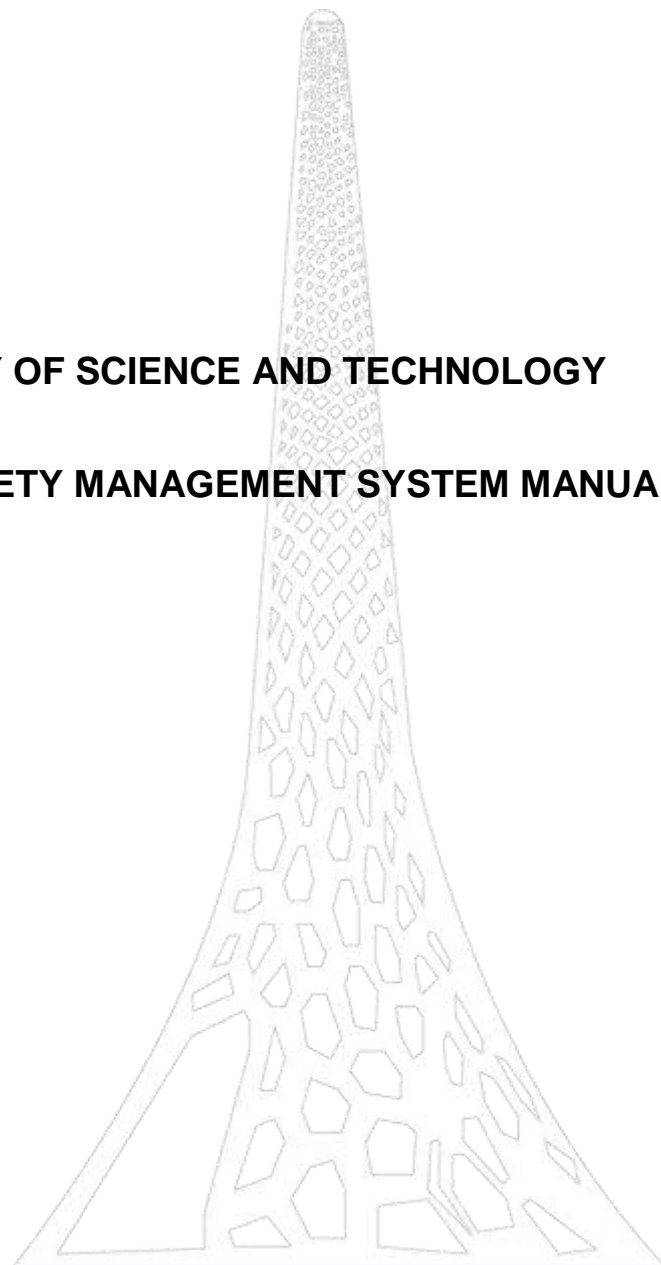


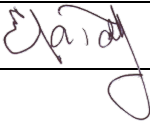


# KING ABDULLAH UNIVERSITY OF SCIENCE AND TECHNOLOGY

## OCCUPATIONAL HEALTH & SAFETY MANAGEMENT SYSTEM MANUAL



## Approval

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March 2019	02	Natashia Fourie	Revised Policy; updates from external audit observations.
April 2019	03	Natashia Fourie	Revised Scope.
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## 1. About King Abdullah University of Science and Technology

King Abdullah University of Science and Technology (KAUST hereafter) is a private research university located on the shores of the Red Sea in Thuwal, Saudi Arabia. It was founded in 2009 and provides research and graduate training programs using English as the official language of instruction. KAUST aspires to be a destination for scientific and technological education and research and to be a catalyst for innovation, economic development and social prosperity in Saudi Arabia and the world.

Also referred to as the KAUST Community, a large number of faculty and staff reside on University grounds with their families. KAUST faculty, staff, researchers, students and community members represent over 100 nationalities, making KAUST a truly international destination. KAUST has partnered with contractors and service providers to provide core services and teams that serve the KAUST community and support the provision of essential services at KAUST, which are KAUST Health, the KAUST School, Community Services (Recreation, Food & Retail, Transport, Travel & Logistics), and Accommodation Services. The KAUST community continually grows regarding research facilities and also through the building and maintenance of facilities and various other building projects.

## 2. Purpose, Scope and Users

The Occupational Health & Safety Management System (*OH&SMS hereafter*) describes how KAUST will implement its Health and Safety Policy (*hereafter H&S Policy*) and manage Occupational Health and Safety (*hereafter OH&S*) risks. It provides safety governance, which is a set of management practices and decision rights that administer and control how OH&S risk is evaluated, reduced, and managed. KAUST H&S Policy describes its overall intentions and direction as it relates to KAUST OH&S performance. KAUST recognizes that an effective safety management system is critical to the success of KAUST and improves its overall safety culture. Elements of success are summarized as follows:

A strong management commitment to health and safety is expressed not only through stated policy and adequate financial support, but also through active involvement and demonstrated concern for worker well-being;

Efficient hazard identification, engineering control, job-safety training, and safety evaluation programs designed to anticipate and manage hazards, not just count and investigate incidents;

An effective employee communication, feedback, and involvement program designed to motivate management and employees to deal with one another and safety matters in positive, humanistic ways; and

A health and safety program that is intrinsic part of day to day operations.

The scope of this OH&SMS includes construction safety within defined limitations, and all routine and non-routine operations of KAUST Facility Management and Community Life departments. The OH&SMS shall be complemented by a range of supporting documents and information.

This OH&SMS manual shall be an evergreen document subject to regular reviews and improvement. Furthermore, the OH&SMS has been prepared in line with international Occupational Health and



Safety Management System requirements to enable KAUST to proactively improve its OH&S performance in preventing injury and ill-health.

Users of this document are KAUST employees, service providers, and contractors. KAUST research facilities are out of scope and are covered by the Research Safety Management System.

### 3. Terms and Definitions

For this OH&SMS Manual, the following terms and definitions shall be defined by KAUST as follows:

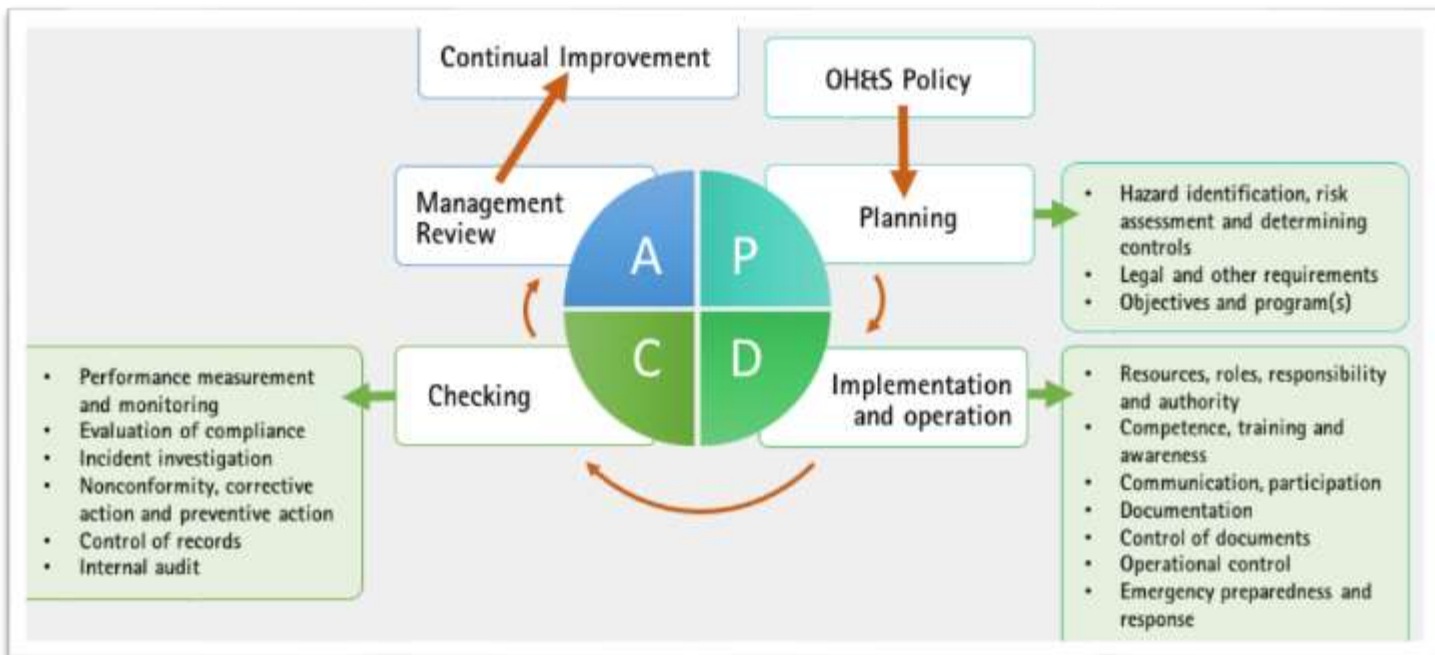
- **Acceptable Risk:** Risk that has been reduced to a level that can be tolerated by KAUST having regard to its legal and its own H&S Policy.
- **Continual Improvement:** Recurring activity to enhance performance consistent with KAUST H&S Policy.
- **Corrective Action:** Action to eliminate the cause(s) of a nonconformity, or an incident, and to prevent recurrence.
- **Hazard:** Source with a potential to cause injury and ill health.
- **Hazard Identification:** Process of recognizing that a hazard exists and defining its characteristics.
- **Ill health:** Identifiable, adverse physical or mental condition arising from and/or made worse by a work activity and/or work-related situation.
- **Incident:** An unplanned event or chain of events within the scope of HSE, that has, or could have, resulted in injury or illness, negative impact to assets, environment, legal liability, and or organizational reputation.
- **Interested Party:** Person or organization that can affect, be affected by, or perceive itself to be affected by a decision or activity.
- **Nonconformity:** Non-fulfilment of a requirement.
- **Occupational Health and Safety (OH&S):** Work conditions and factors that affect, or could affect, the health and safety of employees or other workers (including temporary workers and contractor personnel), visitors, or any other person in KAUST.
- **OH&S Performance:** Measurable results of how KAUST manages its OH&S risks.
- **Risk:** Combination of the likelihood of an occurrence of a hazardous event or exposure(s) and the severity of injury or ill health that can be caused by the event or exposure(s).
- **Risk Assessment:** Process of evaluating the risk(s) arising from a hazards, taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable.
- **Workplace:** A place under the control of KAUST where a person needs to be, or to go for work purposes.

