

مركز أبوظبي للصحة المهنية  
ABU DHABI OCCUPATIONAL SAFETY AND HEALTH CENTER

اوشاد  
oshad

# Abu Dhabi Occupational Safety and Health System Framework

**(OSHAD-SF)**

**Mechanisms**

**Mechanism 6.0 – OSH Performance Monitoring & Reporting**

**Version 3.1**

**March 2017**

ABU DHABI PUBLIC  
HEALTH CENTRE

مركز أبوظبي  
للصحة العامة



## Important Note:

(Document Republished for Continued Implementation  
under Abu Dhabi Public Health Center)

(إعادة نشر الوثيقة لاستمرار التطبيق بإشراف مركز أبوظبي للصحة العامة)



ADPHC\_AE



ADPHCAE



ADPHC.AE



ADPHC-AE

WWW.ADPHC.GOV.AE



+971 56 231 2171

## Table of Contents

1.	Introduction .....	3
2.	Entity Quarterly Performance Reporting .....	4
3.	SRA Quarterly Performance Reporting.....	5
4.	Performance Monitoring .....	6
5.	Annual Third Party External OSH MS Compliance Audit .....	7
5.1	Audit Criteria .....	7
5.2	Audit Reporting .....	8
5.3	Review of Annual Third Party OSH Compliance Audits.....	8
5.4	SRA Feedback to the Nominated Entity .....	9
5.5	SRA Feedback to OSHAD .....	9
6.	Monitoring and Closure of Non Compliance .....	10
7.	OSHAD-SF - Standard Forms .....	11
8.	Document Amendment Record .....	12

## 1. Introduction

This mechanism is designed to define the procedures to be utilized by OSHAD, Sector Regulatory Authorities and Entities (Government Entities and Entities within Sectors) to manage the minimum OSH performance monitoring and reporting process and criteria (mainly through Quarterly Performance Reports and Third Party Audit Reports).

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

Entities within Sectors directly report to Sector Regulatory Authorities, while Government Entities directly report to OSHAD.

Through this process, OSHAD and Sector Regulatory Authorities shall collate and analyze the reported OSH performance data to assess the progress of implementation of the *OSHAD-SF* throughout the Emirate.

## 2. Entity Quarterly Performance Reporting

- (a) Entities with an approved OSHMS shall submit Quarterly OSH performance reports as per the specified timeframe using the relevant forms (*OSHAD-SF– Form E* for Entities within sectors or *OSHAD-SF - Form E2* for Government Entities).
- (b) Entities have to submit form E/E2 as per the timescales shown in Table 1 below:

Quarter	Due Date
Q1	2 <sup>nd</sup> calendar week of April
Q2	2 <sup>nd</sup> calendar week of July
Q3	2 <sup>nd</sup> calendar week of October
Q4	2 <sup>nd</sup> calendar week of January (Following Year)

**Table 1 – Entity Performance Reporting timescales**

- (c) Quarterly Performance Reports shall be submitted only by entities having an approved OSH MS and should commence on the next quarter following approval of the OSHMS.
- (d) Entities shall include all incidents/consequences related to their employees and contractors and injuries to other persons in the quarterly performance report.
- (e) Only injuries / illnesses and lost work days related to employees shall be included in the incident frequency and rate calculations (*OSHAD-SF – Form E/E2*).
- (f) A single OSH incident may result in one consequence or multiple consequences, consequently total incidents reported by an entity should be equal to or less than the consequences resulting from these incidents.
- (g) Incident recording and reporting shall be based on the actual severity of consequence as established by the investigation process and/or medical report. Incident escalation where applicable is important for necessary update in records and initiating the reporting process. Such is the case with an incident recorded as a medical treatment case but later escalated to a lost workday case, where incident records and reports shall be updated.
- (h) *OSHAD-SF– Form E/E2* has been designed to include the incidents and the consequences of these incidents. This is to correctly account for the number of injuries, damages and/or other consequences resulting from incidents and the resulting consequences associated with them, and to ensure all injuries related to employees are included in the entities injury frequency rates (TRCF, LTIFR and LTISR).
- (i) In addition, entities have to report, as part of the quarterly report, on other relevant issues such as training of all their employees on OSH, their OSH resources, registration of their OSH employees in Qudorat, date of audits by third party, management of contractors and the monetary cost of OSH management and OSH Incidents (*OSH Cost Implementation Forms E4* for Entities within Sectors /*E5* for Government Entities).

