size, form of organisation, risks involved), the duty to comply with legal requirements concerning the keeping of documents and records (e.g. for evaluation and instruction) notwithstanding.

- basic documentation (e.g. manuals, handbooks)
- process descriptions/process instructions
- working instructions, operating instructions
- checklists, forms etc.

These levels have different functions:

Basic documentation

The basic documentation comprises the company policy (e.g. in terms of quality, safety and health), organisational structure (company structure, competences and responsibilities) and process structure (workflow). It also describes the basic objectives and control mechanisms. It is couched in general terms, and more detailed instructions will be found in the subordinated documents.

Process descriptions/process instructions

Process descriptions/process instructions document the process steps sequentially in chronological order. For the most part processes are not carried through all stages by a single person, and the description shows which individuals exercising which functions contribute what, and in what form, to a successful operation

Working instructions, operating instructions

Working instructions and operating instructions elaborate on the process descriptions in greater detail; they are principally addressed to a person or group executing the same or similar work

Checklists, Forms

Checklists and forms systematise workflow, make for uniformity regarding records and thus facilitate the evaluation of data (e.g. forms recording near-accidents, suggestions for improvement etc.). Once a document form is filled in it becomes a record.

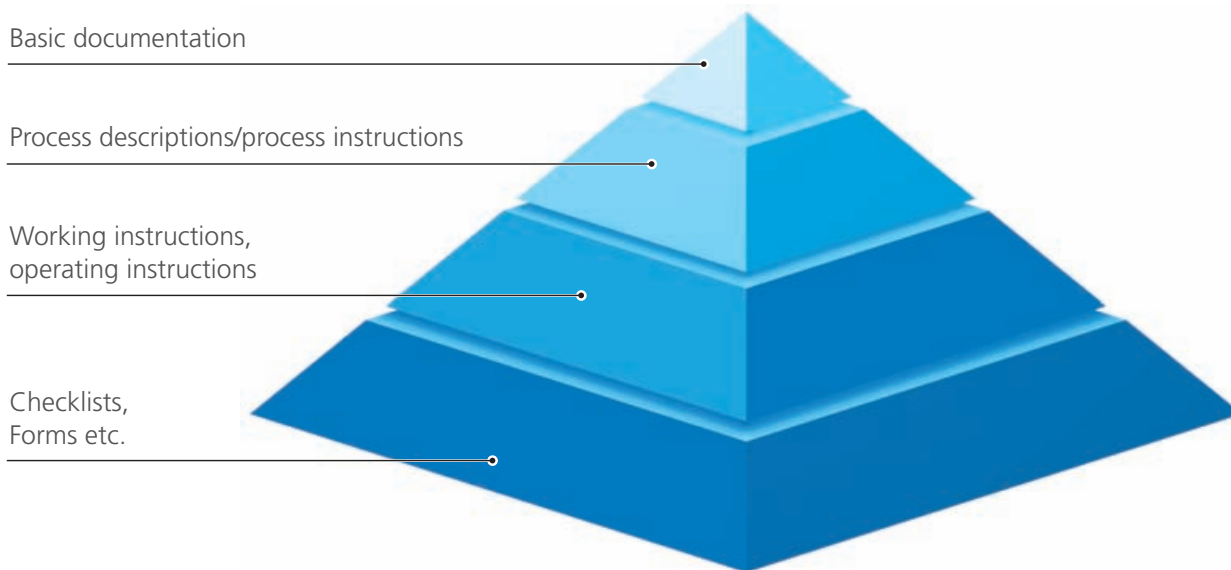
1.3 Definitions

1.3.1 Nomenclature

The present document partly uses a variety of terms to designate a particular concept or institution (e.g. worker/employee/staff, employer, company/enterprise/organisation, department/unit etc.), which should be read as the locally prevalent designation or title.

1.3.2 Documents

Documents may be compiled exclusively for the AUVA SHM system or form part of the existing documentation of other management systems (e.g. ISO 9001, ISO 14001). Customarily there are four hierarchical levels:



1.3.3 Records

The practical implementation of the management system generates the necessary records (for instance from documents). Records are kept to furnish evidence on whether processes and controls operate as planned.