### 4. Key OH&SMS Elements

This OH&SMS manual follows the methodology known as Plan-Do-Check-Act (PDCA). PDCA can briefly be described as follows:

- **Plan:** Establish the objectives and processes necessary to deliver results in accordance with the organization's H&S Policy.
- **Do:** Implement the process.
- **Check:** monitor and measure processes against the H&S Policy, objectives, legal and other requirements, and report the results.
- **Act:** Take actions to continually improve OH&S performance.

Key elements of the OH&SMS are presented in the diagram below:



#### 4.1. General

In order to establish and promote a OH&S culture that supports our commitment of no harm to people, KAUST Departments must promote, assist and participate in health and safety meetings, audits, inspections and reporting. Leaders must be mindful of the risks that are associated with their work activities, demonstrate visible leaderships, motivate, coach and develop their people in OH&S and also hold individuals accountable for their OH&S behaviors and performance. The OH&SMS can only work when everyone participates and feels comfortable discussing concerns, making suggestions, and reporting injuries, incidents, and hazards with a focus on continuous improvement.


The main objective of the KAUST Health and Safety Department is to guide, educate, train, and motivate the users of the OH&SMS in the techniques of accident and occupational illness and disease prevention, in an ongoing effort to reduce risk to an acceptable level in order to prevent injury and illness to employees and damage to property.

#### 4.2. KAUST Health and Safety Policy

KAUST has defined a H&S Policy as a separate document and made it available to interested parties on the HSE Website (click on [H&S Policy](#)), University Policy Webpage, and in the KAUST Health and Safety Orientation training. Contractors and Service Providers are required to include the KAUST

H&S Policy in their induction/orientation training. The H&S Policy represents the framework for planning and improving the OH&SMS and setting OH&S objectives.

*Continue on the next page*

 جامعة الملك عبد الله للعلوم والتقنية King Abdullah University of Science and Technology	<b>KAUST Health and Safety Policy</b>	Issue Date: 11/25/2008 Revision Date: 03/11/2019
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King Abdullah University of Science and Technology (KAUST) is committed to ensuring the Health and Safety of all people who live and work at KAUST. It also aspires to be a leader among top tier International Research Universities for the successful management of Health and Safety in all its activities.

To achieve its aims, the Senior Leadership Team of KAUST undertake to provide a safe place in which people can live, study and work and to put in place such rules and arrangements as are necessary to achieve this objective. It will regularly review its Health and Safety performance and take action to deliver improvements when required. Also, management will ensure that sufficient training is provided to individuals on the hazards they may encounter whilst at KAUST and make checks to confirm this training has been effective.

KAUST can only safeguard the wellbeing of its community members, faculty, staff, students, visitors and contractors if they in turn comply with the arrangements in place to protect themselves. Therefore, all people at KAUST are required to:

- Take personal responsibility for their own Health and Safety and do nothing which could endanger themselves or those around them.
- Know which Health and Safety rules apply to the activities they are undertaking and comply with them.
- Ensure they complete any Health and Safety training required for the activity they are undertaking and then act in accordance with the training given.
- Report all Health and Safety incidents to the Department of Health, Safety and Environment so they can be investigated and actions taken to prevent a recurrence.

People who manage others have an additional responsibility to ensure those working under their supervision are properly trained and comply with the rules governing Health and Safety for the activities which they oversee. Managers must provide positive leadership on all matters relating to Health and Safety and set the standards for others to follow.

The Director of Health, Safety and Environment is responsible for implementing the University's policies on this subject by providing information, instruction, training and consultation. He or she is also responsible for ensuring sufficient checks are done as needed to maintain the high standards of Health and Safety performance KAUST aims to achieve. This policy will be made available to all interested parties who undertake activities at KAUST.

Approved by:

**Tony F. Chan**  
President



Date: March 17, 2019

### 4.3. Planning

#### 4.3.1. Hazard Identification, Risk Assessment and Determining Controls

Hazard identification, risk assessment and determining controls are defined in ***Procedure for Hazard Identification and Risk Assessment, HSE-OHSMS-PR07.***

#### 4.3.2. Legal and Other Requirements

In accordance with the nature of its business activities, KAUST complies with a certain number of legal and other requirements relating to OH&SMS. KAUST is required to comply with Saudi Arabian legal requirements, standards and guidelines related to OH&S whenever applicable. The KAUST H&S Manager shall perform a comprehensive review, and where required, consultation with the KAUST Government Affairs, KAUST Legal office and Regulatory Authorities to determine the relevant legal requirements. The H&S Manager in consultation with Relevant Departments shall identify and record the activities regulated by relevant laws and regulations in the List of Legal and Other Requirements.

The process of identification and periodic evaluation of compliance with these requirements is described in the ***Procedure for Identification & Evaluation of Legal and Other Requirements, HSE-OHSMS-PR03.***

#### 4.3.3. Objectives and Programs

Measurable and timed OH&S objectives for the relevant functions and levels within KAUST is defined and demonstrate a commitment to continual improvement in OH&S performance. The objectives and programs are set and monitored by the KAUST H&S Manager in the context of monitoring and measurement and management review.

OH&S objectives are consistent with the KAUST H&S Policy and prescribed to all levels and functions in KAUST, including commitment to prevention of injuries and impairment of health, compliance with requirements of the law and regulations and continual improvement.

The program for realization is made for each defined OH&S objective.

Activities in programs' realization, responsibilities, deadlines, and resources for the realization of the objectives are defined and documented in ***Procedure for Management Review, HSE-OHSMS-PR05.*** Realization of programs is regularly reviewed by the KAUST H&S Manager in order to track progress against planned actions, and to include new or modified situations, or at least during regular management review.

### 4.4. Application and Implementation

#### 4.4.1. Resources, Roles, Responsibility and Authority

KAUST acquires the necessary staff with the needed knowledge and skills, organizational infrastructure, and financial resources for establishing, implementation, maintenance, and improvement of OH&S.

Resources required for the implementation and operation of the OH&SMS shall be provided by KAUST Departments through the following:

- Adequate allocation of manpower by evaluating actual staff competency and experience levels.
- Adequate allocation of funds by assessing actual and forecast activity levels and supporting documentation.

In cases where it is deemed necessary and justified, KAUST will hire external competent personnel and organizations from relevant fields for the realization of activities for which KAUST does not have adequate resources.

The HSE Director, who, besides his or her other duties, has the obligation, responsibility, and authority to:

- Ensure that OH&SMS is established, applied, and maintained;
- Report to KAUST Senior Leadership team on the effectiveness of the OH&SMS for the purpose of management review;
- Delegate some of his or her duties to a subordinate management representative(s) while still retaining accountability.

The KAUST Health and Safety team

#### 4.4.2. **Competence, Training and Awareness**

Department Managers/Heads are responsible for identifying the needs and conducting professional training of employees who carry out activities that may have an impact on OH&S.

Department Managers/Heads shall assess the competency needs of the employees and others working in their area of responsibility based on the OH&S risks of their activities, and the KAUST OH&SMS. They shall ensure that contractor staff working directly or indirectly under their responsibility are competent on the basis of appropriate education, training or experience, and shall retain associated records.

Department Managers/Heads shall have a process in place to define the gap between existing and required competence of employees, and address the necessary health and safety training to overcome this gap.

The KAUST H&S Manager shall assist the Department Head/Managers to conduct a training need analysis for their department, and prepare and communicate the annual OH&S Training Plan to Department Managers/Heads. The H&S Manager is responsible to ensure orientation training of visitors.

The method of ensuring the necessary competencies for roles, responsibilities, and authorities for implementation and control activities within the OH&S was established in accordance with the **Procedure for Competence, Awareness & Training Records, HSE-OHSMS-PR01**. Records of completed training and training effectiveness are kept by the management representative.

#### 4.4.3. **Communication, Participation and Consultation**



#### 4.4.3.1. OH&S meetings

To assist with the implementation of this OH&SMS, bearing in mind distribution of role and responsibilities among various KAUST Departments, this OH&SMS assembles the following committees:

4.4.3.1.1. *The Management Review and Occupational Health and Safety Steering Committees*, is held annually and biannually respectively and attended by Departmental Directors and senior management, and chaired by the HSE Director. The Management Review meeting shall review the OH&SMS, and the Steering Committee meeting shall have the following objectives:

- Set and review strategic objectives.
- Review current OH&S performance and propose corrective action.
- Review the effectiveness of the KAUST OH&SMS and identify corrective or improvement actions.
- Provide leadership on progression of OH&S matters.
- Allocate resources to implement and maintain the OH&SMS.

4.4.3.1.2. *The OH&S Operational Meeting, held quarterly and attended across the board by KAUST Departments.* The meeting shall have the following objectives:

- Stimulate effective communication on OH&S matters related to the operations of KAUST;
- Promote engagement in the implementation of the OH&SMS;
- Provide feedback and insight for management and promote improvements;
- Review findings from inspection reports and audits;
- Monitor implementation of follow up corrective measures to manage OH&S risks;
- Seek collaboration and co-operation from all employees in promoting good OH&S practices;
- Provide OH&S guidance and instructions.

4.4.3.1.3. *Monthly HSE Forums, held monthly and attended by KAUST HSE and the H&S representatives of KAUST service providers and contractors, and chaired by a KAUST HSE representative. The forum charter will define the scope and agenda items.*

4.4.3.1.4. *Toolbox Talks* are held with KAUST employees and service providers. The talk shall focus on:

- OH&S risk, with a focus on high and medium risk activities;
- Control measures that need to be in place for risk mitigation;
- Awareness of employees of their responsibilities, and addressing their concerns with regard to OH&S risks associated with their daily tasks; and
- Reminders about lessons learned from previous similar tasks or incidents to avoid a recurrence (if any).

#### 4.4.3.2. Communication & Participation

KAUST uses different forms and methods of internal and external communications, participation, and consultation with employees regarding OH&SMS, all in accordance with the ***Procedure for Communication, Participation and Consultation, HSE-OHSMS-PR10***.

The Health and Safety (H&S) Manager is responsible to communicate the KAUST H&S Policy, H&S targets & objectives, operational control requirements, and amendments to Department Managers/Heads, staff, service providers and visitors. The H&S Manager is responsible to track community complaints/concerns; and ensures that the concerned party is informed about the action taken.

Department Managers in consultation with the H&S Manager shall be responsible for communicating OH&S requirements to his/her department including service providers within the scope of this management system.