**Note: refer to *OSHAD-SF – Mechanism 11.0 – Incident Notification, Investigation and Reporting* for information on reporting of incidents with multiple consequences**

### 3. SRA Quarterly Performance Reporting

- (a) Each SRA shall develop, document, implement and maintain a systematic process for OSH performance reporting for all entities required to provide performance reports. The SRA shall ensure that all entities are aware of performance reporting timescales and deadlines to submit and shall ensure compliance to these (refer to section 2(b)).
- (b) SRA's shall monitor compliance to reporting requirements and identify any entities who repeatedly fail to comply with the reporting requirements.
- (c) SRA's shall implement the following with regards to reporting non-compliance:
- (i) Entities who fail to submit or submit late shall be sent an official letter informing them of the non-compliance and requesting the entity to ensure compliance;
  - (ii) Entities that fail to meet the reporting timescales for two subsequent performance reporting periods or for two or more periods across a calendar year shall be invited to meet with the concerned SRA to review the non-compliance and agree subsequent corrective action. The meeting shall be recorded and shall include a member of the top management of the entity.
  - (iii) Ongoing non-compliance from entities shall result in the SRA reviewing the entity's OSHMS approval certificate in line with the requirement set within *OSHAD-SF – Mechanism 4.0 – OSH MS Submission, Review and Approval*.
- (d) The SRA shall periodically validate the data sent by entities as part of their performance reporting. This validation shall be done via reviews, audits, inspections or other means identified by the SRA.
- (e) Concerned SRA's shall submit a Sector OSH performance quarterly report to OSHAD using *OSHAD-SF – Form E1*.
- (f) Reporting timescales for SRAs to report to OSHAD are shown below in Table 2:

Quarter	Due Date
Q1	End of April
Q2	End of July
Q3	End of October
Q4	End of January (Following Year)

**Table 2 – Sector Performance Reporting timescales**

## 4. Performance Monitoring

- (a) Each SRA shall develop, document, implement and maintain a systematic process for OSH performance monitoring for all entities with an approved OSH MS and those notified as a medium or low risk entity (as per requirements applicable to each category).
- (b) Monitoring of performance shall include as a minimum:
  - (i) Overall OSH performance;
  - (ii) Audit and Inspection results;
  - (iii) Incidents Investigation Reports;
  - (iv) Compliance to reporting timescales, both performance and incidents;
  - (v) Closure of identified corrective actions;
  - (vi) Lost Time Injury Frequency rate;
  - (vii) Total Reportable Case Frequency; and
  - (viii) Number of Fatalities.
- (c) Where ongoing poor performance is identified, the SRA shall meet with the concerned entity to review their performance and agree on corrective actions to improve.
- (d) The review meeting shall be documented and shall include a member of the entity's top management.
- (e) On-going non-compliance from entities with an approved OSH MS shall result in the SRA reviewing the approval certificate in line with the requirements of *OSHAD-SF – Mechanism 4.0 – OSH MS Submission, Review and Approval*.
- (f) Each SRA shall also seek to identify good performance within their sector and from this develop case studies to show good practice within their own sector. These case studies can be published following approval from OSHAD, in line with *OSHAD-SF - Mechanism 12.0 – Notification of OSH Awareness activities*.

## 5. Annual Third Party OSH MS Compliance Audit

- (a) The SRA shall develop, document, implement and maintain a systematic process to monitor that all approved entities undertake an annual third party OSH compliance audit, in line with the requirements of *OSHAD-SF – Element 8 – Audit and Inspection*.
- (b) The procedure shall as a minimum include:
  - (i) process to identify entities required to undertake annual third party OSH compliance audits;
  - (ii) timescales for compliance;
  - (iii) third party audit report submission process;
  - (iv) audit report review process; and
  - (v) feedback process.
- (c) The SRA shall monitor compliance to *OSHAD-SF 3<sup>rd</sup> Party* audit requirements and as a minimum shall implement the following:
  - (i) entities who fail to submit their annual third party OSH Compliance audit report within the required timescales shall be officially communicated of the non-compliance and requesting the entity to ensure compliance within 60 calendar days of the date of communication;
  - (ii) entities that fail to meet the timescales set out in the first official communication shall be invited to meet with the concerned SRA to review the non-compliance and agree subsequent corrective action. The meeting shall be recorded and shall include a member of the top management of the entity; and
  - (iii) ongoing non-compliance from entities shall result in the SRA reviewing the approval certificate in line with *OSHAD-SF – Mechanism 4.0 – OSH MS Submission, Review and Approval*.

