

Abu Dhabi Occupational Safety and Health System Framework

(OSHAD-SF)

Mechanisms

**Mechanism 11.0 – Incident Notification, Investigation and
Reporting**

Version 3.0

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ABU DHABI PUBLIC
HEALTH CENTRE

مركز أبوظبي
للصحة العامة



Important Note:

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1. Introduction

This mechanism is designed to define the procedures to be utilized by OSHAD, Sector Regulatory Authorities and Entities to manage OSH Incident Notification, Investigation and Reporting.

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

2. Key Definitions

- (a) All definitions relevant to the OSHAD-SF are held within OSHAD-SF – Glossary of terms, however key definitions relevant to this Mechanism are listed below:
- (i) Lost Time Injury (LTI): Any absence from work resulting from work-related Fatalities, Permanent Total Disabilities, Permanent Partial Disabilities and Lost Workday Cases.
 - (ii) Lost WorkDay Case (LWDC): A work-related injury or illness that results in an injured person temporarily unable to perform any regular job or restricted work activity on a subsequent scheduled workday or shift, supported by a medical report from an approved medical practitioner.
Note: Lost Time Injury (LTI) vs. Lost Work Day Case (LWDC): A lost time injury is a reporting requirement and is a collection of a number of different consequences that can occur following an incident, such as a fatality, permanent disability etc. A lost Work Day Case is a single injury or illness which has resulted in a work day being lost, excluding fatalities.
 - (iii) Serious OSH Incident: A work related incident that requires notification to SRA and consisting of or resulting in:
 - 1. Fatality;
 - 2. Serious Injuries;
 - 3. Serious Occupational Illness;
 - 4. Serious Dangerous Occurrence
 - (iv) Restricted Workday Case (RWDC): is a work-related injury or illness that results in limitations on work activity that prevent an individual from doing any task of his/her normal job or from doing all of the job for any part of the day.
- (b) Notification: Notification under *OSAHAD-SF* includes notifying the Serious Incidents to concerned SRA using the *OSHAD-SF - Form G – Serious OSH Incident Notification* within (a) 24 hrs. for fatalities or (b) within 3 working days for other serious incidents.
- (c) Reporting: Under *the OSHAD-SF* includes (a) reporting of incident investigation findings (using *OSHAD-SF - Form G1 – Serious OSH Incident Investigation*) and (b) reporting incidents in Quarterly Performance Report (*OSHAD-SF - Form E – Entity Quarterly OSH Performance Report* to the relevant SRA or *OSHAD-SF - Form E2 – Government Entity Quarterly OSH Performance Report* to OSHAD).
- (d) OSH Investigation: Under the *OSHAD-SF*, the term incident investigation shall refer to the internal investigation undertaken by the entity and/or the SRA investigation for the purpose of identifying the root causes of OSH incidents and identifying appropriate corrective actions to prevent reoccurrence.

Note: OSH incident investigations for judicial purposes, including required control of the incident location and the collection of evidence, can only be undertaken by an investigator assigned by the Abu Dhabi Police, The Public Prosecutors Office or the Court.

3. Classification of OSH Incidents

3.1 Incident Types

(a) The types of the OSH incidents to be recorded, notified and/or reported are listed below:

- (i) Lost Time Injury;
 - 1. Fatality;
 - 2. Permanent Total Disability;
 - 3. Permanent Partial Disability; and
 - 4. Lost Workday Case;
- (ii) Serious Injury;
- (iii) Serious Occupational Illness / Disease;
- (iv) Serious Dangerous Occurrence;
- (v) Restricted Work Case;
- (vi) Medical Treatment Case;
- (vii) First Aid Injury;
- (viii) Equipment / Property Damage; and
- (ix) Near Miss

Schedule A specifies the List of Serious Dangerous Occurrences.

Schedule B specifies the List of Serious Injuries.

Schedule C specifies the List of Serious Occupational Illnesses / Diseases.

(b) Entities should note that regardless of the classification, all incidents shall be recorded and investigated internally.

3.2 Recordable vs. Reportable Incidents

- (a) The entity shall ensure that all incidents shall be recorded, whether reportable (refer to 3.2(b)) or not, to ensure effective collection of OSH incident and performance data.
- (b) The term “Reportable” as used in this Mechanism refers to Notification & Reporting requirements; refer to 2(c) & 2(d) of this mechanism.
- (c) Refer to Schedule No. 1 of Federal Law No. 8 of 1980 and Schedule A (Serious Dangerous Occurrences), Schedule B (Serious Injuries) & Schedule C (Serious Occupational Illnesses / Diseases) of this mechanism.

3.3 Establishing Work Relationship

- (a) An illness or injury to an employee shall be considered as work-related if:
- (i) it occurred on the way to or back from work provided that the trip to or from the place of work is made directly, without delay, default or diversion from the normal route (as given under the definition of Employment injury within Federal Law No. 8 of 1980) ; or
 - (ii) it arises from a work practice; or
 - (iii) it arises from the conditions in a workplace; or
 - (iv) it is caused by an employee during and by reason of carrying out their duties.
- (b) This includes, but is not limited to, illnesses, injuries or incidents at an entity controlled site.
- (c) Work related Injuries / illnesses include the recurrence, aggravation or exacerbation of previous work-related injuries.
- (d) Whether a case involves a work-related injury or Illness is determined by the nature of the original event or exposure that caused the case, not by the resulting condition of the affected employee.

3.4 Pre-existing Medical / Health Conditions

- (a) When reporting work related incidents that involve occupational illness and injury the entity shall take into consideration pre-existing medical / health conditions and aggravation of an existing illness or injury. Refer to definition of work-related injury / illness in Section 3.1 & 3.3 of this mechanism for more details.