#### 4.4.4. Documents

Documentation of the OH&SMS is carried out through the following documents:

- KAUST H&S Policy
- KAUST OH&SMS Manual
- KAUST Annual Health and Safety Plan
- Documents, including records that KAUST has determined to be necessary, are given in the ***List of Internal Documents***.

#### 4.4.5. Control of Documents

All OH&SMS documents shall have the following identification aspects as a minimum:

- Unique identification number; and
- Revision number;
- A title describing the document.

Managing all the documents of the OH&SMS, including the method of collection, use, and distribution of external documents, is performed in accordance with the ***Procedure for Document and Record Control, HSE-OHSMS-PR02***. Below is a list of KAUST OH&SMS system procedures:

DOCUMENT NO	DOCUMENT TITLE
HSE-OHSMS-PR-01	Procedure for Competence, Awareness & Training Records
HSE-OHSMS-PR-02	Procedure for Document and Record Control
HSE-OHSMS-PR-03	Procedure for Identification and Evaluation of Legal and Other Requirements
HSE-OHSMS-PR-04	Procedure for Internal Audit and Inspection
HSE-OHSMS-PR-05	Procedure for Management Review
HSE-OHSMS-PR-06	Procedure for the Management of Nonconformities and Corrective Actions
HSE-OHSMS-PR-07	Procedure for Hazard Identification and Risk Assessment



HSE-OHSMS-PR-08	Procedure for Operational Control
HSE-OHSMS-PR-09	Procedure for Incident & Near-Miss Reporting and Investigation
HSE-OHSMS-PR-10	Procedure for Communication, Participation & Consultation

#### 4.4.6. **Operational Control**

In accordance with the H&S Policy, objects and targets for all operations and activities of KAUST that are estimated to be associated with the identified significant OH&S hazards are treated in accordance with the **Procedure for Operational Control, HSE-OHSMS-PR08** and relevant supporting documentation.

The operation control is a set of applied technical solutions and/or procedures, working instructions, and working criteria of KAUST and its Contractors for control of an activity, product, or service, equipment and working environment in work places with identified hazards.

Department Managers/Heads are required to identify the need for control of operations that could significantly impact OH&S, and to create appropriate documents (SOPs, working instructions, diagrams, working criteria, etc.) necessary to avoid deviations from the H&S Policy and OH&S Objectives.

KAUST shall ensure that all hazards are identified and documented, and that required control measures necessary for risk mitigation are identified and documented.

#### 4.4.7. **Emergency Preparedness and Response**

This OH&SMS adopts the **KAUST Emergency Management Plan** in establishing the responsibilities and organizational structure to handle a significant emergency impacting KAUST operations. KAUST Department Heads are required to ensure that the KAUST Emergency Manager is consulted in service provider emergency plan preparation, reviews, and observation of drills. Also, that first aid treatment by qualified first aiders are readily available in their organization, and immediate access to medical treatment is available to staff, contractors and service providers in the event of a medical emergency. The process defining how health, safety and environmental (HSE) incident and near-miss reporting and investigation will be managed in KAUST, is defined in the **Procedure for Incident & Near-Miss Reporting and Investigation, HSE-OHSMS-PR09**.

### 4.5. **Review**

#### 4.5.1. **Performance Measuring and Monitoring**

Activities of monitoring and measurement may include qualitative and quantitative measurements that correspond to the needs of KAUST. Measuring and monitoring should determine the level of fulfillment of OH&S Objectives and OH&SMS effectiveness, compliance with OH&S programs, number of incidents (including “near misses”), and other data on OH&SMS effectiveness.

The KAUST H&S Manager is responsible for recording data and measuring and monitoring results that facilitate analysis of corrective and preventive actions that follow.

Activities of measurement of significant OH&S hazards that are regulated and prescribed by legislation, but for which KAUST does not have capacity or resources to conduct monitoring, may be carried out through competent external parties.

If monitoring equipment is used, it will be managed in accordance with the ***Procedure for Operational Control, HSE-OHSMS-PR08***, and calibrations recorded in the ***Monitoring Equipment Calibration Record, HSE-OHSMS-PR08-F01***.

#### 4.5.2. Compliance Evaluation

An activity of evaluation of compliance with legal and other requirements, with which KAUST has agreed, is conducted periodically. The Health and Safety (H&S) Manager is responsible for identifying legal and other requirements, communicating these requirements to the Department Manager. Department Managers are required to keep records of periodic compliance evaluations and noncompliance with legal and other requirements. The system for ensuring access to up-to-date legal and other requirements to which KAUST subscribes, is described in the ***Procedure for Identification and Evaluation of Legal and Other Requirements, HSE-OHSMS-PR03***.

#### 4.5.3. Incident Investigation, Nonconformities and Corrective Actions

The Department Manager/Head is responsible for investigation, recording, and analysis of incidents according to the ***Procedure for Incident and Near-Miss Reporting and Investigation, HSE-OHSMS-PR09***.

Persons in KAUST are required to report all incidents and near-misses as soon as possible, but not later than the end of the shift or work day, using the online REPORTIT system. (<http://reportit.kaust.edu.sa>). Everyone in KAUST has the right to report injuries, incidents, hazards, and concerns and to fully participate in the OH&SMS without fear of retaliation.

Emergency situations (e.g. fire, gas leak, chemical spill, medical emergency, suspicious person, driving violation, etc.) shall be reported by first calling 911 from a KAUST landline or 012 808 0911 from a mobile, and then using the REPORTIT system as soon as possible, but not later than the end of the shift or work day.

KAUST Senior Leadership team will immediately be notified of Major incidents. The relevant Department Manager or the Person in Charge shall immediately be notified of Moderate, Minor and high potential Near-Miss incidents.

Corrective actions are conducted according to the ***Procedure for the Management of Non-Conformities and Corrective Actions, HSE-OHSMS-PR06*** at the places where it is detected that current actions and managing mechanisms are not adequate for maintaining the required level of OH&SMS effectiveness.

#### 4.5.4. Document and Records Control

KAUST applies and maintains the ***Procedure for Document and Record Control, HSE-OHSMS-PR02*** ensure control over the creation, approval, review, distribution, usage of documents and records used in the OH&SMS.

#### 4.5.5. ***Internal Audits and Inspections***

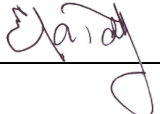
OH&S internal audits and inspections in KAUST are conducted at planned intervals according to the methodology prescribed in the ***Procedure for Internal Audit and Inspection, HSE-OHSMS-PR04***. KAUST H&S Department has a governance and compliance oversight role, and has the right of entry to facilities and operations covered in this OH&SMS manual.

#### 4.6. **Management Review**

Management review is one of the critical elements of the OH&SMS, and the review process is described in the ***Procedure for Management Review, HSE-OHSMS-PR05***. The management review shall be organized by KAUST Health and Safety, and chaired by the KAUST HSE Director and attended by the Occupational Health and Safety Steering Committee members. Findings of the review shall be recorded and communicated to concerned Departments.

## Procedure for Competence, Awareness & Training Records

### Approval

Procedure Title:	Procedure for Competence, Awareness & Training Records
Procedure No:	HSE-OHSMS-PR-01
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Recommended by:	Edward Sedgwick
Approved by:	Erik Talley
Signature:	

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Jan 2018	00	Natashia Fourie	Draft for Comments.
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March 2019	02	Natashia Fourie	Updates to training.
Nov 2020	03	Natashia Fourie	Updates to Roles, Responsibilities and Training

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## 1. Purpose, Scope and Users

The purpose of this procedure is to define the need, planning, methods for training, competence and awareness, and assessment of training results in order to prove the competence of employees, contractors, suppliers, and visitors whose actions influence occupational health and safety.

This procedure is applied to all processes and/or areas in KAUST within the Occupational Health and Safety Management System Manual (OH&SMS).

Users of this document are KAUST employees, service providers and contractors.

## 2. Reference Documents

- KAUST OH&SMS Manual
- Procedure for Operational Control

## 3. Roles and Responsibilities

### 3.1. HSE Director

The HSE Director and Department Head/Director shall be responsible for providing adequate resources for the effective delivery of required health and safety trainings. The HSE Director approves the annual OH&S Training Plan.

### 3.2. Health and Safety Manager

The Health and Safety (H&S) Manager shall assist the Department Head/Managers to conduct a training need analysis for their department, and prepare and communicate the annual OH&S Training Plan to Department Managers/Heads. The H&S Manager shall evaluate third party training service providers to assess their quality and provide approval prior to them providing a service to KAUST.

### 3.3. Department Manager

Department Managers/Heads shall assess the competency needs of the employees and others working in their area of responsibility based on contractual health and safety requirements, the OH&S risks of their activities, and the KAUST OH&S management system. They shall ensure that contractor staff working directly or indirectly under their responsibility are competent on the basis of appropriate education, training or experience, and shall retain associated records.

Department Managers/Heads shall have a process in place to define the gap between existing and required competence of employees, and address the necessary health and safety training to overcome this gap.

## 4. Training

### 4.1. Employee, Visitor, Contractor and Service Provider Orientation Training

KAUST HSE shall have a orientation program in place. The H&S Manager is responsible to ensure orientation training of new employees, contractor and service providers. Contractor and service provider orientation training shall include the following topics, and shall be specific to the scope of their work(\*):

- KAUST H&S Policy
- In case of Emergency (ICE, emergency assembly points and reporting procedures)
- Fire Safety
- Driving and pedestrian safety in KAUST
- Roles and Responsibilities (proponent, contractors)
- Work Permit\*
- Risk assessment and method statement
- Electrical Safety (\*)
- Safe handling of chemicals (incl. spillages)\*
- Personal protective equipment\*
- Working in Hot Climates \*
- Welfare facilities (food and water hazards)
- Housekeeping (slips, trips and falls)
- Manual Handling\*
- Lifting and Hoisting \*
- Hearing Conservation\*
- Working at heights\*
- Excavation and Trench work\*
- Confined Space Work\*
- Hot Work\*
- Work on Pressure Systems\*

Training pocedures shall take into account differing levels of responsibility, ability, language skills, literacy, previous training and risk.

Some trainings may require a writtten test. In such cases, attendees shall be assessed by completing a test paper with questions from a bank of questions. One mark will be allocated for each correct answer. Attendees who do not achieve the required test score will be required to re-sit the test.

Refresher training doesn't need to be conducted for all employees at the same time, but all employees must attend refresher training at specified intervals.