### 5.1 Audit Criteria

- (a) The third party audit is designed to be a systematic, independent and documented process for obtaining audit evidence and evaluating it objectively to determine the extent to which audit criteria are fulfilled.
- (b) The intent of this audit is to provide evidence and inform the concerned SRA of the level of compliance of an entity to the *OSHAD-SF* and to the entity's approved OSHMS. This is an important component of the entity's commitment to demonstrating self-regulation.
- (c) The minimum criteria of this audit shall include:
  - (i) a review of the entity's approved OSHMS to ensure compliance to the *OSHAD-SF*; and
  - (ii) a systematic examination to determine whether activities and related results conform to planned arrangements. The audit shall determine whether these arrangements are implemented effectively and are appropriate in achieving the entity's objectives.



## 5.2 Audit Reporting

- (a) The annual third party compliance audit results shall be submitted to the concerned SRA by completing and submitting *OSHAD-SF- Form F – Entity Annual Third Party OSHMS Audit* and the detailed audit report within 30 calendar days from the date of the audit.
- (b) The detailed audit report shall provide a clear complete and accurate record of the audit, and include the following as minimum:
  - (i) the audit objectives;
  - (ii) the audit scope, particularly identification of the organizational and functional units or processes audited and the time period covered;
  - (iii) identification of the audit client;
  - (iv) identification of audit team leader and members;
  - (v) the dates and places where the on-site audit activities were conducted;
  - (vi) opening and closing meeting records;
  - (vii) definition of Non Conformance criteria;
  - (viii) the audit criteria;
  - (ix) the audit findings;
  - (x) the audit conclusions, including clear and detailed explanation of any identified NC;
  - (xi) the audit plan;
  - (xii) a summary of the audit process;
  - (xiii) recommendations for improvement, if specified in the audit objectives; and
  - (xiv) agreed corrective action plan.

## 5.3 Review of Third Party OSH Compliance Audits

- (a) The SRA shall review all submitted third party OSH Compliance audits for completeness and compliance to the requirements of the *OSHAD-SF*.
- (b) The SRA shall ensure that the auditing company and the auditors engaged by the auditing company to undertake the audit are approved and registered in line with the requirements of *OSHAD-SF – Mechanism 7.0 & 8.0*.
- (c) If the auditing company or the auditors engaged by the auditing company are not registered with Qudorat at the time of audit or audit report submission the audit shall be automatically rejected.
- (d) The SRA review shall address the following requirements:
  - (i) Audit Scope: covers the undertakings of the entity;
  - (ii) Audit Criteria: considers the *OSHAD-SF* requirements (as per the latest version published on the OSHAD Website);

- (iii) Reasonable timescales and manpower have been allocated appropriate to the size, number of locations, undertaking, technical requirements and risk of the entity's operations; and
- (iv) Corrective Action plans and associated timescales are appropriate.

#### **5.4 SRA Feedback to the Entity**

- (a) The entity shall be provided official feedback on the outcome of the audit report.
- (b) Feedback to the Entity shall include:
  - (i) any actions identified based on review of audit results;
  - (ii) comment on the scope and audit criteria; and
  - (iii) approval of the corrective action plan – this shall be limited to the appropriateness of the corrective actions and timescales allocated for implementation.
- (c) The SRA shall review and provide feedback to the entity within 30 calendar days of receiving the audit report. Actions identified by the SRA shall be included in Entity's Corrective Action Plan
- (d) SRA communications related to the above must be done directly with the entity and not the auditing company appointed by the entity.
- (e) No communication on the performance of the auditing company shall be done directly with the entity and/or the auditing company appointed by the entity.

#### **5.5 SRA Feedback to OSHAD**

- (a) The SRA shall provide OSHAD with official feedback on the performance of the Auditing Company where concerns have been raised over the following issues:
  - (i) quality of the audit and audit Report;
  - (ii) audit Criteria;
  - (iii) audit Scope;
  - (iv) timescales and manpower utilised to undertake the audit;
  - (v) where the audit was rejected due to the auditing company and/or auditors engaged by the auditing company are not registered and approved by OSHAD; and
  - (vi) where the audit was rejected due to the lead auditor signing the audit report not being approved by OSHAD as a lead Auditor.
- (b) Feedback shall be provided to OSHAD within 30 calendar days of receiving the audit report.
- (c) SRA feedback to OSHAD shall be accompanied with necessary supporting documents (audit report etc.).
- (d) Following receipt of SRA feedback, OSHAD shall undertake a review and provide feedback to the SRA within 30 calendar days.