3.5 Penetration (SHARPS) injuries

- (a) A penetration injury is an injury with a risk of infectious disease transmission (such as needle-stick injury):
- (i) All penetration injuries are to be recordable;
 - (ii) When a person is injured by a sharp KNOWN to be contaminated with a blood borne virus (BBV) e.g. Hepatitis B or C or HIV, this will be reported as a serious dangerous occurrence (refer to schedule A);
 - (iii) When a person receives a sharps injury and a BBV acquired by this route sero converts (escalates), this shall be reported a Serious Occupational Illness / Disease (refer to schedule C); and
 - (iv) If the injury itself is so severe that it must be reported, this will be reported as a serious injury (refer to schedule B)

3.6 Other Persons

- (a) Entities, except as stipulated in 3.6(c), shall record, investigate and report any work related incidents that occur to other persons (non-employees) as a result of the entity's work practices, work conditions, entity undertakings or presence at an entity controlled workplace or site.
- (b) Other persons or non-employees shall include but not limited to:
- (i) non-nominated contractors / sub-contractors ;
 - (ii) customers;
 - (iii) students;
 - (iv) members of the public;
 - (v) visitors; and
 - (vi) any other person(s) at the workplace / site.
- (c) If an incident occurs to a non-employee or other person who is employed by a nominated entity:
- (i) The nominated entity who is in control of the workplace or work practice where the incident occurred shall be responsible for the internal investigation of the incident.
 - (ii) The entity undertaking the internal incident investigation shall invite a member of the other person's employer to participate as a member of the investigation team.
 - (iii) the entity who is the other persons employer shall be responsible for official notification and reporting of the incident.
 - (iv) Refer to section 4.4 for requirements on notification and reporting of incidents at construction sites managed by a "Principal Contractor".

Note: As per international practice, incidents involving aircraft passengers, international sea passengers, aircraft or sea craft crew whilst on board the craft are not to be reported under OSHAD-SF.

Incidents that occur to passengers or crew whilst accessing the craft within the Emirate of Abu Dhabi shall be reported as per the requirements of this document.

Note: LWDC are not applicable to other persons.

4. Entity OSH Incident Notification and Reporting Procedure(s)

- (a) The entity OSH Incident Notification and Reporting Procedure(s) shall address, at a minimum (refer to Appendix 2 for Incident Notification, Investigation and Reporting Process):
- (i) Process for identification and notification, both internally and externally;
 - (ii) hierarchies, timetables and responsibilities for incident notification and reporting;
 - (iii) internal OSH incident reporting requirements; and
 - (iv) external OSH incident reporting requirements (in line with the requirements of section 4.1 of this mechanism);

4.1 Serious OSH Incident Notification and Reporting Requirements

- (a) The entity shall officially notify the concerned SRA as follows:
- (i) Within 24 hours of an incident occurring at a workplace which results in Fatality;
 - (ii) Within maximum of 3 working days from the date of an incident occurring at a workplace which results in the following incident types (serious incidents):
 1. Serious Dangerous Occurrence (*Schedule A*);
 2. Serious Injury (*Schedule B*); and
 3. Receipt of a written diagnosis or other knowledge of the occurrence of a Serious Occupational Illness or Disease arising out of and in the course of work (*Schedule C*).
- (b) OSH injuries / illnesses shall be notified to SRA's based on immediate judgment of their severity, where a medical report is not available at the time of notification.
- (c) The entity shall notify the concerned SRA of relevant OSH incidents by completing and submitting *OSHAD-SF Form G – Serious OSH Incident Notification* (mandatory for entities with an approved OSH MS and for Medium Risk Entities complying with minimum requirements stipulated in *OSHAD-SF – Mechanism 5.0*).
- (d) Incidents may not only require notification to the concerned SRA, but also to Abu Dhabi Police and other relevant authorities as per their stipulated reporting requirements (such as Ministry of Labour, etc.).
- (e) The actual severity and consequences of the notified injury / illness once established based on investigation and diagnosis by licensed health care professional and supported by medical report shall be reported in the incident investigation report to the SRA (Form G1) as well as in the entity performance report to the SRA (Form E/E2).
- (f) Incident recording and reporting shall be based on 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.

Note: If a LWDC transforms into Fatality or Permanent Total / Partial Disability, it will no longer be considered as LWDC. Incident Severity, Statistics and KPIs shall be updated accordingly for severity of injury and number of lost workdays. Such escalation applies to all types of incident / injury.

- (g) Although contractual or other obligations may require entities to notify and report OSH Incidents to other relevant stakeholders (such as. Client, Relevant Authority), “OSHAD-SF Notification and Reporting” shall only be to the concerned SRA that the entity is nominated by.

4.2 OSH Incidents with Multiple Consequences

- (a) A single OSH incident may result in multiple consequences.
- (b) In case the consequences are multiple injuries, injury details for each person should be completed as part of the incident notification.
- (c) *OSHAD-SF – Form E, E1 and E2* have been designed to collate multiple consequences of single incident. This is to correctly account for the number of injuries and incidents while calculating injury rates / frequencies.

Note: refer to **Appendix 2** for an example.

4.3 Medium & Low Risk Entities Notification and Reporting

- (a) Entities officially notified to comply with *OSHAD-SF – Mechanism 5.0 – OSH Requirements for Medium Risk Entities* and those notified as low risk shall follow these requirements for Serious OSH Incident Notification & Reporting:
- (i) Notification of all “Serious OSH Incidents” as soon as practicable (as per the requirements of section 4.1), submitting *OSHAD-SF – Form G – Serious OSH Incident Notification*;
- (ii) Submitting internal investigation Reports for all “Serious OSH Incidents” as stipulated in section 5 of this mechanism, by completing and submitting *OSHAD-SF – Form G1 – Serious OSH Incident Investigation*.
- (b) For notified Low Risk Entities, the concerned SRA shall undertake the internal OSH investigation when notified of fatalities.

4.4 Principal Contractor OSH Incident Notification and Reporting Process

- (a) Principal contractors shall notify, investigate and report relevant OSH incidents to the Building and Construction SRA (as per *OSHAD-SF – CoP 53.0 – OSH Management during “Construction Work”*) for their operations and all construction subcontractors that are not nominated.
- (b) At a workplace where “Construction Work” is being undertaken and there is a principal contractor assigned the following OSH performance and incident reporting hierarchies apply:
- (i) all OSH incidents at the workplace shall be notified to the principal contractor;
- (ii) if a sub-contractor or project manager / client representative / supervising consultant is involved in an OSH incident and they do have an approved OSH MS, they are responsible for notifying, investigating and reporting the incident to the concerned SRA; and

- (iii) if a sub-contractor or project manager / client representative / supervising consultant is involved in an OSH incident and they do not nominated, the principal contractor is responsible for notifying, investigating and reporting the incident to the concerned SRA.