#### **4.2. Visitor Orientation Training**

Department Managers are responsible to ensure orientation training of visitors to his or her workplace. As a minimum, visitors shall be informed about:

- In case of Emergency (ICE, emergency assembly points and reporting procedures)

- Fire Safety
- Driving and pedestrian safety in KAUST (KAUST Traffic and Vehicle Safety Policy)

### 4.3. Planning

When developing the annual KAUST H&S Training Plan, consideration shall be given to hazards and the level of risks associated with the activity and frequency of refresher training.

The H&S Manager shall keep the H&S Training Plan up to date to reflect training courses delivered and staff attendance.

The H&S Training Plan must consider legal requirements, as well as limitations that may affect the training process such as deadlines and schedules, financial resources, availability, motivation and capability of trainees and limitations regarding other resources.

### 4.4. Conducting Training

Training defined in the H&S Training Plan can include taking courses outside KAUST and inhouse training and can be performed by experienced workers within KAUST.

Orientation training for all new contractors, service providers and employees will be conducted within a month after hiring. KAUST H&S will schedule orientation training sessions periodically, but it is the responsibility of Department Managers to ensure attendance by their employees and operational staff as identified in the Training Plan.

Competence training is conducted by KAUST HSE, or by an appointed external organization at specified frequencies. A written test will be available for each competency training course. Attendees who do not achieved the predefined score will be required to re-take the test.

Training materials used in-house may include power point, animations and videos, as appropriate. All training courses shall be delivered in English language.

The H&S Manager can utilize other media for delivering training courses such as Blackboard to disseminate the training curriculum to wider group of staff, dependents and contractors. When completing online courses, a theory test shall be taken online as part of the course offering. When using online training, attendance records shall be maintained by the system and the Training Plan will not be updated to reflect attendance.

KAUST H&S shall use the 'Record of Attendance' form, and filed copies will be kept electronically in SharePoint. For any external training, records shall be supported with 'Completion Certificate' or 'Certificate of Attendance', as appropriate. Department Managers must ensure that H&S training records for their employees, contractors and service providers are available and easily retrievable.

### 4.5. Assessing Training Effectiveness

The purpose of training evaluation is to ensure that participants have developed a comprehension of the training topic. During internal trainings, the trainer shall prepare theory tests, and in addition to the theory test, a practical demonstration and assessment for the following training courses are required:

- Driving



- Working at Heights (E.g. scaffolding)
- Excavation and Trench (E.g. Soil test)
- Confined Space (E.g. how to conduct a gas test)
- Personal Protective Equipment (E.g. hearing protection, respiratory protective equipment, safety harness etc).
- First Aid
- Manual Handling
- Risk Assessment

Training effectiveness will be measured by the number of trainees who successfully passed the training evaluations, compared to the total number of trainees for that specific course.

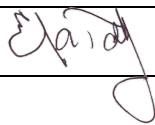
## 5. Managing Records Kept On The Basis Of This Procedure

Record name	Document No	Storage		Responsibility
		Retention time	Location	
Health and Safety Training Plan	HSE-OHSM-PRO1-F01	3 years	SharePoint	H&S Manager
Record of Attendance	HSE-OHSMS-PR01-F02	3 years	SharePoint	H&S Manager

Only the KAUST H&S Manager can grant other employees access to the records.

## Procedure for Document and Record Control

### Approval

Procedure Title:	Procedure for Document and Record Control
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Jan 2018	00	Natashia Fourie	Draft for comments.
Jan 2018	01	Natashia Fourie	For Approval.
April 2019	02	Natashia Fourie	Updates to Process Description and Forms
Nov 2020	03	Natashia Fourie	Updates to Document Approval

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## 1. Purpose, Scope and Users

The purpose of this procedure is to ensure control over the creation, approval, review, distribution, usage of documents and records (also called: document information) used in the Occupational Health & Safety Management System (OH&SMS).

This procedure is applied to all processes and/or areas in KAUST within the OH&SMS.

Users of this document are KAUST employees, service providers and contractors.

## 2. Reference Documents

- KAUST OH&SMS Manual
- [University Records Policy](#)

## 3. Roles and Responsibilities

### 3.1. HSE Director

The HSE Director is responsible to approve the KAUST OH&SMS Manual, and recommend approvals for Policy documents. He or she shall ensure that adequate resources are provided for effective implementation of this procedure.

### 3.2. Health and Safety Manager

The Health and Safety (H&S) Manager shall ensure that the relevant personnel are informed of the OH&SMS documents. In addition, he or she is responsible for review of OH&SMS documents and defines the areas/parts to be changed/revised, if necessary.

## 4. Control of Documents

Internal documents are OH&S documents created inside the organization, e.g., policies, working instructions, records, etc.

### 4.1. Creation and Identification of Documents

All OH&SMS documents shall have the following identification aspects as a minimum:

- Unique identification number;
- Revision number; and
- A title describing the document.

### 4.2. Document Format

The document numbering methodology shall be in accordance with the format below:

Type of Document	Examples	Numbering Format
Level 1	KAUST OH&SMS Manual and Policy	HSE-OHSMS-M or P
Level 2	KAUST System Procedures	HSE-OHSMS- PR-xx
Level 3	KAUST SOPs, Work Permit, Work Instruction, JSAs, and Work Flows	HSE-OHSMS-SOP,WI,etc-xx
Level 4	KAUST Forms, Guides	HSE-OHSMS- PRxx-(F)(G)xx

The document numbering methodology adopted by KAUST HSE shall not be applicable to external documents provided by the contractors or service providers.

#### 4.3. Document Approval

The OH&SMS Manual and procedures, regardless of whether they are new documents or new versions of existing documents, must be approved by the HSE Director. Paper documents will be approved by signature. Top management shall approve Policy documents.

All forms, guides, records, work instructions etc., regardless of whether they are new documents or new versions of existing documents, must be approved by the H&S Manager. Paper documents will be approved by signature.

Type of Document	Review Authority	Approval Authority
Level 1	KAUST H&S Manager	KAUST HSE Director
Level 2	KAUST H&S Manager	KAUST HSE Director
Level 3	KAUST H&S Manager/Lead	KAUST HSE Director
Level 4	Concerned Process Owner/Lead	KAUST H&S Manager

#### 4.4. Publishing and Distributing Documents

On approval of a draft or a new version of a document, the H&S Manager shall keep a copy of the original version in electronic format.

The H&S Manager will publish approved OH&SMS documents on the University Policy Website and update online publications of OH&SMS documentation (as required) with reading rights only. It is the responsibility of the H&S Manager to inform concerned personnel/parties about new or updated OH&SMS documents and how to access them. Online publications are considered controlled copies, and becomes "Uncontrolled copies" when downloaded and or printed.

The H&S Policy is the only document that must be available to the public. The rest of the OH&SMS documents can be delivered to external parties upon written approval from the HSE Director, and they are labeled as “Uncontrolled copy” to guarantee the adequacy of the documents at the moment of issuance.

#### 4.5. Withdrawal of Outdated Documents

Any document that becomes obsolete by reissue will be promptly removed, and stored electronically in a dedicated folder marked “Archived” for reference and with limited user access.

#### 4.6. Document Revision & Amendment

Document reviews are performed in line with the frequency defined in the ‘List of Internal Documents’. Where there is a need to change a document, changes shall be made and communicated to the requester and concerned parties. The H&S Manager shall review the document to make necessary changes to relevant parts of the document and submit to the relevant parties for review and approval in accordance with the review and approval hierarchy, mentioned in Parr. 4.3.

All changes to the document must be made using “Track Changes”, making visible only the revision to the previous version, and must be briefly described in the ‘Document History & Revision Status’ table. Revised documents will be issued with an updated revision number.

Contractor Health and Safety Plans (external origin document) shall be reviewed by the assigned KAUST HSE Point of Contact.

#### 4.7. Documents of External Origin

Documents received from external sources such as governmental authorities, contractors and service providers, other institutions, the public etc. shall be registered in a transmittal log and stored in a separate folder electronically.

The following documents shall be considered as external origin documents, and transmitted using the Document Outgoing Transmittal Register:

- Work/Change Request Form
- Contractor Health and Safety Plans
- Design Drawings
- Standards and Regulations
- Any other document considered as external origin document.

The H&S Manager is accountable to ensure the Transmittal Register is maintained.

#### 4.8. Records Control

##### 4.8.1. Record managing and labeling

Each internal document in the OH&SMS must define how records resulting from the use of such a document should be managed; i.e. it must specify the following:

- Title/name of record;
- Storage location;
- Person responsible for storage;
- Controls for record protection; and
- Retention time.

Reports and analysis that are conducted periodically can be in free form, but they must include the following:

- Title;
- Creation date; and
- Signature (or printed name) of the person who conducted the analysis.

Records that arise from legal or regulatory requirements or from IT systems are accepted in defined form and they are not subjected to marking described in this procedure.

While records are in use, the person responsible for maintaining the record guarantees exactness of entered data, and prevents unauthorized entry, changes, and destruction of such record.

The H&S Manager shall maintain records of all controlled document approvals and distribution to concerned parties. Records shall be maintained in a way that prevents unauthorized use, changes and destruction of such record. Appropriate labeling of data shall be done in accordance with this procedure.

#### 4.8.2. Record availability

KAUST employees may access stored records only after obtaining permission from the responsible person designated for storing individual records. If the sensitivity of certain records is such that permission for access must be obtained from a different person, this must be stated in the concerned internal document in the section describing records control.

Record access and retrieval rights are determined by the owner of individual records. Electronic records will be backed up at frequencies defined by KAUST IT policy.

If the sensitivity of certain records is such that permission for access must be obtained from a different person, this must be stated in the concerned internal document.

#### 4.8.3. Record archiving and destroying

The H&S Manager is responsible to ensure that records with expired retention times are destroyed in a way that prevents their further use and the date of destruction is entered into the 'Detention and Archive Register'.

Unless specified differently in the relevant H&S document, the minimum retention time for H&S records shall be 3 years.

## 5. Managing Records Kept On The Basis Of This Document

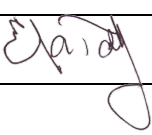
Record name	Document No	Storage		Responsibility
		Retention time	Location	
List of Internal documents	HSE-OHSMS-PR02-F01	3 years	SharePoint	H&S Manager
Detention and Archive Register	HSE-OHSMS-PR02-F02	3 years	SharePoint	H&S Manager
Document Outgoing Transmittal Form	HSE-OHSMS-PR02-F03	3 years	SharePoint	H&S Manager
Transmittal Log	HSE-OHSMS-PR02-F04	3 years	SharePoint	H&S Manager

Only the H&S Manager can grant other employees access to the records.