## 6. Monitoring and Closure of Non Compliance

- (a) Corrective action plans of non-compliances shall be submitted by the entity to the relevant SRA for the following:
  - (i) SRA Audits;
  - (ii) SRA Inspections;
  - (iii) Serious Incident Investigations; and
  - (iv) Annual Third Party OSH Compliance Audits.
- (b) The SRA shall ensure that the entity provides a corrective action plan for the identified non-compliances within an agreed timescale. The agreed timescales shall be appropriate for the level and risk of the non-compliance raised.
- (c) Effective implementation of All Corrective Action(s) shall be verified during the next Audit/ Inspection or other tools as deemed necessary by the SRA.
- (d) The SRA shall monitor the corrective action plan for non-compliances, which in their opinion pose high risk. Where timescales have not been met, the SRA shall seek official clarification from the entity as to the status of the corrective action.
- (e) For entities that continue to fail to meet the agreed timescales, the SRA shall meet with the concerned entity to review their performance and agree on corrective actions to improve.
- (f) The review meeting shall be documented and shall include a member of the entity's top management.
- (g) Ongoing non-compliance from the entity shall result in the SRA reviewing the entity's OSHMS approval certificate in line with *OSHAD-SF – Mechanism 4.0*.

## 7. OSHAD-SF - Standard Forms

### ***Form E – Entity Quarterly Performance Report***

This form is to be submitted by sector entities to the concerned SRA to report their quarterly performance.

### ***Form E1 – Sector Quarterly Performance Report***

This form is to be submitted by the relevant SRA to OSHAD to report quarterly performance within the sector

### ***Form E2 – Government Entity Quarterly Performance Report***

This form is to be submitted by government entities to OSHAD to report their quarterly performance.

### ***Form E4 – OSH Implementation costs in Entities within Sectors***

This form is to be submitted by sector entities to the concerned SRA on an annual basis as a summary of OSH costs for OSH management and OSH incidents.

### ***Form E5 – OSH Implementation costs in Government Entities***

This form is to be submitted by government entities to OSHAD on an annual basis as a summary of OSH costs for OSH management and OSH incidents.

### ***Form F – Entity Annual Third Party Audit Report***

This form is to be submitted to the concerned SRA within 30 days of the audit.

## 8. Document Amendment Record

Version	Revision Date	Description of Amendment	Page/s Affected
2.0	Feb 2012	First Issue	All
2.01	Dec 2013	<b>General:</b> <ul style="list-style-type: none"> <li>Removed “Environment Incidents” and replaced EHS with OHS</li> </ul> Edits for clarity and conformity with other AD EHSMS documents and changes in other parts of this mechanism.	Where applicable
		<b>Section 2.0</b> <ul style="list-style-type: none"> <li>Removed Environmental Incident Definitions and reviewed / revised all OHS incident definitions</li> <li>Removed Journey Incident Definition (consequences shall be reported based on incident type and severity).</li> <li>Removed “Work related Injury / Illness” definition and merged contents in Section 3.2 retitled “Establishing Work Relationship”</li> <li>Amended / revised / added definitions for: Lost Time Injury; Lost Time Injury Severity Rate; Lost Workdays; Lost Workday Case; Recordable Incidents; Serious Dangerous Occurrence (instead of “Reportable”); Serious OHS Incidents (instead of “Reportable”); Serious Injuries (deleting “Reportable”); Total Reported Case Frequency (instead of “Reportable”); Serious Lacerations.</li> </ul>	4 to 7
		<b>Section 3.0</b> <ul style="list-style-type: none"> <li>Removed Environmental Incidents and amended OHS incidents (3.1)</li> <li>Removed “Reportable” from titles of Schedules A, B &amp; C.</li> <li>Amended Section 3.2 retitled “Establishing Work Relationship”</li> <li>Revised Section 3.3 (Recordable vs. Reportable Incidents)</li> <li>Aligned Fig 3.1 with new incident notification requirements.</li> </ul>	8 to 10