5. Entity Internal OSH Incident Investigation

- (a) The entity internal OSH Incident Investigation Procedure(s) shall address, at a minimum (refer to Appendix 1 for Incident Notification, Investigation and Reporting Process):
- (i) process for classification of incidents and incident types;
 - (ii) process of recording, investigating and analyzing OSH incidents;
 - (iii) roles and responsibilities of all stakeholders involved in incident investigations;
 - (iv) that investigations are performed by competent person(s), as required by OSHAD and in consultation and coordination with relevant stakeholders;
 - (v) terms of reference for investigations;
 - (vi) contents of an investigation report;
 - (vii) that investigations are performed in a timely manner;
 - (viii) process to determine the root causes of OSH incidents;
 - (ix) opportunities for corrective and preventative control measures; and
 - (x) effective communication of the outcomes of the investigation to relevant stakeholders.

5.1 Internal Investigation team

- (a) The entity shall ensure that the person(s) designated to undertake the internal OSH investigation are competent in the application of techniques employed in the investigation.
- (b) The entity shall ensure that persons designated to undertake internal OSH investigations are sufficiently independent from the process or procedure being investigated.
- (c) The entity shall provide additional technical expertise where required due to the complexity of the internal OSH investigation or the technical nature of the investigation.
- (d) Depending on the severity of OSH incidents, it may be deemed appropriate and/or necessary to utilize the services of professional investigators to assist in the internal OSH investigation of the root causes of the incident.

5.2 Preserving Incident Site and Evidence

- (a) If an incident notified is deemed to require the intervention of the Abu Dhabi Police or other judicial authority:
- (i) The employer shall, as far as reasonably practicable, preserve and not disturb the site where an incident has occurred until the relevant authorities (Police, Civil Defense) arrive on site or direct the employer to take other action.
 - (ii) The employer shall preserve all evidence associated with the incident until such time as the relevant authorities (Police, Civil Defense) deem necessary to ensure that all relevant evidence is collected.
 - (iii) Notwithstanding these requirements, the entity may take such steps as reasonably necessary to preserve the life or safety of any person, or prevent further damage to property.

- (b) For incidents that do not require the intervention of Abu Dhabi Police or other judicial authorities, the entity shall preserve the incident location and collect and preserve all relevant evidence as far as reasonably practicable to ensure an effective OSH internal investigation.

5.3 Process of investigating and analyzing OSH incidents

- (a) The entity shall ensure that all work related incidents, including near misses and dangerous occurrences, are investigated. The focus of investigation shall be to identify root causes, prevent future incidents and injuries and not to assign blame for the incident.
- (b) The entity shall initiate an internal investigation of all incidents as soon as practicable, in which:
 - (i) the level of investigation shall be proportional to the magnitude of the occurrence;
 - (ii) the entity shall use methods, processes and techniques sufficient to identify the root cause(s) of the occurrence;
- (c) the internal investigation shall consider available outcomes from any Abu Dhabi Police or other judicial investigation and the results of any relevant medical reports; and
- (d) the entity shall utilize the findings of investigations to improve the control of hazards or significant impacts on other operations within the entity.
- (e) On completion of the internal investigation, or sooner where warranted, the findings of the investigation, along with corrective actions or other necessary steps identified by the employer, shall be communicated to relevant members of the workforce.
- (f) The entity shall ensure that the findings of all investigations are reviewed and analyzed to identify the following as a minimum:
 - (i) Reoccurring incident(s);
 - (ii) Common incident contributors; and
 - (iii) Common trends.

5.4 OSH Investigation Reports

- (a) An internal OSH incident investigation report shall include information such as, but not limited to:
 - (i) type of OSH incident;
 - (ii) details of the injured person (e.g. gender, occupation, experience, training, etc);
 - (iii) details of the location;
 - (iv) details of the event;
 - (v) evidence collected (e.g. arrangements and location for witness interviews, the statements of the interviewees, photographs of the scene, OSHMS documents, maintenance registers);
 - (vi) actual consequences (e.g. people, assets, reputation) and potential consequences of the incident;

- (vii) details of the investigation outcome (e.g. equipment maintenance records; risk assessments / registers; the status of the implementation of the emergency plan and procedures, where appropriate);
 - (viii) recommendations (corrective action plan) on preventing the recurrence of a similar incident (the recommendations shall prioritise the actions with target completion dates and stipulate the action parties and responsibilities);
 - (ix) the person(s) responsible for the investigation, their authority and competency requirements; and
 - (x) the direct and indirect causes of the incident.
- (b) The entity shall ensure that all completed internal OSH investigation reports are reviewed and accepted by the 'management representative' or a person with formal delegated authority.
- (c) Corrective actions identified as part of the investigation shall be managed in accordance with *OSHAD-SF – Element 8 – Audit and Inspection*.

5.5 Completing and Reporting Serious OSH Incident Investigations

- (a) These requirements are applicable to all Serious OSH Incidents notified to the concerned SRA (using Form G) (refer to section 4) by entities with an approved OSH MS as well as for Medium Risk Entities complying with minimum requirements stipulated in *OSHAD-SF – Mechanism 5.0*.
- (i) The internal incident investigation report, as per the requirements of section 5.4, shall be completed and submitted to the concerned SRA within 30 calendar days of the date of the incident as an attachment to the completed *OSHAD-SF – Form G1*.
 - (ii) The completed *OSHAD-SF - Form G1* shall identify OSH injuries / illnesses in terms of their actual severity and consequences based on diagnosis by licensed health care professional and supported by medical report.
 - (iii) Entities shall submit the corrective action plan, as defined in section 5.4 to the relevant SRA as part of the completed investigation report. The entity shall update the relevant SRA on the progress of the corrective actions.
 - (iv) Where applicable, entities are required to update incident investigation reports as soon as relevant information becomes available.
 - (v) OSHAD acknowledges that specific components of the final report may not be available within 30 calendar days of the incident – such as outcomes of official Abu Dhabi Police investigation or the results of specific scientific/medical investigations or tests. This should not delay the submission of the entity's investigation report.

6. SRA Requirements for Notification, Investigation and Reporting of Incidents

- (a) The concerned SRA shall develop, document, implement and maintain a systematic process for the recording, notifying, investigating, monitoring, analyzing and closure of all serious incidents that are notified and reported to them by entities within the concerned sector.
- (b) The SRA shall ensure that the person(s) designated to undertake the OSH investigation and/or review of the investigation are competent in the application of techniques employed in the investigation.