## Procedure for Identification and Evaluation of Legal and Other Requirements

### Approval

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April 2019	02	Natashia Fourie	Update to reference documents and form.
Nov 2020	03	Natashia Fourie	Corrected minor grammatical errors.

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## 1. Purpose, Scope and Users

The purpose of this document is to determine the process of identification and periodic evaluation of legal and other requirements related to occupational health and safety (OH&S), and defining responsibility for their fulfillment in order to conform to the KAUST H&S Policy. It also outlines a system for ensuring access to up-to-date legal and other requirements to which KAUST subscribes.

This procedure applies to KAUST processes, activities and workplaces that are in the Occupational Health and Safety Management System (OH&SMS) scope.

Users of this document are KAUST employees, service providers and contractors.

## 2. Reference Documents

- KAUST OH&SMS Manual
- KAUST H&S Policy

## 3. Roles and responsibilities

### 3.1. HSE Director

The primary responsibility of the HSE Director is to ensure that KAUST's activities and operations comply with local OH&S legislative requirements where available, and with applicable International Standards, Codes of Practices, Industry Standards and other guidance material as deemed applicable.

### 3.2. Health and Safety Manager

The Health and Safety (H&S) Manager is responsible for identifying legal and other requirements, communicating these requirements to the Department Manager. The H&S Manager will further monitor the relevant OH&S laws and regulations for their currency and keep records of periodic compliance evaluations and noncompliance with legal and other requirements.

### 3.3. Department Manager

Department Manager(s) shall ensure that all activities and operations under their department complies with legal requirements and other requirements as identified by the H&S Manager. The Department Manager shall communicate these requirements to their staff and ensure that compliance records are properly maintained. In case of changes to the Department operations and activities, the Department Manager shall notify the KAUST HSE Department so that impact can be assessed and legal requirements can be identified.

## 4. Identification of Requirements and Compliance Evaluation

### 4.1. Identifying Sources of Information

Sources of information for identifying legal and other requirements that may be accessed, can be:

- KAUST Government Affairs
- KAUST Legal Office

- All government and ministry levels
- Regulatory Authorities
- Industry associations or trade groups
- Agreements with third parties
- Internal documents of KAUST, e.g. contracts, announcements etc.

#### 4.2. Monitoring and Application of Legal and Other Requirements

At least once a year, the H&S Manager shall perform a comprehensive review of the KAUST 'List of Legal and other Requirements' to ensure validity of the applicable laws and regulations. He/she can make the required consultations as deemed appropriate. The H&S Manager shall document legal and other requirements in the 'List of Legal and Other Requirements' and communicate to the HSE Director, Department Directors/Managers and concerned parties via email announcement and the HSE Website. The H&S Manager shall ensure access to regulatory and other requirements to interested parties.

Where applicable, the H&S Manager will integrate all new or revised approved requirements into the OH&SMS documents. In case of any change to these requirements, the H&S Manager shall incorporate the relevant changes in the applicable OH&SMS documents as deemed necessary. The changes shall be communicated to the HSE Director, Department Directors/Managers and concerned parties that is affected by the regulatory changes.

Where new or revised requirements are not approved, the H&S Manager will inform the HSE Director and concerned parties and document the reason for not approving.

The H&S Manager, in cooperation with Department Manager/Heads shall determine who will be responsible for complying with each requirement and record responsibilities in the 'List of Legal and Other Requirements.'

The following may be considered while reviewing the requirements:

- The purpose and scope of the requirement;
- How the requirement may affect KAUST and its H&S Policy;
- The availability of resources.

#### 4.3. Compliance Evaluation

The H&S Manager shall conduct periodic evaluations through internal audits to evaluate compliance with the relevant OH&S regulatory and other requirements. If there are legal or other requirements with which KAUST has not complied, this shall be dealt in accordance with the Procedure for the Management of Nonconformities, Corrective & Preventive Actions. The H&S Manager shall notify the HSE Director.

If resolving noncompliance with legal and other requirements overcomes the authority of the H&S Manager, a decision will be made by the HSE Director.

Compliance evaluation is a mandatory input in the management review.

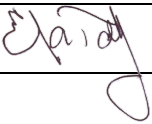
## 5. Managing Records Kept On The Basis Of This Document

Record name	Document No	Storage		Responsibility
		Retention time	Location	
List of Legal and Other Requirements	HSE-OHSMS-PR03-F01	3 years	SharePoint	H&S Manager
Regulatory Requirement Matrix	HSE-OHSMS-PR03-F02	3 years	SharePoint	H&S Manager

Only the H&S Manager can grant other employees access to the records.

## Procedure for Internal Audit and Inspection

### Approval

Procedure Title:	Procedure for Internal Audit and Inspection
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Signature:	

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Jan 2018	00	Natashia Fourie	Draft for Comments.
Jan 2018	01	Natashia Fourie	For Approval.
April 2019	02	Natashia Fourie	Updates to roles and responsibilities, process and forms.
Nov 2020	03	Natashia Fourie	Changes to para (s) 4.5 & 4.6

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## 1. Purpose, Scope and Users

The purpose of this procedure is to describe how KAUST will manage OH&S implementation and compliance assurance in order to verify the effectiveness of the Occupational Health and Safety Management System (OH&SMS).

This procedure applies to KAUST processes, activities and workplaces that are in the OH&SMS scope.

Users of this document are KAUST employees, service providers and contractors.

## 2. Reference documents

- KAUST OH&SMS Manual
- Procedure for the Management of Nonconformities and Corrective Actions
- Procedural Forms as mentioned in the List of Internal Documents

## 3. Roles and Responsibilities

### 3.1. HSE Director

The Director shall allocate adequate resources for the implementation of this procedure.

### 3.2. Health and Safety Manager

The Health and Safety (H&S) Manager is responsible to develop the annual Internal Audit Schedule, nominating the H&S audit team and maintaining audit records. The H&S Manager shall communicate audit results and corrective action results with the concerned personnel/department(s) or parties. The H&S Manager shall further verify the corrective action for completeness before close-out.

### 3.3. Health and Safety Audit Team

The H&S Audit team shall consist of suitably qualified and trained auditors nominated by the H&S Manager. The Audit team shall primarily be responsible for conducting internal audits as per the H&S Internal Audit Schedule.

### 3.4. Department Manager

The Department Manager(s) shall facilitate the H&S Audit Schedule by providing the requested documents/records and appointing supervisors and employees to assist the H&S Audit Team during the audit. The Department Manager is responsible to review and close-out department related non-compliance findings. The Department Manager shall ensure that contractors and service providers under his or her authority has an approved written procedure for internal audits and inspections which is aligned with the requirements of this procedure.

## 4. Conducting of Internal Audit

### 4.1. Internal Audit Schedule



The H&S Manager is responsible to prepare the annual Internal Audit Schedule and will take into consideration the results of risk assessment related to organization activities, as well as results of the previous audits. Criteria of the audit can be compliance with international OH&S management standards and/or alignment with legal requirements. Each activity should be audited at least once a year, ensuring cumulative coverage of the entire OH&SMS scope. The HSE Director approves the annual KAUST Internal Audit Schedule. Internal audits are usually conducted before Management Review.

Additional internal audits may be scheduled in the event of:

- High risk activities or critical occupational H&S activities;
- Significant nonconformity or repetition of the same nonconformity (decision about whether the nonconformity is significant and requires additional audit is made by the H&S Manager);
- Significant change in process, activity, and/or products and services (decision about whether the change is significant and demands additional audit is made by the H&S Manager).

#### 4.2. Appointing Internal Auditors

The H&S Manager appoints internal auditors and a leader of the auditor team (if there are more internal auditors).

An internal auditor may be someone from the organization or a person outside the organization. Criteria for appointing internal auditors are:

- Knowledge of principles of auditing;
- Possession of general knowledge for specific areas of audit;
- Knowledge of standards ISO 19011 and international OH&S management standards;
- Necessary competence – achieved through education and experience.

Internal auditors must be selected in such a way as to ensure objectivity and impartiality, i.e., to avoid conflict of interest; auditors are not allowed to audit their own work.

The H&S Manager may appoint a third-party consultancy company to conduct an OH&S audit of the OH&SMS, at self-identified frequencies.

#### 4.3. Audit Preparation

##### 4.3.1. Document Review

The lead auditor and audit team members shall review the relevant OH&SMS documents including records, and determine their adequacy with respect to OH&S.

##### 4.3.2. Audit Objectives, Criteria and Plan

In accordance with the approved annual Internal Audit Schedule, the H&S Manager shall prepare an audit plan identifying the scope (area, department or activity to be audited), criteria, time and

duration, audit methodology, name of auditor and auditees. The H&S Manager shall share the plan with the auditor and auditee at least two weeks prior to the mutually agreed audit start date.

The auditors (lead auditor and/or team members) review the objective, criteria, audit scope, and methods of audit and prepares for the audit. This preparation includes:

- Review of the procedure and policies relevant to the area to be audited;
- Preparation of audit checklist in accordance with the defined criteria;
- The importance of processes will be a key factor in audit planning;
- Review of the internal audit procedure and gathering of relevant reporting formats; and
- Communication with the auditee.

#### 4.4. Conducting Internal Audits

The lead auditor or KAUST HSE Manager shall conduct an opening meeting with the Department Director/Manager and involved employees. The meeting shall be chaired by the lead auditor, who shall discuss the audit agenda containing activities to be undertaken.

The internal audit is conducted in two phases:

- *Document audit.* The lead auditor and team members review relevant documents related to international OH&S management standards and identified processes to determine their adequacy against the audit criteria.
- *Audit of compliance with documentation.* To show whether the processes are executed in accordance with corresponding procedure(s).

Gathering of data is performed through reviewing existing documentation, personal observation, and interviews. During interviews, notes shall be taken for recording of findings. Also, walkthrough inspections to the activity areas shall be undertaken to confirm the effectiveness of processes. The audit team shall document the audit findings in respective forms, such as checklists and audit reports.

The audit team shall communicate the audit findings during the audit to the auditee. In case of any non-conformity identified and acknowledged by the auditee, correction, corrective actions and the target dates can be mutually agreed at the same time.

Upon completion of the audit, the audit team shall conduct a close out meeting with the auditee to communicate the audit findings.