The processes relevant to safety and health – in any case those mentioned in this document – are described in the AUVA SHM. Individual processes may be passed over on condition that conformity with the present Rules and Regulations is maintained and the grounds for exclusion are duly documented.

In the context of the AUVA SHM Rules and Regulations controlling a process means:

- defining a concrete mode of action
- communicating with those concerned
- making resources available
- implementing the process
- making improvements, drawing conclusions and taking corrective action at regular intervals
- documentation

1.3.4 Processes

A process is a (mostly time) sequence of activities carried out regularly, with a starting point and an end point. By regulating a process by means of an established procedure we mean finding a starting point for the process, describing the sequence of activities (who does what when and with whom?) and defining the end point.

Processes

- comply with legal provisions
- make use of state-of-the-art insights
- are assessed at regular intervals
- are adapted as and when need arises
- are known and understood by all those concerned.

1.3.5 Policy/Principles

By policy/ principles we mean the sum total of basic decisions that define the long-term orientation of the organisation in question with regard to safety and health in the form of fundamental principles. It is from these policy statements that individual objectives and programmes are derived.

In defining its policy the organisation has to cooperate closely with its employees, and in particular with the SHM officer, staff council, prevention officers and safety coordinators. The management is responsible for seeing to it that the protection of lives and health is paid the attention it deserves. If those in charge translate this policy/principles into reality by their day-to-day action, they demonstrate the importance they attach to the safety, health and well-being of their staff and serve as a model for them.

1.3.6 Indicators

Indicators enable the course of an action to be measured (early indicators) or indicate that the target has been reached (late indicators). They show whether the desired objective has been reached.

The number of necessary indicators and the amount of documentation required to record measured values may vary from organisation to organisation on account of differences in

- the size and structure of the organisations in question and
- the safety and health risks connected with the activities under investigation.

1.3.7 Health

In these Rules and Regulations the term health means the totality of physical, mental, social and psychological factors that enable a person to perform some specific work. It also includes elements of well-being and work satisfaction.

The concept of health embraces all aspects of life, including life outside the organisation.

2 Policy/Principles

The management formulates and documents a policy/principles and takes care that it is/they are implemented and evaluated at regular intervals. This policy/these principles should be appropriate to the circumstances, include the commitment to constantly improve them and be communicated to all employees.

3 Organisation of Safety and Health

3.1 Organisational structure

The organisation defines, documents and communicates the tasks, responsibilities and competences of all personnel that deal with in-company safety and health matters.

Thought has to be given to the necessary resources. These resources have to be provided and a person appointed to whom the AUVA SHM system is entrusted. The organisation must also lay down rules as to how processes are defined, modified and communicated.

Note:

The organisational structure of an enterprise will mostly be illustrated in the form of organisation charts as well as job and process descriptions.

3.3 Internal and external communication

The company has to ensure by a suitable procedure (e.g. by an annual report) that the management communicates its policy/ principles, objectives, programmes and other relevant information on safety and health. This procedure also has to define how topical issues, problems, critical events and suggestions for improvement on the part of employees are made known to the responsible officers.

The company must also ensure that external partners (customers, suppliers, authorities) are sufficiently informed about safety and health matters in the organisation. If required, records (minutes, in-company suggestion systems) should be kept to document such communications.

3.2 Selection, Qualification and Training

The company has to opt for a procedure that ensures that only such persons are selected as are suitable and qualified for the envisaged task. If necessary, the expected qualifications have to be defined by detailed job descriptions. The qualification of a candidate must be ensured by well-documented training, further training and information programmes. This requirement also holds for persons not permanently attached to or directly employed by the company (part-time workers, trainees).

The company also has to ensure by appropriate action that persons with special qualifications in the field of safety and health (e.g. safety officers, employees with first-aid experience or fire protection officers) are appointed and trained in time.