6.1 OSH Incident Notification

- (a) The SRA shall develop, document, implement and maintain a system to allow entities to notify and report incidents to them as per the requirements of this mechanism.
- (b) The SRA shall ensure that the system developed, as per section 6.1(a) is communicated to all entities within the concerned sector.
- (c) The concerned SRA shall officially notify OSHAD of below listed serious incidents (classified based on injury severity known at the time of the incident) as soon as practicable but maximum within one working day after receiving the notification:
 - (i) Fatality;
 - (ii) Permanent Total Disability;
 - (iii) Permanent Partial Disability;
 - (iv) Lost Workday Case;
 - (v) Serious Dangerous Occurrence (Schedule A);
 - (vi) Serious Injury (Schedule B);
 - (vii) Serious Occupational Illness (Schedule C); and
 - (viii) Other Serious Incidents that the concerned SRA believes OSHAD should be aware of. Examples include:
 - 1. an incident that may affect members of the general community (e.g. release of a hazardous material); and
 - 2. an incident that may be of public interest and may be reported in the media.

6.2 OSH Incident Investigation

- (a) The SRA shall ensure that all incidents notified to them by entities are investigated in line with the requirements of section 5 of this document.
- (b) The SRA shall monitor the progress and quality of all internal incident investigations notified to them. The SRA shall take appropriate action if it considers the entity internal OSH investigation being undertaken to be inadequate or inappropriate.
- (c) The SRA shall ensure that the type and level of internal investigation undertaken by an entity shall be proportionate to the actual or potential consequences of the event.
- (d) The SRA shall undertake an independent OSH investigation for all fatal incidents reported to them. The purpose of the SRA investigation will be to identify the root causes of the incident and identify areas of improvement/corrective action for all stakeholders involved in the incidents.
- (e) The concerned SRA may conduct an investigation for any other serious incidents it deems necessary to identify the root causes of the incident and identify areas of improvement/corrective action for all stakeholders involved in the incidents.
- (f) All SRA investigations shall be done in accordance with the requirements of this mechanism and any OSHAD OSH investigation policies notified to the SRA.
- (g) OSHAD may, at any time, request the SRA to undertake an independent investigation to meet the objectives of this mechanism for an incident that has been notified.

6.3 Submission and Review of OSH Investigations

- (a) The SRA shall ensure that all completed internal OSH incident investigations by entities are submitted within 30 calendar days. Where this is not possible due to information not being fully available or the investigation incomplete, the SRA shall ensure that an ongoing record of communication is kept and all stakeholders, including OSHAD, are aware of the timescales for completion.
- (b) The SRA shall ensure that the completed OSH internal incident investigation report includes all information as required by Section 5.4 of this document. Reports submitted not containing all required information shall be officially rejected and returned to the entity for corrective action.
- (c) The SRA shall review all submitted investigations for completeness and to ensure the root cause of the incident has been identified, within 5 working days of receipt of the completed investigation.
- (d) The SRA shall review the corrective action plan submitted, as part of the internal OSH incident investigation, to ensure it is reasonable and appropriate. The SRA may request additional corrective action where required.
- (e) The SRA shall ensure that all completed investigations, including *OSHAD-SF - Form G1*, are submitted to OSHAD within 3 working days of review by the SRA.
- (f) OSHAD may request, at any time, additional investigation or action on a submitted internal investigation.

6.4 Monitoring Corrective Actions.

- (a) The SRA shall ensure that entities regularly update the status of corrective actions identified within the internal investigation report.
- (b) Where timescales have not been met, the SRA shall seek official clarification from the entity as to the status of the corrective action. The SRA shall ensure that OSHAD is regularly updated with regards to the status.
- (c) The SRA shall monitor the effective implementation of all corrective actions and confirmation of the implementation shall be done through audits and inspections.

6.5 Incident Analysis

- (a) The SRA shall develop, document, implement and maintain a systematic process to review and analyze the notified incidents and completed incident investigations.
- (b) As a minimum this review shall identify:
 - (i) Repeating entities;
 - (ii) Incident causation;
 - (iii) Reoccurring trends;
 - (iv) Root Cause(s); and
 - (v) Statistical data as required.
- (c) The SRA shall publish safety alerts or notices in line with the requirements of *OSHAD-SF – Mechanism 12.0 – Notification Requirements for OSH Awareness Activities*.

7. Role of OSHAD in an OSH Investigation

- (a) OSHAD shall monitor the concerned SRA's to ensure appropriate OSH investigations are undertaken on Serious Incidents as per the requirements of section 4 of this mechanism.
- (b) SRA's and/or other Competent Authorities can request OSHAD to lead / assist / participate in the required OSH incident investigation.
- (c) For investigations required as per section 6 of this mechanism, OSHAD can at any time:
 - (i) lead and/or coordinate investigations for incidents that require notification to OSHAD within 24hrs;
 - (ii) directly lead investigations of Serious OSH incidents, as deemed appropriate by the OSHAD Director General; and
 - (iii) undertake an independent investigation of any incident notified under the requirements of this mechanism.

7.1 Role of OSHAD in Monitoring and Coordination of internal OSH Investigations

- (a) Following notification to OSHAD, the SRA shall appoint a person to be “lead coordinator” of the incident investigation and to coordinate with OSHAD.
- (b) The “lead coordinator” shall be deemed responsible for ensuring an appropriate OSH investigation is completed by relevant parties in a timely manner and also complies with the requirements of this mechanism.
- (c) Within 48 hours of notification to OSHAD, the SRA appointed “lead coordinator” for the investigation shall meet with the OSHAD to present the initial facts of the incident.
- (d) The meeting agenda shall include, but not limited to:
 - (i) overall summary of the incident, including:
 1. facts, as known at this time;
 2. medical condition of any injured persons;
 3. containment / rehabilitation control measure; and
 4. control measures implemented to prevent harm to other persons and/or the environment (eg. equipment taken out of service, work stopped in area of incident, barricading the area, etc).
 - (ii) concerned stakeholders within the investigation (eg. AD Police, Civil Defence, concerned entity, contractors, etc.),
 - (iii) investigation timelines; and
 - (iv) on-going actions.
- (e) An agreed coordination and communication plan will be agreed during the meeting which will set the requirements for coordination and communication during the investigation, and recorded on the *OSHAD-SF – Form K – Coordination of Serious OSH Incident Investigation Form*.

- (f) OSHAD reserves the right to direct additional requirements for the investigation or undertake further investigation.
- (g) The SRA shall submit the completed investigation, including *OSHAD-SF – Form G1*, within 30 calendar days of the initial notification of the incident.
- (h) Within seven days of submission of the final investigation report, the sector lead coordinator shall meet with the OSHAD to present the incident investigation.
- (i) The SRA shall also ensure that the concerned Entity(s) are present at the meeting and shall be represented by a member of top management of the entity(s)
- (j) The meeting agenda shall include, at a minimum:
 - (i) overall investigation findings;
 - (ii) remedial actions identified with responsibilities and timeframe;
 - (iii) enforcement actions (if necessary); and
 - (iv) communication plan (to other entities within the sector and other sectors/other competent authorities if appropriate).