#### 4.5. Internal Audit Reporting

On the basis of the audit findings, and on completion of the audit, the lead auditor shall generate a first draft of the audit report. The report shall be submitted to the Department Manager, process owner and KAUST H&S Manager. The Department Manager will have seven (7) working days from the draft report issuance date to respond. The lead auditor shall incorporate agreed changes into the final audit report. No unauthorized changes are allowed to KAUST audit reports.

The final internal audit report may contain identified nonconformities (major and/or minor and /or potential) that require corrective, good practices observed, areas within the audit scope not covered, root causes, and recommendations for improvement. The audit report will document when only a correction is required to close-out an audit-nonconformity. Corrective and correction actions are undertaken according to the Procedure for the Management of Nonconformities and Corrective Actions.

Obstacles and diverging opinions will be captured in the internal audit report, which shall be escalated to the KAUST H&S Manager for resolution. Further escalation may become necessary.

Below is the description of major and minor non-conformity.

Nonconformity	Description
Major	<ul style="list-style-type: none"> <li>• A failure of the OH&amp;SMS to address a specified requirement of the standard.</li> <li>• A frequent or purposeful failure to follow a specified requirement written in the OH&amp;SMS.</li> <li>• A failure to achieve a fundamental aim of the OH&amp;SMS system requirement.</li> <li>• Failure to achieve legal or statutory requirements.</li> <li>• Multiple minor nonconformities within the same requirement of the OH&amp;SMS.</li> <li>• A purposeful failure to correct a nonconformity.</li> <li>• A minor non-conformity that is persistent (or not corrected as agreed by the organization) shall be up-graded to a Major finding.</li> <li>• Recommendations to be implemented as a priority 1 action.</li> </ul>
Minor	<ul style="list-style-type: none"> <li>• An isolated incidence where a requirement has not been fulfilled.</li> <li>• Recommendations to be implemented as a priority 2 action.</li> </ul>
Potential	<ul style="list-style-type: none"> <li>• A potential non-conformity is a finding without a clear reference to a standard requirements, or a finding without clear evidence.</li> <li>• Recommendations for improvement will be issued if the process meets the minimum requirements, but can be improved based on the experience and knowledge of the auditor, or it is best practice within the sector or a similar organization that has been audited.</li> </ul>

#### 4.6. Follow-up Activities

As soon as the corrections, corrective actions and target dates are mutually agreed, the management for the area audited shall ensure that any necessary correction and corrective actions are effectively implemented without undue delay.

The maximum time limits to be given for the closure of the non-conformities should not exceed 90 (ninety) days. When situations arise beyond the control of KAUST, such as a pandemic, for example, the 90-day close-out period may be extended at the recommendation of the KAUST H&S Manager and the discretion and approval of the Director HSE. If the non-conformity is not closed out within the agreed time frame, it shall be escalated to the KAUST HSE Director who will further decide the course of action within the respective procedural boundaries.

The lead auditor shall track the internal audit findings using a KAUST approved tracking and closing system. Corrective and correction actions shall be verified and tracked to closure. Completed corrective and correction actions may be verified by KAUST H&S to ensure the effectiveness of actions taken at agreed times with the Department Manager. A decision regarding action closure or rejection of closure will then be made.

### Inspections

Periodic inspections shall be conducted by the H&S Manager and/or his/her delegate as per the approved annual inspection schedule. Unlike internal audits, prior notification of inspections may be given to the Department Manager/Head, but are not mandatory. The inspection shall be conducted by walking through the facility and observations shall be documented based on procedural noncompliance and facility risk assessment.

The corrective action plan shall be uploaded to a KAUST approved system, and tracked to closure.

Service Providers and Contractors are required to have their own defined process for annual inspection and audit plans. The plan must show frequency and location of audits and inspections, and the criteria for the identification, reporting and tracking of corrective actions.

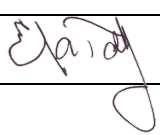
## 5. Managing Records Kept On The Basis Of This Document

Record name	Document No	Storage		Responsibility
		Retention time	Location	
Annual Program of Internal Audits	HSE-OHSMS-PR04-F01	3 years	SharePoint	H&S Manager
Internal Audit Plan	HSE-OHSMS-PR04-F02	3 years	SharePoint	H&S Manager
Internal Audit Checklist	HSE-OHSMS-PR04-F03	3 years	SharePoint	H&S Manager
Internal Audit Report	HSE-OHSMS-PR04-F04	3 years	SharePoint	H&S Manager
Annual Program of Internal Inspection	HSE-OHSMS-PR04-F05	3 years	SharePoint	H&S Manager
Inspection Checklists	See the List of Internal Documents	3 years	SharePoint	H&S Manager
Inspection Report	HSE-OHSMS-PR04-F09	3 years	SharePoint	H&S Manager

Only the H&S Manager can grant other employees access to the records.

## Procedure for Management Review

### Approval

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January 2018	00	Natashia Fourie	Draft for Comments.
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April 2019	02	Natashia Fourie	Removed reference to management representative.
Nov 2020	03	Natashia Fourie	Update to Reference Documents

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## 1. Purpose, Scope and Users

The purpose of this procedure is to ensure the systematic and periodic review of the Occupational Health & Safety Management System (OH&SMS) by KAUST Senior Leadership Team in order to evaluate possibilities for improvement and needs for changes, including the H&S Policy and OH&S Objectives, Targets and Programs.

Users of this document are KAUST HSE and the Occupational Health and Safety (OH&S) Steering Committee members

## 2. Reference Documents

- KAUST OH&SMS Manual
- KAUST H&S Policy
- Procedural Forms as mentioned in the List of Internal Documents

## 3. Roles and Responsibilities

### 3.1. KAUST Health and Safety Department

1. Perform regular reviews and updates, and communicate the requirements of this procedure.
2. Provide advice and guidance on matters related to this procedure.
3. Ensure correct implementation of the procedure through periodic inspection and audits.

### 3.2. Relevant Departments

1. Comply with the requirements of the procedure.
2. Ensure communication of the procedure to staff, facility operators and contractors.
3. Put in-place local work instructions and management practices to ensure compliance with procedural requirements.
4. Assist the HSE Department, including carrying incidents and noncompliance investigations.
5. Report any non-compliance with the procedure, as well as incidents and associated corrective actions to HSE on time.
6. Maintain records related to the procedure for a minimum of three years, and records available to HSE upon request.

## 4. Conducting Management Review

### 4.1. Management Review Frequency and Scheduling

The management review meeting shall be conducted once a year in conjunction with the Steering Committee meeting. More specific management review meetings (activity, policy, procedure, etc.) may be organized as a result of, for example, major incidents, non-conformity events/activities identified as a result of internal/external audits.

The objective of the review will be to ensure continued improvement of the OH&SMS:

- a) *Suitability* – The quality of having properties that are right for the specific purpose. The OH&SMS should be able to sustain the current performance levels of the organization, utilizing an acceptable amount of organizational resources.
- b) *Adequacy* – Sufficient to satisfy a requirement or meet a need. An Occupational Health & Safety Management System should be capable of satisfying applicable requirements, including those specified by the organization, the customer, and any applicable standards and/or regulations.
- c) *Effectiveness* – Adequate to accomplish a purpose; producing the intended or expected result. An Occupational Health & Safety Management System should enable the organization to meet its own needs, those of other interested parties.

## 4.2. Management Review Methods

The management review can be conducted in the following ways:

- Meetings with previously defined agenda, proceedings, and formally determined actions;
- Phone or internet conference;
- Partial reviews of different levels in the organization, with reporting to top management who conducts the final review according to gathered data; and
- Considering elements that provide a global view of the system, instead of considering minor and irrelevant problems.

## 4.3. Management Review Meeting

The management review meeting venue shall be organized by the H&S Manager, chaired by the HSE Director and attended by the Steering Committee. The H&S Manager in consultation with HSE Director and other departments shall prepare a meeting agenda. The management review shall include consideration of:

### 4.3.1. Review Input

At a minimum, the agenda for the meeting shall include but not limited to the following:

- a) The status of actions from previous management reviews. Items that are not completed are carried on as continuing actions and are recorded as such in the minutes.

Changes in external and internal issues that are relevant to the OH&SMS;

- b) The extent to which the H&S Policy and the OH&S Objectives have been met;
  - Objectives that have been achieved may either be upgraded to a higher performance level, or be closed out to free resources for improvement in another area.



- When objectives are not achieved on time, causes for failing to achieve the objectives must be identified.
  - Depending on the nature of the objective and causes for failure to achieve it, Senior Management may decide to drop the objective, reduce its scope or level, reassign responsibilities and/or allocate additional resources, or extend the due date for achieving the objective.
  - Any decisions regarding OH&S objectives are recorded in the minutes of the review.
  - New objectives are established where it is necessary to improve performance in order to fulfill the H&S Policy or other organizational goals or aspirations.
  - New objectives are documented in the minutes of the review.
- c) Information on the OH&S performance, including trends in:
- Incidents, nonconformities, corrective actions and continual improvement;
  - Monitoring and measurement results;
  - Results of evaluation of compliance with legal requirements and other requirements;
  - Audit results;
  - Consultation and participation of workers;
  - Risks and opportunities
- d) Adequacy of resources for maintaining an effective OH&SMS;
- e) Relevant communication with interested parties;
- f) Opportunities for continual improvement.

The Management Representative presents data demonstrating progress toward achieving continual improvement goals, and reviews current and completed improvement projects.

#### 4.3.2. Review Output

The outputs of the management review shall include decision related to:

- a) The continuing suitability, adequacy and effectiveness of the OH&SMS in achieving its intended outcomes;
- b) Continual improvement opportunities;
- c) Resources needed;
- d) Actions, if needed;
- e) Opportunities to improve integration of the OH&SMS with other business processes;
- f) Any implications for the strategic direction of the organization.

#### 4.3.3. Record Keeping

The outcome of the review meeting shall be recorded in the Management Review meeting minutes. The report shall be prepared by the H&S Manager and distributed to the Steering Committee

members and other relevant management personnel. Management shall communicate the relevant outputs of management review to workers and interested parties.

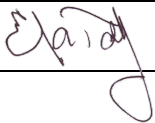
## 5. Managing Records Kept on the Basis of this Document

Record name	Document No	Storage		Responsibility
		Retention time	Location	
Management Review Minutes	HSE-OHSMS-PR05-F01	3 years	SharePoint	H&S Manager
Annual Health and Safety Plan	HSE-OHSMS-PR05-F02	3 years	SharePoint	H&S Manager
Annual Departmental Health & Safety Objectives	HSE-OHSMS-PR05-03	3 years	SharePoint	H&S Manager
Record of Attendance	HSE-OHSMS-PR01-F02	3 years	SharePoint	H&S Manager

Only the H&S Manager can grant other employees access to the records.