Version	Revision Date	Description of Amendment	Page/s Affected
		<p><b>Section 4.0</b></p> <ul style="list-style-type: none"> <li>- Differentiated “notification” from “reporting”.</li> <li>- Revised incident notification criteria &amp; requirements (4.1).</li> <li>- Introduced two Incident Investigation &amp; Reporting Forms – Form G1 (reporting to the SRA) and G2 (for internal records) -and amended text accordingly (3.3, 4.2 and 4.3).</li> <li>- Amended example for reporting incidents with multiple consequences (4.4)</li> <li>- Amended text on Low &amp; Medium Risk Entities Reporting (4.2, 4.3, 4.6).</li> <li>- Amended SRA Title (ADTCA) and Contact Hotlines (Center) (4.7)</li> </ul>	12 to 17
		<p><b>Section 6.0</b></p> <ul style="list-style-type: none"> <li>- Elaborated requirements for selection of External Auditor / Company (6.2) and verification of registration status (6.5).</li> <li>- Removed condition for Govt. Entities to contact Center before undertaking 3<sup>rd</sup> Party Compliance Audit (6.3)</li> </ul>	19
		<p><b>Section 7.0</b></p> <ul style="list-style-type: none"> <li>- Changed title of Forms – EHS replaced with OHS</li> <li>- New Forms (G1 &amp; G2) for OHS Incident Investigation</li> <li>- Indicated Center’s new website (<a href="http://www.oshad.ae">www.oshad.ae</a>)</li> </ul>	21
		<p><b>Schedule A:</b> New Title: List of Serious Dangerous Occurrences</p>	22
		<p><b>Schedule B:</b></p> <ul style="list-style-type: none"> <li>- New Title: List of Serious Injuries</li> <li>- Amended Notification Criteria for Fatality (24 hrs) and other Serious Injuries (3 Working Days)</li> <li>- Differentiated “notification” from “reporting”.</li> <li>- Added new injuries: Lost Workday Case; Burns due to thermal and chemical agent; fracture.</li> <li>- Removed named body parts from dislocation of joints.</li> </ul>	24
		<p><b>Schedule C:</b> New Title: List of Serious Occupational Illness / Diseases</p>	25

Version	Revision Date	Description of Amendment	Page/s Affected
		<p><b>Appendix A (Private Entity Minimum KPI Requirements)</b>  <b>Appendix B (Sector Minimum KPI Requirements)</b>  <b>Appendix C (Government Entity Minimum KPI Requirements)</b>  <b>Form E (Entity Quarterly OHS Performance Report)</b>  <b>Form E1 (Sector Quarterly OHS Performance Report)</b>  <b>Form E2 (Government Entity Quarterly OHS Performance Report)</b></p> <ul style="list-style-type: none"> <li>- New titles for Forms E, E1 and E2.</li> <li>- Incidents KPIs amended as per new requirements and definitions</li> <li>- Removed Environmental KPIs</li> <li>- Separate KPIs for injuries to employees, other persons and contractors</li> <li>- New KPI for Employees AD EHSMS Practitioner Training Course and Qudorat Registration</li> <li>- New KPI for 3<sup>rd</sup> Party External EHSMS Compliance Audit</li> <li>- Rephrased KPIs for Corrective Actions &amp; Breach Notices for clarity.</li> </ul> <p><b>Appendix B (Sector Minimum KPI Requirements)</b>  <b>Form E1 (Sector Quarterly OHS Performance Report)</b></p> <ul style="list-style-type: none"> <li>- Introduced High, Medium and Low Risk Entities KPI Requirements (notification, registration, approvals)</li> </ul>	All contents
		<p><b>Form G: Serious OHS Incident Notification</b></p> <ul style="list-style-type: none"> <li>- New Title: "Serious OHS Incident Notification"</li> <li>- Removed Part B (Investigation), and in Part A (see next):</li> <li>- Deleted the term "Reportable"</li> <li>- Removed Environmental Incidents</li> <li>- Removed Recordable Incident Section</li> <li>- Amended Notification timeframes.</li> <li>- Added provision for "Incident No." (to Section 1)</li> <li>- Relocated &amp; Amended Incident Information Section (now Section 3)</li> <li>- Added sections on Injury type (4), injury severity (5) and key corrective actions (7).</li> <li>- Reformatted the form.</li> </ul>	All Contents
		<p><b>Form G1: Serious OHS Incident Investigation</b>            New Form for Investigation of Serious Incidents notified to the SRA</p>	New

Version	Revision Date	Description of Amendment	Page/s Affected
		<b>Form G2: Non-Serious OHS Incident Investigation</b> <ul style="list-style-type: none"> <li>- New Form for Investigation of Non-Serious Incidents</li> <li>- For Entity's Internal Use &amp; Recordkeeping – Not Mandatory</li> </ul>	New
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
		Change of Document Title to OSH Performance Monitoring and Reporting	Throughout
		Section 1 updated to define revised scope of document	3
		Old section 2, 3, 4, 5 & 6 deleted	N/A
		Schedule A,B & C Deleted	N/A
		Appendix A,B & C Deleted	N/A
		New section 2, 3, 4, 5 & 6 added	3-9
3.1	19 <sup>th</sup> March 2017	Minor editorial changes to provide further clarification without changing requirements	Throughout
		Clause 5.3(c) updated	8
		Section 7 – Titles of forms updated	11