7.2 Media Activities

- (a) All media reporting or contact with the media shall be managed in accordance with the requirements of *OSHAD-SF – Mechanism 12.0 – Notification Requirements for OSH Awareness Activities*.

8. OSHAD-SF - Standard Forms

Form G – Serious OSH Incident Notification

This form is to be submitted by entities to the concerned SRA to notify a Serious Incident. It requires details of the incident and shall be submitted as per the reporting requirements: a) for fatalities within 24 hrs. of incident and b) for other Serious Incidents within maximum of 3 working days from the date of incident. The concerned SRA to notify OSHAD about the Serious Incident using Form G within one working day within 1 day form receipt of the notification.

Form G1 – Serious OSH Incident Investigation

This form is to be submitted by entities to the concerned SRA to summarize Serious Incident Internal Investigation findings. The full OSH Incident investigation shall be attached to the completed OSHAD-SF – Form G1. It requires details of the incident investigation and shall be submitted as per the reporting requirements: as soon as practicable – Maximum 30 Calendar Days from Date of Incident - For all Serious Incidents notified to SRA by Form G.

Form G2 – Non-Serious OSH Incident Investigation

This form is for Entity Internal Use and Recordkeeping. All non-serious Incidents not requiring immediate notification to SRA should be investigated internally and results recorded using Form G2 only.

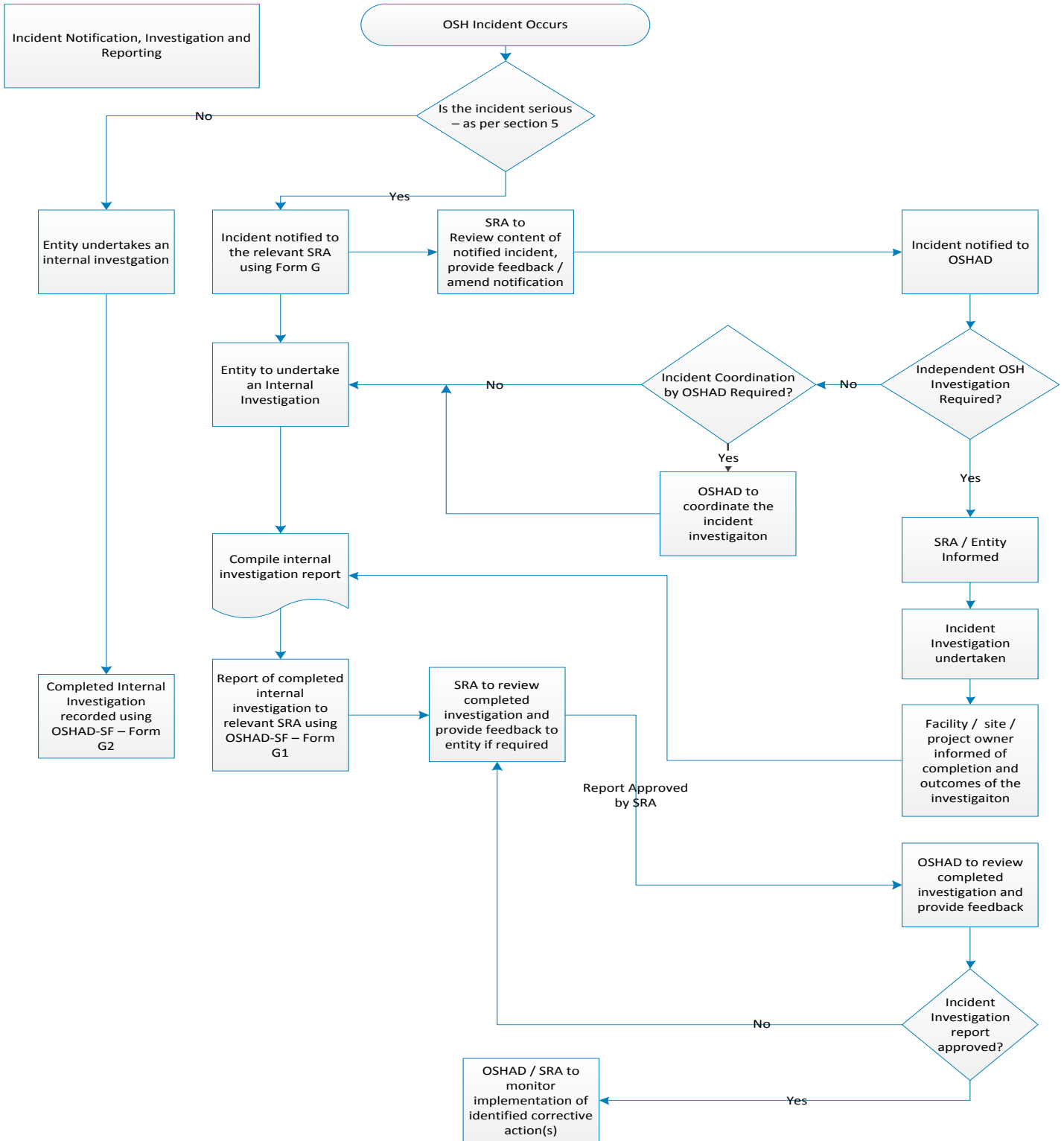
Form K – Coordination of Serious OSH Incident Investigation

This form is used by OSHAD to coordinate, where required, serious OSH incident investigations that are undertaken as per the requirements of this mechanism.

9. Document Amendment Record

Version	Revision Date	Description of Amendment	Page/s Affected
3.0	1 st 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 Incident Notification, investigation and Reporting	Throughout
		Clause 2.1 updated to Clause 5.2	11
		Clause 2.2 deleted	N/A
		Clause 2.3 updated to Clause 6 – updated to provide further clarity on requirements	14-16
		Clause 2.4 & 2.5 updated to clause 7 – clause updated to provide further clarity on requirements	17-18
		Clause 2.6 Updated to Clause 7.2	18
		Sections 2, 3, 4, 5, 6 & 7 added	4-18
		Clause 3.5 added	7
		Penetration injuries added to Schedule A	24
		Appendix 1 & 2 added	22-24
Schedule A, B, C & D added	25-32		

Appendix 1: Incident Notification, Investigation and Reporting Process



Appendix 2: OSH Incidents with Multiple Consequences

Incident description: A tanker truck while delivering petrol to a construction site rollover and an ambulance was called to the site. The driver (employee of the entity) received minor cuts and bruises. A passenger (employee of the entity) got an arm injury. The truck received substantial damage however with no flammable release. Employee was treated at hospital, diagnosed with arm fracture and advised 6 days sick leave

Notification of Serious Incident and Non-Serious Consequences in Form G:

While notifying the “Serious Incidents”, “Other Consequences” section shall be filled in Section 3 of Form G for “Non-Serious” Consequences resulting from the same Incident.