## Procedure for the Management of Nonconformities and Corrective Actions

### Approval

Procedure Title:	Procedure for the Management of Nonconformities and Corrective Actions
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April 2019	02	Natashia Fourie	Removed reference to preventative action, and added clarification to non-compliance identification.
Nov 2020	03	Natashia Fourie	For Approval as Result of Planned Review.

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## 1. Purpose, Scope and Users

The purpose of this procedure is to describe all activities related to the identification of nonconformities, reporting, implementation and keeping of records of corrections, as well as corrective actions.

This procedure is applied to all processes and/or areas in KAUST within the Occupational Health and Safety Management System Manual (OH&SMS).

Users of this document are KAUST employees, service providers and contractors.

## 2. Reference Documents

- KAUST OH&SMS Manual
- Internal Audit and Inspection Procedure
- Procedure for Incident & Near-Miss Reporting and Investigation
- Suspension of Operations Procedure for Violation of Health and Safety and Environmental Requirements

## 3. Roles and Responsibilities

### 3.1. HSE Director

The HSE Director is responsible for approving this procedure.

### 3.2. Health and Safety Manager

The Health and Safety (H&S) Manager is responsible for identifying the potential and actual non-compliance events/activities. The H&S Manager, in consultation with Department Manager, may propose suitable corrective actions to remedy non-compliant events/activities. The KAUST H&S Manager will escalate overdue corrective actions to the relevant KAUST Director.

### 3.3. Department Manager

The Department Manager shall identify the root cause of non-compliance event/activity and develop a corrective action plan. He/she shall be responsible for ensuring the timeliness and completeness of the corrective action taken, as agreed upon in the implementation plan.

## 4. Managing Nonconformities and Corrective Actions

### 4.1. Non Compliance Identification and Investigation

#### 4.1.1. Non Compliance Identification

A nonconformity is any failure to meet the requirements of the standards, internal documentation, regulations, contractual and other planned arrangements of the OH&SMS. Nonconformities can be identified during:

- An internal or external audit;
- Management Review;
- After incidents;
- Inspections;
- Complaints;
- During normal business operations; and
- Any other occasion.

The identified non-compliance events/activities shall be communicated to the concerned personnel in accordance with the 'Internal Audit and Inspection Procedure' or using a KAUST approved system so that the Department Manager/Head can take action to control it, contain it, correct it, and to deal with its consequences.

Following the identification of non-compliance events/activities, the Department Manager/Head shall identify the root cause of noncompliance. The root cause identification study shall aim at identifying the main factor that resulted in non-compliance as well as providing suitable and effective corrective actions for remedying the consequences and preventing recurrence of the non-compliance.

#### 4.2. Corrective Action

A corrective action may be suggested by any employee or (where appropriate) contractor, supplier, or outsourcing partner of the organization. A corrective action must be based on the root cause study and may require that changes be made to any document, process, or arrangement within the OH&SMS. All corrective actions taken to eliminate the causes of the non-compliance events/activities shall be appropriate to the magnitude of the non-compliance event.

In case of new or changed hazard or need for new or changed control, the Department Manager/Head will ensure that corrective or preventive action is taken through risk assessment prior to implementation.

Corrective action control must consider the Hierarchy of Control and be appropriate to the consequences of occurred non-conformities that can have a negative influence on the OH&SMS performance and OH&S performance. Corrective action may involve enforcing standards and taking the necessary action to regulate and improve methods. The Hierarchy of Control requires to first eliminate the hazard, and where it is not feasible to do so, to consider substitution, engineering control, administrative controls and personal protective equipment.

By reviewing corrective actions, the Department Manager/Head ensures that consequences of the corrective action don't have a negative influence on other parts of the system.

#### 4.3. Implementation of Corrective Actions

The Department Manager/Head shall designate a responsible person for the implementation of the corrective actions identified. The person responsible for the implementation shall report to the Department Manager/Head upon completion of each action. In case of any difficulty encountered during the implementation, the responsible person shall inform the Department Manager/Head as well as the KAUST H&S Manager. Corrective actions shall be tracked to closure.

The following steps are recommended to implement a corrective action:

Step	Person responsible for implementation
1. Reviewing of nonconformity.	Department Manager, together with activity owner where nonconformity occurred.
2. Defining the scope of nonconformity by identifying all processes and activities affected by nonconformity.	Department Manager, together with activity owner where nonconformity occurred.
3. Taking containment actions that immediately correct nonconformity or prevent recurrence.	Department Manager designee.
4. Identifying the root cause of nonconformity.	Department Manager
5. Deciding if it is needed to initiate corrective action depending on complexity of nonconformity.	Department Manager
6. Planning corrective action.	Department Manager designee responsible for the area or activity where the nonconformity was identified.
7. Implementing corrective action.	Department Manager designee responsible for the area or activity where the nonconformity was identified.

#### 4.4. Verification

When the corrective actions are completed, the Department Manager shall notify the KAUST H&S Manager to verify the completeness by conducting a corrective action review. If it's needed, a new corrective action may be initiated. The verification process can be performed by, for example, site inspection, internal audits, photos and Management Review sessions.

Upon verification, the KAUST H&S Manager shall update the OH&S Nonconformity Register with corrective actions taken and close the corrective action request. Moreover, the KAUST H&S Manager and Department Manager shall determine the need for training of all concerned personnel.

Effectiveness of corrective actions must be reviewed during the internal audit.

#### 4.5. Communication

The KAUST H&S Manager shall communicate all completed actions that resulted in the non-conformance to the appropriate Department Manager.

### 5. Managing Records Kept On The Basis Of This Document

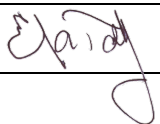
Record name	Document No	Storage		Responsibility
		Retention time	Location	
Nonconformity Tracking Register	HSE-OHSMS-PR06-F01	3 years	SharePoint	H&S Manager

Only the KAUST H&S Manager can grant other employees access to the records.



## Procedure for Hazard Identification and Risk Assessment

### Approval

Procedure Title:	Procedure for Hazard Identification and Risk Assessment
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Nov 2020	03	Natashia Fourie	For Approval as Result of Planned Review

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## 1. Purpose, Scope and Users

The purpose of this procedure is to define the methodology of hazard identification, risk assessment, and management of change regarding the Occupational Health & Safety Management System (OH&SMS), and establishing controls for risks that may affect employees' occupational health and safety in KAUST or other employees, visitors, or other people in the work place within the scope of the OH&SMS.

This procedure is applied to all work places within the scope of the OH&SMS.

Users of this document are all employees KAUST within the scope of the OH&SMS.

## 2. Reference Documents

- KAUST OH&SMS Manual
- Competence, Training and Awareness Procedure
- Procedure for Identification and Evaluation of Legal and Other Requirements
- Procedure for the Management of Non-Conformities and Corrective Actions

## 3. Roles and Responsibilities

### 3.1. HSE Director

The HSE Director is responsible for ensuring that a process for Health and Safety (H&S) risk management is implemented and evaluated for effectiveness. Also, to ensure that adequate tools and resources are provided for effective implementation of this procedure.

### 3.2. Health and Safety Manager

- Ensuring that a risk management process is implemented in all work places within the scope of the OH&SMS.
- Defining and communicating the responsibilities for and within the H&S risk management process.
- Assuring that the competence of H&S persons who apply the risk assessment matrix to the risk management process.
- Communicating and consulting with stakeholders to ensure that KAUST H&S risk management process remains relevant.
- Ensuring that legal and regulatory compliance are met.
- Approve the H&S risk assessment and hazard analysis process of Contractors and Service Providers.

### 3.3. Department Managers

- a) Have a risk assessment process carried out for routine and non-routine activities, covering all locations.

- Appoint or obtain a competent person to lead the risk assessment process or update the risk assessment document;
  - Document control measures associated with the identified hazards and risks; and
  - Provide business specific information and other resources required for the risk assessment.
- b) Review the risk assessment recommendations with the risk assessment competent person and agree a remedial action plan.
- Implement the remedial action plan;
  - Maintain control and recovery measures specified in the risk assessment;
  - Arrange exposure monitoring and medical surveillance where required.
  - Use the Hierarchy of Control when identifying and implementing hazard controls.
  - Communicate relevant risk assessment risks and controls to impacted staff.
- c) Review the risk assessment when changes to operations are proposed, and manage in accordance with the Management of Change process. Consider whether:
- The hazards and risks identified in the risk assessment are still present;
  - New hazards have been introduced;
  - The control and recovery measures are still appropriate.
- d) Update the risk assessment with new hazard information.
- e) Contractors and Service Providers will use a KAUST approved risk assessment and hazard analysis procedure.
- f) The Department Manager shall ensure that contractors and service providers under his or her authority has an approved written procedure for hazard identification and risk control which is aligned with the requirements of this procedure.

## 4. Hazard Identification and Risk Assessment

### 4.1. Definitions

- 4.1.1. Acceptable risk is a risk that has been reduced to a level that can be tolerated by KAUST taking into account legal obligations and the OH&S Policy. *When the probability of occurrence is almost non-existent, or the severity of consequence is slight, the risk level is at an acceptable level.*
- 4.1.2. As low as reasonably practicable (ALARP). The ALARP principle is that the residual risk cannot further be reduced, and can be tolerated by KAUST without expenditure of cost disproportionate to the benefit gained or where the solution is impractical to implement.
- 4.1.3. A hazard is a source with a potential to cause injury and ill health.
- 4.1.4. Corrective action is an action taken to eliminate the cause of the detected nonconformity or other undesirable situation.
- 4.1.5. Competence is the ability to apply knowledge and skills to achieve intended results.
- 4.1.6. Hazard identification is the process of recognizing that a hazard exists and defining its characteristics.
- 4.1.7. OH&S risk is a combination of the likelihood of a work-related hazardous event(s) or exposure(s), and the severity of injury or ill health that can be caused by the event or exposure.

- 4.1.8. Risk assessment is the process of evaluating the risk(s) arising from a hazard, taking into account the adequacy of any existing controls, and deciding whether or not the risk(s) is acceptable.
- 4.1.9. Residual risk is the level of hazard that remains even after implementing effective control (protective) measures.

