

مركز أبوظبي للصحة المهنية  
ABU DHABI OCCUPATIONAL SAFETY AND HEALTH CENTER

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# Abu Dhabi Occupational Safety and Health System Framework

**(OSHAD-SF)**

**Mechanisms**

**Mechanism 2.0 – OSHAD-SF Administration**

**Version 3.1**

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ABU DHABI PUBLIC  
HEALTH CENTRE

مركز أبوظبي  
للصحة العامة



## Important Note:

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## 1. Introduction

This mechanism outlines all requirements related to the administration of the Abu Dhabi Occupational Safety and Health System Framework (OSHAD-SF) including:

- The Roles and Responsibilities of OSHAD and the SRA's;
- Identification and Appointment of Sector Regulatory Authorities; and
- Ongoing performance Management of Sector Regulatory Authorities.

This mechanism has been designed to ensure a fair, transparent and consistent implementation of the *OSHAD-SF*.

## 2. Roles and Responsibilities

- (a) The following section describes the key roles and responsibilities of OSHAD and the SRA's for the administration and implementation of the *OSHAD-SF*.
- (b) Roles and Responsibilities for sector entities are held within *OSHAD-SF – Element 1 – Roles, Responsibilities and Self-Regulation*.

### 2.1 OSHAD

- (a) Responsibilities of OSHAD include, but are not limited to the following:
  - (i) developing, implementing and updating the *OSHAD-SF* and overseeing all issues relevant to occupational safety and health, including:
    1. ensuring the integration of *OSHAD-SF* requirements with the requirements of concerned authorities;
    2. developing plans to update the system (*OSHAD-SF*) at Emirate level;
    3. coordination and cooperation with concerned authorities on all issues relevant to the system (*OSHAD-SF*);
    4. reviewing and approval of OSH MS of entities as required in accordance with *OSHAD-SF* implementation requirements;
    5. monitoring the administration and implementation of the system through the appointment of SRA's; and
    6. Monitoring the performance of SRA's through means such as inspection, auditing and performance reporting.
  - (ii) establishing and maintaining an OSH database and a unified electronic system at Emirate level for implementation by all concerned authorities and entities;
  - (iii) Setting and implementing a system for assessing, registering and monitoring OSH practitioners and professional entities in coordination with relevant Authorities;
  - (iv) Setting, in coordination with relevant authorities, training and competency programs specific to *OSHAD-SF* in order to provide training on the system for OSH practitioners and other stakeholders;
  - (v) developing and implementing OSHMS awareness programs;
  - (vi) developing an incentive program to promote and encourage system implementation;
  - (vii) finalizing contracts and agreements related to the system;
  - (viii) Developing strategic partnerships with local, federal, regional and international parties;
  - (ix) conducting relevant OSH surveys and collecting information on OSH issues in coordination with the concerned authorities;
  - (x) submitting periodic reports to the Executive Council on OSH MS performance at Emirate level; and
  - (xi) providing information and official publications on OSHMS to stakeholders.
- (b) OSHAD can delegate relevant powers for regulating a concerned sector. OSHAD can also revoke the delegation given to a concerned authority for regulating a sector.

## 2.2 Sector Regulatory Authorities

- (a) By recommendation from OSHAD and appointment from the Executive Council of Abu Dhabi, the Sector Regulatory Authorities shall supervise the implementation of the *OSHAD-SF* in its concerned Sector and is specifically responsible for the following:
- (i) identifying, nominating and registering entities that shall develop and implement an OSHMS in full compliance with the *OSHAD-SF*;
  - (ii) identifying and notifying medium risk entities that shall develop and implement OSH control measures in compliance with *OSHAD-SF – Mechanism 5.0 – OSH Requirements for Medium Risk Entities*;
  - (iii) identifying and notifying low risk entities that shall be managed by the concerned SRA in a manner relevant to their risk and operation;
  - (iv) reviewing and approving the OSH MS developed by nominated entities in compliance with the requirements of the *OSHAD-SF*;
  - (v) monitoring the implementation of the *OSHAD-SF* through means such as periodical inspection and auditing of sector entities, to include as a minimum:
    1. High Risk Entities: one SRA audit every three years;
    2. Medium Risk Entities: one SRA inspection within 6 months of notification and then every three years; and
    3. Low Risk Entities: one SRA inspection every three years.
  - (vi) monitoring OSH Internal incident investigations conducted by their sector entities as per the requirements of *OSHAD-SF – Mechanism 11.0 – Incident Notification, Investigation and Reporting*;
  - (vii) undertaking OSH incident investigations as directed or required by OSHAD and as per the requirements of *OSHAD-SF – Mechanism 11.0 - Incident Notification, Investigation and Reporting*;
  - (viii) conducting appropriate sector awareness activities, in coordination with OSHAD, as per the requirements of *OSHAD-SF – Mechanism 12.0 – Notification Requirements for OSH Awareness Activities.*;
  - (ix) coordinating with OSHAD to ensure alignment and integration of existing and new OSH requirements (Refer to *OSHAD-SF – Mechanism 1.0 – Integration of OSH Requirements in the Emirate of Abu Dhabi*);
  - (x) reporting to OSHAD on the performance of the OSH MS at Sector level as per *OSHAD-SF – Mechanism 6.0 – OSH Performance Monitoring and Reporting*; and
  - (xi) encouraging sector entities to participate in OSH related activities / campaigns.