While notifying the “Incident” and “Consequences” for above mentioned Incident in Incident Notification Form (Form G) below shall be considered:

- Serious Injury (1) – Lost Workdays Injury to Passenger (entity’s employee);
- Medical Treatment Case (1) – for Driver (entity’s employee); and
- Equipment/Property Damage (1) - Damage to the truck

Fig 1: below shows how section 3 of Form G shall be completed for above mentioned tanker incident.

3. Incident Information					
Date of Incident	DD/MM/YYYY		Time (24 hr):		
Type of Incident:	<input type="checkbox"/> Fatality	<input type="checkbox"/> Serious Dangerous Occurrence	<input checked="" type="checkbox"/> Serious Injury		<input type="checkbox"/> Serious Occupational Illness
		Mechanism 6 Schedule A	Mechanism 6 Schedule B	Mechanism 6 Schedule C	
Other Consequences: (equipment/property damage or non-serious injuries resulting from the same incident but excluding the serious injured person (s) reported above)	Restricted Workday Case	Medical Treatment Case	First Aid Case	Equipment / Property Damage	Near Miss
		1		1	

Fig 1: Notification of Serious Incidents with Multiple Consequences

Important: Only the injury with highest severity shall be notified for an individual injured person (i.e. for each person in an incident, one injury must be included irrespective of escalation level of the injury severity and multiple injuries shall not be reported for same person); for example if an injured person (passenger in this incident) received first aid or medical treatment immediately at an incident site and later diagnosed for Lost Workday Injury (fracture) by Registered Medical Practitioner, Section 3 shall be filled only for “Serious Injury” for this employee (passenger).

Reporting of Incident and Consequences in Form E:

While reporting the “Incident” and “Consequences” for above mentioned Tanker Incident in Performance Report (Form E) below shall be considered:

- Number of Incidents to be reported: 1
- Number of consequences to be reported: 3 (as listed below)
- Medical Treatment Case (1) – Driver (entity’s employee) receiving medical treatment from a medical professional;
- Equipment / Property Damage (1) – Damage to the truck; and
- Lost Workdays Injury (1) – Passenger (entity’s employee) was diagnosed with arm fracture and advised 1 week (6 days) rest.

Fig 2 below shows how the incident and the consequences would be reported in Form E.

KPI 2-02 Total Incidents (From my Entity) (Total No. of incidents that occurred during the reporting quarter)					1
Entity (s)	Employees Injuries & Illness Consequences	No.	Lost Workdays	Other Consequences	No.
Lost Time Injuries	Fatality			Serious Dangerous Occurrence	
	Permanent Total Disability			Equipment / Property Damage	1
	Permanent Partial Disability				
	Lost Workdays Cases				
	a) Lost Workdays Injuries	1	6		
	b) Lost Workdays Occupational Illness				
Restricted Workday Case					
Medical Treatment Case		1			
Total Injuries & Illness for calculating KPI 2-03 (TRCF)		2			
Total Lost Workdays for calculating KPI 2-04 (LTISR)			6		
Total Consequences (Summation of Injuries, illnesses and other Consequences)					3

Fig 2: Reporting Incident with Multiple Consequences in Occupational Health & Safety Performance Summary for Entity

Schedule A: Serious Dangerous Occurrences

Explosion or Fire

- (a) Explosion or fire in a room or place in which persons are at work, and which results in substantial damage to the structure of the site, or to any machinery or plant there, and the explosion or fire is a result of the ignition of dust, gas or vapor. The incident shall have also resulted in the complete suspension of ordinary work at the site or stoppage of machinery or workplace for at least 5 hours.
- (b) Electrical short circuit or failure of electrical machinery, plant or apparatus, which results in an explosion, fire or structural damage and involves its stoppage or disuse for at least 5 hours.
- (c) Explosion or fire affecting any site in which persons are at work and causing complete suspension of ordinary work in the site for at least 24 hours.

Failure and/or Collapse of Equipment

- (a) Failure or collapse of false-work / formwork or its supports.
- (b) Collapse, partial collapse, overturning or failure of load-bearing parts of scaffold, lifts and lifting plant, equipment and/or accessories.
- (c) Failure of a breathing apparatus / equipment while in use or during testing immediately before use.
- (d) Failure or endangering of diving equipment, the trapping of a diver, an explosion near a diver, or an uncontrolled ascent.
- (e) The collapse, overturning, failure or malfunction of, or damage to, any plant/equipment that the employee is in contact with that had the potential to cause injury / illness.

Machinery Damage

- (a) Bursting of a revolving vessel, wheel, grindstone or grinding wheel moved by mechanical power.
- (b) Explosion or failure of the structure of a steam boiler, receiver or any container used for the storage at a pressure greater than atmospheric pressure of any gas or gases (including air) or any liquid or solid resulting from the compression of gas.

Collapse of Building / Structure or Excavation

- (a) Any unintended collapse or partial collapse of:
 - (i) any building or structure (whether above or below ground) under construction, reconstruction, alteration or demolition; and / or
 - (ii) any floor or wall of any building (whether above or below ground) used as a place of work; and / or
 - (iii) of an excavation or any shoring supporting an excavation.

Electric Lines, Cables and Pipelines

- (a) Any unintentional incident in which plant or equipment either:
- (i) comes into contact with overhead or underground electric lines, cables or pipeline; or
 - (ii) causes an electrical discharge from such an electric line by coming into close proximity to it; and/or
 - (iii) causes an overhead line be at an height less than that required by regulation.

Malfunction of Radiation Generating Equipment

- (a) Any incident in which:
- (i) the malfunction of a radiation generator or its ancillary equipment used in research, fixed or mobile industrial radiography, medical x-ray; the irradiation of food, the processing of products by irradiation, or other use, causes it to fail to de-energize at the end of the intended exposure period; or
 - (ii) the malfunction of equipment used in research, fixed or mobile industrial radiography, gamma irradiation, or other use, causes a radioactive source to fail to return to its safe position by the normal means at the end of the intended exposure period.