4 Ensuring Conformity with the Law

The organisation has to ensure, through a suitable and documented procedure, that legal, normative and other rules and provisions relevant to the AUVA

SHM are identified, documented, implemented, communicated and constantly updated.

5 Further SHM Processes

5.1 Risk assessment

The organisation has to introduce and document a procedure for carrying out and adapting the risk identification and assessment prescribed by Protection of Workers regulations and for deciding on appropriate measures (evaluation) with regard to both accident risks and health hazards.

Particular attention is to be paid to integrating the staff in determining, communicating and implementing these measures.

Furthermore, the organisation has to ensure that risks and (health) hazards to which persons who are likely to have contact with the organisation (e.g. suppliers, customers, short-time workers) may be exposed are duly taken into consideration.

If the risk assessment of production and service processes in terms of safety and health aspects so requires, instructions for action have to be formulated and effectively communicated.

All persons responsible for safety and health matters have to be involved in the planning process and in deciding on the criteria to be met when procuring the necessary goods and services in order to make sure that all relevant requirements are met.

5.3 Coordinating safety and health measures for non-company members

The organisation has to lay down appropriate safety and health measures for persons likely to come into contact with it.

The organisation and its contractor have to agree, prior to contractor's starting work, on ways and means to ensure effective communication and coordination. Competent safety and health persons have to be involved in this process.

5.2 Planning and procurement

Regarding planning and the procurement of goods and services the organisation has to ensure through an appropriate procedure that the safety and health of all persons involved is adequately protected. In so doing, protective measures have to be prioritised in such a way that technical and organisational protective measures rank before personal protection.

5.4 Repairs and maintenance

The organisation has to document, and see to the implementation of, a suitable procedure for ensuring that repairs and maintenance work are performed in safe and healthy conditions (e.g. with appropriate tools, materials and personal protective equipment). Care has, in particular, to be taken that the persons entrusted with this tasks are properly qualified.

5.5 Tests

The performance of tests (of tools and materials, workplaces, plant and equipment, personal protective equipment etc.) has to be regulated by a documented procedure.

Tests must be performed in keeping with relevant legal rules and in accordance with manufacturers' requirements. All tests performed must be duly recorded and documented.

5.6 Reaction to Critical Events

5.6.1 Breakdowns, emergencies, accidents and medical emergencies

The organisation must see to it that instructions on how to handle breakdowns, emergencies, accidents (at work) and medical emergencies are laid down. These instructions define

- what action is to be taken immediately (e.g. alerts, first aid, evacuation, closure of plants or parts thereof),
- how to cooperate with rescue teams (e.g. firefighters, ambulance staff),
- where to access information relevant to safety and health (e.g. plant layouts, building plans, fire protection plans, safety datasheets),
- what to do in case of breakdowns or accidents (e.g. reports to authorities, family members, accident insurance etc.) and
- in what form work (e.g. in plants or parts thereof) can be resumed.

5.6.2 Analysis of accidents (at work), near-accidents, work-induced illness and health impairment

The organisation has to ensure, by a documented procedure, that accidents and near-accidents (at work), occupational diseases and health impairments are identified, analysed and eliminated. The procedure has to define how employees are involved in the analysis. If necessary, information and documentation from external institutions should also be taken into account. Appropriate corrective action has to be implemented, documented and tested for its effectiveness.

5.7 Medical examinations

The organisation has to check whether their employees may be exposed to any health risks or hazards whose harmful effects might be prevented by medical screening. In so doing, it should base itself on insights obtained, in the course of risk detection and assessment, from accidents and near-accidents at work, occupational diseases or health impairments, and should also take into consideration other (new) insights and, where necessary, the results of staff polls or surveys.

The planning and course of these examinations as well as the definition and implementation of measures resulting therefrom should be governed by a documented procedure, which should take into account which staff members should undergo examination, how access to these examinations is organised and in what form results should be communicated.

Note 1:
Medical examinations comprise both compulsory examinations prescribed by occupational medicine and voluntary examinations made available to employees at their discretion.