## 2.3 Sector Regulatory Authority OSH Resource

- (a) The top management of the SRA's shall ensure appropriate resources (human, financial, equipment, etc) to fully implement the roles, responsibilities and activities as outlined in:
- Decree 42 of 2009;
  - OSHAD-SF – Element 1 – Roles, Responsibilities and Self-Regulation*;
  - OSHAD-SF Mandatory Requirements (Mechanisms, CoP's, Standards and Guideline Values); and
  - other roles, responsibilities and activities as approved by OSHAD.
- Note: as per Section 3.3(b), OSHAD may grant limited specific SRA powers.**
- (b) OSH SRA's shall ensure appropriate competent OSH resources are maintained to successfully implement and monitor the *OSHAD-SF* within their concerned Sector.
- (c) Concerned SRA's shall provide support, training and other capacity building activities to develop and maintain OSH personnel with the appropriate competency.
- (d) The number of OSH personnel required by each concerned SRA is dependent on a number of factors, which include, but are not limited to:
- number of entities operating in and intended to be nominated or notified to comply with the requirements of the *OSHAD-SF*;
  - complexity / nature and frequency of operations and activities undertaken; and
  - level of OSH capacity and development in the sector.
- (e) At a minimum all OSH SRA's shall each maintain 3 full-time dedicated OSH personnel that are registered with OSHAD as per *OSHAD-SF – Mechanism 8.0 – OSH Practitioner Registration*, as required.
- (f) The senior manager in charge of the SRA role shall report directly to a member of top management within the entity.
- (g) A manager / team leader / section head shall be registered with OSHAD as a Grade A Generalist, as per the requirements of *OSHAD-SF – Mechanism 8.0 – OSH Practitioner Registration*, and the team shall include at least one person, additional to the manager / team leader / section head, who holds an internationally recognized OSH Lead Auditor qualification.
- (h) SRA's shall ensure that staff utilized to undertake audits on behalf of the SRA are competent and hold an internationally recognized audit qualification.
- (i) All audits undertaken by an SRA shall be led by a member of staff holding an internationally recognized Lead auditor qualification.

## 2.4 SRA OSH Management System

- (a) Upon appointment as an SRA, the identified authority / entity shall commit to upgrade their entity approved OSH MS to include those undertakings associated with the role of an SRA as required by the *OSHAD-SF*.

(b) OSHAD shall verify this through audit.

## **2.5 Sector Emergency Management plans**

- (a) Each SRA shall develop, document, implement and maintain systematic procedures for the management of foreseeable sector wide emergencies within their concerned sector.
- (b) The Sector emergency plans shall comply with the requirements of the latest published edition of the UAE Business Continuity Management Standard – AE/HSC/NCEMA 7000: and relevant standards issued by the competent authorities.