Escape of Flammable Liquids and Gases

- (a) The sudden, unintentional, uncontrolled release inside a building:
- (i) of 100 kilograms or more of a flammable liquid; and / or
 - (ii) of 10 kilograms or more of a flammable liquid at a temperature above its normal boiling point; and / or
 - (iii) of 10 kilograms or more of a flammable gas.
- (b) The sudden, uncontrolled release In the open air of 500 kilograms or more of any of the material referred to in sections (i), (ii) and (iii) above.

Escape of Hazardous Materials

- (a) The accidental release or escape of any materials in any quantity sufficient to cause the death, major injury or any other damage to the health of any person.

Biological Agent

- (a) Any incident which resulted in or could have resulted in the release or escape of a biological agent likely to cause severe human infection or illness.

Penetration (SHARPS) Injury

- (a) when a person is injured by a sharp KNOWN to be contaminated with a blood borne virus (BBV) e.g. Hepatitis B or C or HIV.

Schedule B: Serious Injuries

Serious Injury shall be **notified** to the respective SRA as soon as possible, however:

Fatality within **24hrs of the incident** and

Other serious injuries within maximum of **3 working days from the date of incident**

Entity shall make the **initial notification** of Serious Injury to respective SRA (Form G) based on immediate judgment of the potential severity / seriousness of the injury.

Once the actual severity and consequences of the notified injury are established based on diagnosis by licensed health care professional and supported by medical report, the same shall be **reported** in the incident investigation report to the relevant SRA (summarized by OSHAD-SF - Form G1) as well as in the entity performance report to the SRA (Form E/E2).

Serious Injuries requiring *notification* to SRA include the below-listed work-related injuries:

- (a) An injured person temporarily unable to perform any regular job or restricted work activity on a subsequent scheduled workday or shift, supported by a medical report from an approved medical practitioner.
- (b) immediate medical treatment of the injured person(s) as an in-patient in a hospital;
- (c) medical treatment of the injured person(s) within 48 hours of exposure to a substance;
- (d) immediate medical treatment of the injured person(s) for:
 - (i) fracture (not including fingers or toes);
 - (ii) the loss of a distinct part or organ of the body, including the amputation of any part of body;
 - (iii) loss of consciousness and/or requiring resuscitation;
 - (iv) a serious head injury;
 - (v) a serious eye injury, including loss of sight (temporary or permanent);
 - (vi) exposure to a hazardous material;
 - (vii) the separation of skin from any underlying tissue (such as scalping or de-gloving);
 - (viii) electric shock or electrical burn;
 - (ix) serious burns due to thermal and chemical agents;
 - (x) entrapment of a body part in machinery/equipment/plant;
 - (xi) a spinal injury;
 - (xii) dislocation of joint;
 - (xiii) the loss of bodily function; and
 - (xiv) Serious laceration

Schedule C: Serious Occupational Illnesses / Diseases

Reproduced from Federal Law No. 8, for 1980, on Regulation of Labour Relations – Schedule 1 and Amendments:

No.	Occupational Illness / Disease	Occupational Exposure
1	Conditions caused by ionizing radiation	Any work involving exposure to radium or any other radioactive substances or X-rays
2	Conditions caused by non-ionizing radiation and heat	Any work involving exposure to non-ionizing radiation (eg: lasers, Infra-red or Ultraviolet sources etc) and reflected light or heat as in welding works
3	Conditions caused by vibration	Any work involving exposure to vibration, as in use of air hammer, milling works and polishing
4	Conditions caused by abnormal pressure	Any work involving exposure to sudden atmospheric pressure or work under high or low atmospheric pressure
5	Occupational noise induced hearing loss	Any work involving exposure to the impact of noise, as well as drugs and chemicals that have an affect on hearing
6	Tuberculosis	Any work involving exposure to the tuberculosis microbe such as dealing with patients in hospitals or work in laboratories or handling of infected animals
7	Brucellosis	Any work involving exposure contact with infected people or infected animals or animal products eg: in the health sector, laboratories, agriculture sector or work on animal farms
8	Hepatitis A and B	Any work involving exposure to infected people or contaminated blood such as in hospitals and laboratories
9	HIV/AIDS	Any work involving exposure to infected people or contaminated blood such as in hospitals and laboratories
10	Tetanus	Any work involving exposure to sewage and agricultural works
11	Leptospirosis	Any work involving exposure to sewage works or agriculture or mines, tunnels, hunters or meat stores
12	Anthrax	Any work involving contact with infected animals by this disease or with their skins, horns and hair
13	Extrinsic Allergic Alveolitis	Any work involving exposure to fungus, spores, plants seeds and some animals such as working in animal farms, with birds and in agriculture
14	Poisoning caused by exposure to lead	Any work involving the use or handling of lead and organic or inorganic compounds or any substances containing lead as will as exposure to dust and fumes of lead and its compounds.
15	Poisoning caused by exposure to mercury	Any work involving the use or handling of mercury and its compounds or any substances containing mercury as will as exposure to dust, vapours and mists or fumes of mercury or its compounds or any substances containing an organic or inorganic mercury such as pesticides