Note 2:

The findings obtained in these examinations will be duly considered in the context of risk assessment.

these Rules and Regulations, the organisation has to furnish evidence as to how employees are involved in the handling of safety and health matters to improve their own health and enhance their wellbeing at work.

5.8 Health promotion

In addition to meeting the other requirements regarding in-company health promotion called for in

6 SH Programmes and Indicators

6.1 Objectives, Safety and Health Programmes

The organisation has to formulate objectives in line with its Policy/Principles.

These objectives have to be documented and must be regularly re-evaluated and adapted.

The objectives should be reached through the implementation of suitable safety and health programmes. These programmes and measures are subject to monitoring and must be documented.

- the effectiveness of the Safety and Health Management System is constantly improved.

The parameters required for this purpose, are called indicators.

6.2 Monitoring and Control

6.2.1 Indicators

The organisation has to establish a procedure whereby

- conformity with the legal rules governing health and safety and other relevant regulations is demonstrated
- conformity of the Safety and Health Management System with these Rules and Regulations is ensured and

6.2.2 Monitoring and measuring objectives, programmes and processes

The organisation has to use suitable methods for monitoring and measuring the degree to which its objectives are reached and how effective its safety and health programmes and processes are.

The measured data and the results in terms of effectiveness have to be duly recorded.

6.2.3 The flow of documentation and records

The organisation has to develop, describe, implement and evaluate a procedure governing the flow of documentation and records (production, distribution, use, safe-keeping).

7 Instruments of Review

7.1 Internal audits and regular inspections

At regular intervals internal audits have to be performed and premises inspected to see whether

- the rules established by the organisation as well as relevant legal and official requirements are respected
- conformity with these Rules and Regulations is maintained
- documents and records are kept up to date
- the measures taken have the desired effect and
- corrective action must be taken.

These internal audits and regular inspections have to be carried out by suitable persons with adequate expertise, who have to document their findings and communicate them to the responsible management level.

Inspections and internal audits may also be carried out by external personnel.

The number and scope of internal audits have to be determined in consideration of the organisation's size, structure and safety and health risks. Inspections that focus especially on safety and health must in all cases be performed at regular intervals.

Note:

The objective of internal audits and inspections is, amongst other things, to interview employees in order to obtain insights that may result in continuous safety and health improvements in the enterprise and upgrade the quality of the Safety and Health Management System.

7.2 Management Review

The top management of the organisation has to review the Safety and Health Management System at regular intervals of no more than one year to ensure that it is up to date, effective and appropriate and reflects the state of the art. This review has to be documented and the documents properly filed.

In principle, the Management Review follows the pattern outlined below:

a) Input phase

- Changes in the Rules and Regulations
- important changes in structure and workflow
- reports on accidents at work, occupational diseases, work-induced illness, near-accidents, other irregularities such as customer complaints
- reports on health programmes
- results of inspections and audits
- contact with public authorities and correspondence with the certification authority
- development of measured data and indicators
- internal feedback and employee suggestions
- complaints from external sources
- status of corrective action

b) Decision phase

Before the background of the organisation's commitment to ensure continuous improvement and the outcome of the input phase steps should, whenever necessary, be taken to update:

- the organisation's policy/principles

- its objectives, programmes (including the extent to which they have to be fulfilled) and measures
- structural and work flow organisation
- indicators and measuring methods

c) Result phase

- Recording of agreed measures
- documentation of changes in requirements
- enhancement of the SHM

7.3 Annual Report

At regular intervals but at least once a year a Report must be formulated and documented.

This Annual Report must meet the following requirements:

- it must bear the date of production and the name of the author
- it has to be signed by the head of the organisation and the SHM officer;
- Minimum content:
 - ☐ the structure of the organisation
 - ☐ its policy and principles
 - ☐ the results of the Management Review
- objectives and programmes
- successes achieved
 - ☐ a summary evaluation on the part of the management and (if available) the staff council
- the Annual Report must be made available to the employees.

8 Proof of Conformity

Proof of conformity of the in-company safety and health management system with these Rules and Regulations is optional.

It can be provided by

- a statement on the part of the top management
- customer review or
- certification by an accredited authority.

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