### 3. Sector Regulatory Authority Identification and Appointment

#### 3.1 General requirements

- (a) As per *OSHAD-SF– Element 1 – Roles, Responsibilities and Self-Regulation*, OSHAD, as the Component Authority for OSH in the emirate of Abu Dhabi and also for the *OSHAD-SF*, has the authority to identify and recommend to the Executive Council of Abu Dhabi, the appointment of a government entity to undertake the role of a Sector Regulatory Authority (SRA).
- (b) In monitoring the implementation of the *OSHAD-SF*, OSHAD may identify certain additional economic sectors within the Emirate that require a sector regulatory authority to oversee the implementation of the *OSHAD-SF*.
- (c) This identification process shall include identification of the most suitable government authority / entity for OSHAD to recommend appointment to take responsibility to perform the duties of the Sector Regulatory Authority.
- (d) An assessment of identified sectors shall be undertaken as per Section 3.2 of this document.
- (e) OSHAD shall provide the Executive Council of Abu Dhabi a recommendation, based upon the findings of the sector assessment process, for approval of the concerned sector and for the identified government authority / entity to be appointed as an OSH Sector Regulatory Authority (SRA).

#### 3.2 Sector Assessment Process

- (a) OSHAD shall officially communicate with an identified authority / entity to notify them of being recognized as a potential future OSH SRA and to gain relevant information to assist in the completion of this assessment.
- (b) OSHAD shall consider incorporating new sectors, where possible, to existing SRA's to minimize the number of SRA's and where allowed by existing mandates / laws.
- (c) The assessment shall include, but not limited to:
  - (i) risk and hazard assessment of the Sector;
  - (ii) number of entities operating in the Sector (e.g. operating licences with DED);
  - (iii) approximate number of employees working in the Sector;
  - (iv) level of complexity / nature and frequency of operations and activities undertaken;
  - (v) storage and/or utilization of hazardous materials;
  - (vi) operations in or near sensitive locations;
  - (vii) profile of the Sector (e.g. public profile, media profile and coverage, etc);
  - (viii) interactions with existing OSH Sectors and SRA's;
  - (ix) current level of OSH implementation and capacity; and

- (x) possible timeframes of implementation of the *OSHAD-SF* in the concerned sector.
- (d) The process shall also assess the identified authority / entity in terms of, but not limited to:
  - (i) OSH authority(s) under Establishment Law(s) and other relevant laws, decrees, regulations;
  - (ii) being fully / partially government owned;
  - (iii) other government authorities that may have powers in the concerned sector;
  - (iv) current resources levels (including inspections / licensing, etc); and
  - (v) OSH budget requirements.

### 3.3 Appointment of a Sector Regulatory Authority

- (a) If results of the assessment lead OSHAD to believe that the sector and the identified government authority / entity are ready to begin implementation of the *OSHAD-SF*, OSHAD shall recommend the same to the executive Council of Abu Dhabi for approval.
- (b) OSHAD may decide that the identified sector and/or potential SRA shall undertake a phased approach to the implementation of the *OSHAD-SF*. OSHAD may also delegate limited SRA powers to an appropriate authority / entity to perform a number of specific *OSHAD-SF* tasks and activities (e.g. collating and submitting OSH Incident and Performance data of subsidiary entities).
- (c) The recommendation to the Executive Council of Abu Dhabi shall include:
  - (i) Overview of the proposed sector, including:
    1. Number of entities operating;
    2. Level of risk within the sector; and
    3. Current OSH capacity within the sector.
  - (ii) Budget requirements;
  - (iii) Staff / resource requirements; and
  - (iv) Implementation plan within the proposed sector.
- (d) If the recommendation is approved by the Executive Council, OSHAD shall initiate official communication and planning with the new SRA (e.g. to agree timelines and implementation action plans) for the new sector.

## 4. SRA Performance Management

- (a) OSHAD shall, on an annual basis, issue Annual Performance Targets for all SRA's to comply with. Refer to table 1 below for timelines.
- (b) The annual performance targets shall be issued by official communication from OSHAD.
- (c) Annual Performance Targets may be issued as general targets across all SRA's or as targets per individual SRA, based on the specific SRA previous performance.
- (d) Annual Performance Targets shall be decided based upon the following:
  - (i) OSHAD-SF – Mechanisms;
  - (ii) Previous year's performance;
  - (iii) Available resource(s);
  - (iv) Other SRA performance;
  - (v) Feedback from SRA's;
  - (vi) Objectives of OSHAD strategic plans; and
  - (vii) Requirements set by the Executive Council of Abu Dhabi.

Timescale	August	September	October	November
Owner	OSHAD	OSHAD	SRA	OSHAD
Action	Initial targets set for each year will be based on previous mid-year performance	Targets communicated to, and agreed with, SRA's.	SRA develops Action plan based on targets and submits to OSHAD.	Action Plan for the next calendar year approved.