No.	Occupational Illness / Disease	Occupational Exposure
16	Poisoning caused by exposure to arsenic	Any work involving the use of arsenic or exposure to fumes and dust of arsenic as in pesticide and drugs and any work involving the use of arsenic such as cleaning precipitated salts in boiling containers
17	Poisoning caused by exposure to phosphorus	Any work involving the use or handling of phosphorus & organic phosphorus compounds or substances containing phosphorus, and any work exposure to dust and gases of phosphorus as in pesticides, fungicides, fertilizers and chemical industries.
18	Poisoning caused by exposure to antimony	Any work involving the use or handling of antimony or its compounds or substances containing antimony and any work involving exposure to dust and gases of antimony such as in mining operations and transportation of antimony
19	Poisoning caused by exposure to manganese	Any work involving the use or handling of manganese or its compounds or substances containing manganese and any work involving exposure to dust and gases of manganese such as in mining operations and transportation of manganese
20	Poisoning caused by exposure to petroleum and distillates	Any work involving the use or handling of petroleum and its gases or products or derivatives and any work involving exposure to such substances in solid liquid or gaseous form as in oil industry operations
21	Poisoning caused by exposure to carbon tetrachloride	Any work involving the use or handling of chloroform or produced carbon tetrachloride or any exposure to gases containing them as in petrochemical industries
22	Conditions caused by exposure to coal, tars & oils	Any work involving the use or handling of coal, tars and oil or any exposure to gases resulting from them as in petrochemical industries
23	Poisoning caused by exposure to benzene	Any work involving the use or handling or exposure to benzene and its derivatives as in laboratories, chemical plants and painting
24	Conditions caused by exposure to aliphatic / aromatic / cyclic-amines	Any work involving the use or handling of aliphatic compounds or exposure to aromatic or cyclic-amines as in petrochemical industries.
25	Poisoning caused by exposure to benzene hexachloride	Any work involving the use or handling or exposure to benzene hexachloride as in oil industries and pesticides
26	Conditions caused by exposure to bromomethyl and chloromethyl	Any work involving the use or handling or exposure to fumes or gases of bromomethyl and chloromethyl as in fire extinguishers, airconditioning, and pesticides
27	Poisoning caused by exposure to formaldehyde	Any work involving exposure to formaldehyde
28	Poisoning caused by exposure to halothanes	Any work involving the use or handling or exposure to halothanes in health sector (Anaesthetics)
29	Conditions caused by exposure to carbon monoxide	Any work involving exposure to carbon monoxide in incomplete combustion processes, as in furnaces and maintenance of power generators

No.	Occupational Illness / Disease	Occupational Exposure
30	Poisoning caused by exposure to halogenes	Any work involving exposure to halogenes or its products or dusts or fumes
31	Poisoning caused by exposure to carbon disulphide	Any work involving exposure to carbon disulfide and its fumes in chemical industries and laboratories
32	Conditions caused by exposure to cyanide	Any work involving the use and exposure to cyanide
33	Poisoning caused by exposure to beryllium	Any work involving the use and exposure to beryllium or its compounds
34	Poisoning caused by exposure to selenium	Any work involving handling substances containing selenium such as in food industries and in plant supplements/fertilisers
35	Diseases caused by exposure to cements	Any work involving handling, transporting , manufacturing and using cements
36	Diseases caused by exposure to chromium/chromic acid	Any work involving preparation or using or handling chromium or chromic acid or bichromate or zinc chromate or any substance containing its compounds as in painting, detergents and cements
37	Poisoning caused by exposure to nickel	Any work involving exposure to fumes and dusts of nickle or substance containing nickle as in painting and nickle purification and mining
38	Poisoning caused by exposure to cadmium	Any work involving exposure to fumes and dusts of cadmium
39	Poisoning caused by exposure to vinyl chloride monomer	Any work involving manufacturing and polymerization processes of vinyl chloride .
40	Poisoning caused by exposure to isocyanates/polyurethanes	Any work involving exposure to polyurethane and using man-made mineral fibers
41	Conditions caused by exposure to epoxy resins	Any work involving the use and manufacturing epoxy resins
42	Conditions caused by exposure to wood dusts	Any work involving exposure to wood dust as in wood and furniture industries.
43	<p>Pneumoconiosis (silicosis, asbestosis, bysinosis) siderosis,</p> <ul style="list-style-type: none"> • Silicosis (Silicon dust) • Asbestosis (Asbestos dust) • Sideroses • Byssinosis 	<p>Any work involving exposure to freshly produced silica dust (silicon-oxide dust)or any substances containing fresh silica such as work in mining, stone quarrying or the hewing or crushing of rocks or manufacture of rock cement, the sandblasting of metals or any work involving similar exposure.</p> <p>Any work involving exposure to asbestos as in mining, manufacturing or to the substances containing asbestos such as construction materials, cement, manufacture thermo-resistant material and car brakes.</p> <p>Any work involving exposure to iron dust and fumes such as smelting and casting iron industries.</p> <p>Any work involving exposure to cotton dust as in the textile industry</p>

Additional Reportable Occupational Illness / Diseases:

No.	Disease	Occupation Causing the Disease
1.	Legionella	Any work requiring contact with water storage, distribution, and treatment systems that are contaminated with Legionella bacteria. This includes swimming pools, hot tubs, showers, cooling towers, and similar types of equipment
2.	Cumulative Trauma Disorder	Any work requiring repetition of a task that results in a muscular skeletal disorder
3.	Vibration white finger	Any work with equipment that continually vibrates the hands and causes reduced blood flow to the fingers
4.	Whole body vibration syndrome	Any work with equipment that exposes the body to whole body vibration and shocks and results in pain and injury
5.	Hand arm vibration syndrome	Any work with equipment that continually vibrates the hands and causes reduced blood flow to the fingers
6.	Cancer	Any occupational exposure to chemicals that results in cancer
7.	Tenosynovitis	Any work exposure that results in the inflammation of the fluid-filled sheath that surrounds a tendon
8.	Pleural Disease	Any work exposure that causes an accumulation or reduction of pleural fluid

Schedule D: Emergency Contact Numbers

Each concerned SRA shall maintain an OSH Emergency Contact Hotline that is available for entities to notify the SRA of Serious / emergency incidents 24 hours a day, seven days a week. Concerned SRA and other relevant authorities contact details include:

OSHAD-SF Sector	SRA	OSH Emergency Contact Hotline
Building & Construction	Department of Municipal Affairs (DMA)	800 555
Commercial	Department of Municipal Affairs (DMA)	800 555
Education	Abu Dhabi Education Council (ADEC)	02 6156 999
Energy	Abu Dhabi Water and Electrical Authority (ADWEA)	02 694 3666
Food	Abu Dhabi Food Control Authority (ADFCA)	028181111
Health	Health Authority Abu Dhabi (HAAD)	02 419 3666
Industry	Industrial Development Bureau (IDB)	800 555
Tourism	Abu Dhabi Tourism & Cultural Authority (ADTCA)	800 555
Transport	Department of Transport (DoT)	02 617 4515
Waste	Center for Waste Management – Abu Dhabi (CWM-AD)	800 555

Abu Dhabi Authorities	Emergency Contact
Abu Dhabi Police	999
Ambulance	999
Fire	999
Emergency and Disaster Management Operations Center - HAAD	02 419 3666 or 02 419 3660
Poison and Drug Information Center – HAAD	800 424
Coast Guard	999
Water and Electricity	999
Environment Agency Abu Dhabi (EAD)	800 9990
OSHAD	02 404 3800 / 3900