**Table 1: Action plan timelines**

#### 4.1 SRA Annual Action Plans

- (a) Each SRA shall develop and document an annual action plan in compliance to the SRA's Annual Performance Targets as defined in section 4 of this document.
- (b) SRA's shall utilise the SRA action plan template prescribed by OSHAD.
- (c) The annual action plan shall be reviewed internally by the SRA and approved by its top management.
- (d) Following internal approval the annual action plan shall be sent to OSHAD for formal approval prior to implementation.
- (e) OSHAD shall officially notify the SRA of approval or otherwise.

#### 4.2 SRA Performance Monitoring and Reporting

- (a) Requirements of this section shall be in addition to sector performance requirements described within *OSHAD-SF – Mechanism 6.0 – OSH Performance Monitoring and Reporting*.
- (b) Each SRA shall report progress against each of the identified Annual Performance Targets quarterly.
- (c) Where the SRA is not meeting identified targets, this shall be communicated internally to its top management for resolution.
- (d) Quarterly and annual reports to OSHAD shall include:
  - (i) Justification for current performance levels;
  - (ii) Corrective actions to rectify poor performance; and
  - (iii) Request to change / update performance target (if required).

## 5. Performance Monitoring of SRA's

- (a) OSHAD shall monitor the performance of SRA's for implementation of the OSHAD-SF and its' requirements through a number of means including but not limited to:
  - (i) Audits;
  - (ii) OSH Performance reports; and
  - (iii) Performance review meetings.
- (b) Issues identified as a result of performance monitoring shall be officially communicated to the relevant SRA.
- (c) Where SRA's are seen to consistently fail to meet annual action plan / performance requirements:
  - (i) OSHAD shall invite the SRA for a meeting to discuss performance and corrective action. The meeting shall be documented and attended by a member of top management from the SRA.
  - (ii) The meeting agenda shall cover:
    - 1. Current status of the SRA;
    - 2. Issues leading to current performance; and
    - 3. Corrective action plan.
  - (iii) The relevant SRA shall develop a detailed action plan to rectify the performance issues within the SRA. The action plan shall be no longer than 3 calendar months and shall be incorporated into the annual action plan described in section 4.1 of this document.
  - (iv) The SRA shall update OSHAD on the progress of implementation on a monthly basis through formal meetings. The meeting shall be recorded.
- (d) OSHAD shall provide the Executive Council of Abu Dhabi with an annual report on the overall performance of all SRA's, including benchmarking of performance.

### 5.1 Withdrawal of Appointment

- (a) As the competent authority for OSH and the *OSHAD-SF* in the emirate of Abu Dhabi, OSHAD has the right to recommend to the Executive Council of Abu Dhabi withdrawal of appointment as an SRA.
- (b) Recommending withdrawal of appointment as an SRA shall be based upon:
  - (v) Performance issues (as per section 5 of this document);
  - (vi) Changes in policies, laws, direction of Abu Dhabi Government; and
  - (vii) Change of OSHAD Policy / Direction.
- (c) Prior to recommending the withdrawal of appointment of the SRA role, OSHAD shall meet with the SRA to review and agree the following:
  - (i) Redeployment of SRA OSH resources;

- (ii) OSH Budgets;
  - (iii) Handover plan; and
  - (iv) On-going issues.
- (d) OSHAD's recommendation of withdrawal to the Executive Council of Abu Dhabi shall cover the issues identified in clause 5.1(c).

## 6. Document Amendment Record

Version	Revision Date	Description of Amendment	Page/s Affected
2.0	July 2012	New Document	All
3.0	1 <sup>st</sup> July 2016	Change of Logo	All
		Change from AD EHS Center to OSHAD	throughout
		Change of document title: AD EHSMS RF to OSHAD-SF	Throughout
		EHS changes to OSH	Throughout
		Document title changes from <i>Concerned Sector EHSMS Requirements</i> to <i>OSHAD –SF Administration</i>	Throughout
		All previous requirements deleted and replaced	Throughout
3.1	19 <sup>th</sup> March 2017	Clause 2.2(a)(v)(2) updated to provide further clarification on requirements	5
		Clause 2.5(b) updated to provide further clarification on requirements	7