## 4.2. Methodology

- 4.2.1. Prepare for and set the scope (parameters) of the assessment and establish the level(s) of acceptable risk.
- 4.2.2. Identify tasks with that scope.
- 4.2.3. List the hazards associated with those tasks.
- 4.2.4. Assess the initial risk.
- 4.2.5. Take steps to reduce that risk following the hierarchy of controls.
- 4.2.6. Assess the residual (remaining) risk.
- 4.2.7. Repeat the iterative process until acceptable risk has been achieved.
- 4.2.8. Document the risk assessment.
- 4.2.9. Validate the solution (s).

## 4.3. Hazard identification and risk assessment

- 4.3.1. The following group of hazards must be considered during hazard identification and risk assessment:
- Mechanical hazards emerging from using tools
  - Hazards related to characteristics of the work place
  - Hazards related to use of electrical power
  - Hazards related to use of dangerous substances
  - Biological hazards
  - Physical hazards
  - Chemical hazards
  - Ergonomic hazards
  - Hazards related to physical exhaustion
  - Hazards emerging during work
  - Hazards related to work organization
  - Other hazards emerging in the work place
- 4.3.2. Use the risk assessment matrix (RAM) for performing H&S risk assessments. Conduct a risk analysis of each hazard by applying the risk assessment matrix (RAM). The three colored areas describe the level of control required to the manage risk.

## Risk Assessment Matrix (RAM)

SEVERITY	CONSEQUENCES				INCREASING LIKELIHOOD				
	People	Assets	Environment	Reputation	A	B	C	D	E
					Never heard of in the Industry	Heard of in the Industry	Has happened in KAUST or more than once a year in Industry	Has happened in the Department, or more than once a year in KAUST	Has happened more than once a year in the Department
0	No injury or health effect	No damage	No effect	No impact					
1	Slight injury or health effect	Slight damage	Slight effect	Slight impact					
2	Minor injury or health effect	Minor damage	Minor effect	Minor impact					
3	Major injury or health effect	Moderate damage	Moderate effect	Moderate impact					
4	PTD or up to 3 fatalities	Major damage	Major effect	Major impact					
5	More than 3 fatalities	Massive damage	Massive effect	Massive impact					

4.3.3. Use the descriptions below to describe the effect on people:

Consequence level	Explanation
Slight Injury or health effect	Reversible injury requiring only simple medical treatment with no confinement. No lost work time.
Minor injury or health effect	A permanent injury that does not significantly impact upon the enjoyment of life, or a reversible injury, either of which requires medical treatment. The person is able to return to the same job.
Major injury or health effect	Permanent and nonreversible injury significantly impacting the enjoyment of life, and which may require continued medical treatment, but person is able to return to work at some point.
PTD or fatality	Death or seriously debilitating long-term injury, such as multiple amputation or coma, where a person is unable to return to work.

#### 4.4. Safeguarding the Hazard – Application of the Hierarchy of Control

4.4.1. The four areas describe the level of control required to manage risk:

Blue	Manage for continuous improvement through the effective implementation of the OH&SMS.
Yellow	Perform detailed risk assessment and Identify and implement controls and recovery measures to reduce risk to ALARP.
Red	Perform detailed risk assessment and Identify and implement protective measures to reduce the risk to ALARP, and provide a documented demonstration of ALARP.

4.4.2. Controls for identified yellow and red hazards are recorded in the Hazard Risk Register. The purpose of controls is to decrease the consequences or probability in a way that will reduce risk to ALARP.

4.4.3. Use the ALARP decision tree to demonstrate ALARP:

ALARP Question	ALARP Decision	ALARP Action
Can the hazard be eliminated?	If yes, is elimination practicable?	If yes, corrective action is elimination. Transfer action to corrective action table.
Can the hazard be substituted with a less hazardous agent?	If yes, is substitution practicable?	If yes corrective action is substitution. Transfer action to corrective action table.
Can the agent be isolated to reduce the risk?	If yes, is isolation practicable?	If yes corrective action is isolation. Transfer action to corrective action table.
Can engineering controls be used to reduce the risk?	If yes, are engineering controls practicable?	If yes corrective action is engineering controls. Transfer action to corrective action table.
Can procedural controls be used to reduce the risk?	If yes, are procedural controls practicable?	If yes corrective action is procedural controls. Transfer action to corrective action table.
Can personal protective equipment be used to reduce the risk?	If yes, is PPE the only practicable control option in the long term?	If yes, corrective action is PPE. Transfer action to corrective action table. If no then repeat the assessment of achieving ALARP starting at the top (elimination).

4.4.4. **The following priority must be established in application of controls:**

- **Risk elimination** – e.g., changes in work place (design for minimum hazard and introduce equipment that will decrease the risk level). This is the preferred option.
- **Substitution** – e.g., replacement of toxic materials with less hazardous substances, or decrease of energy in the system (temperature, pressure, etc.).
- **Engineering controls** – control of installations, ventilation, equipment maintenance, etc.
- **Signalization/warnings/administrative controls** – safety signs, labeling hazardous areas, photo-luminescent signs, access control, working permits, and/or safety procedures and instructions.
- **Personal protection equipment** – protective goggles, helmet, protective clothes and shoes, antiphons, glows, etc. This is the least-desired option because the risk still exists.  
*Use a combination of control options when no single method fully protects exposed populations.*

#### 4.5. Review (monitoring)

**4.5.1. *The intent is that the risk assessment is an evergreen document, meaning that there is no fixed review period. In addition to having a planned review schedule, a review must be initiated when:***

- There is reason to suspect that the previous assessment is no longer valid;
- New hazards have been introduced (such as when new processes or equipment are introduced);
- A change in status is noticed from ongoing monitoring;
- Facilities are modified;
- New chemicals are introduced;
- New equipment are purchased and installed;
- When new health and safety information is received;
- Maintenance or construction activities are planned that may expose other workers to hazards.

**4.5.2. *During the review, consider whether:***

- The H&S hazards and risks initially identified are still valid.
- The precautionary or control measures are still valid.

**4.5.3. *In case of change of hazard significance and control effectiveness, the Procedure for the Management of Non-Conformities and Corrective Actions will be applied.***

#### **4.6. Management of change related to OH&SMS**

Changes related to the OH&SMS in KAUST can be internal and external.

##### **4.6.1. Internal changes**

Internal changes in KAUST can be, but are not limited to:

- Staff changes
- Changes in process, work instructions, and materials

##### *Staff changes*

These changes are the result of hiring new employees, internal fluctuation, or changes in organizational structure. According to the Competence, Training and Awareness Procedure, employees must be familiar with duties defined for their work place, as well as with protection measures.

##### *Changes in process, work instructions, and materials*

These changes are reviewed prior to their implementation, through identifying hazards, assessing the risks, and suggesting preventive actions.

##### **4.6.2. External changes**

External changes occur as a result of:



- Changes and/or amending legislations
- Development of OH&S knowledge and technologies

Changes and/or amendments in legislations are monitored according to the Procedure for Identification and Evaluation of Legal and Other Requirements.

In order to improve the OH&SMS and risk control, information about development of knowledge and technologies regarding OH&S are gathered by the Management team from the following sources:

- Specialized magazines
- Professional conferences inside or outside KAUST (classes, seminars, trainings, etc.)
- External communication – exchange of information with other companies

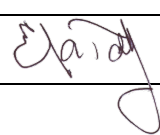
## 5. Managing Records Kept On The Basis Of This Document

Record name	Document No	Storage		Responsibility
		Retention time	Location	
Hazard Register & Risk Assessment	HSE-OHSMS-PR07-F01	3 years	SharePoint	H&S Manager

Only the KAUST H&S Manager can grant other employees access to the records.

## Procedure for Operational Control

### Approval

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## 1. Purpose, Scope and Users

The purpose of this document is to define the process of determining, documenting, and conducting control of operations according to the hazard control hierarchy related to significant hazards in the work place, Health and Safety (H&S) Policy, and OH&S Objectives of KAUST.

This document is applied to all activities of KAUST within the scope of the Occupational Health & Safety Management System (OH&SMS) where significant occupational health and safety hazards emerge.

Users of this document are KAUST employees, service providers and contractors.

## 2. Reference Documents

- KAUST Health and Safety Policy
- KAUST OH&SMS Manual
- KAUST Traffic and Vehicle Safety Policy
- Procedure for Risk Assessment and Hazard Identification
- Procedure Management of Change (MOC)
- SOP Confined Space Entry and Gas Testing
- SOP Work Permit
- SOP Work Permit Training
- SOP for Contractor Health and Safety
- SOP for Isolation Lockout and Use of Hold Tags Process
- SOP for KAUST Driving Permit and Training Program
- SOP for First Aid Training Program

## 3. Roles and Responsibilities

### 3.1. HSE Director

Establish and maintain governance over the implementation of the KAUST OH&SMS.

### 3.2. Health and Safety Manager

The Health and Safety (H&S) Manager is responsible for monitoring KAUST OH&S performance and leading OH&S continuous improvement plans.

### 3.3. Directors and Department Managers

In addition to the responsibilities outlined in this document, Department Managers are also responsible to:

- 3.3.1. Know the OH&S risks associated with his/her business and how they are managed.
- 3.3.2. Demonstrate visible leadership and through measurable actions, such as planning and making worksite visits to engage with staff.
- 3.3.3. Lead and participate actively in OH&S meetings.

- 3.3.4. Motivate, coach and develop his/her personnel in effective OH&S management.
- 3.3.5. Hold individuals accountable for their OH&S behaviors and performance.
- 3.3.6. Including OH&S responsibilities in plans, procedures, job descriptions, individual tasks and targets.
- 3.3.7. Establish and maintain processes, and allocate resources (people, equipment, materials, information and time) needed to implement the KAUST OH&SMS and comply with regulatory requirements.
- 3.3.8. Comply with legal and other requirements.

## 4. Operational Control

The operation control is a set of applied technical solutions and/or procedures, working instructions, and working criteria of KAUST and its Contractors for control of an activity, product, or service, equipment and working environment in work places with identified hazards.

Department Managers/Heads, according to the Risk Assessment Report, identifies for each work place the need for control of operations that could significantly impact OH&S, and creates appropriate documents (SOPs, working instructions, diagrams, working criteria, etc.) necessary to avoid deviations from the H&S Policy and OH&S Objectives.

KAUST shall ensure that all hazards are identified and documented, and that required control measures necessary for risk mitigation are identified and documented.

### 4.1. Operation Control in Purchasing

Suppliers providing material and services to KAUST must follow legal and other requirements regarding delivery of tools, equipment, and material and appropriate documentation.

Service and material suppliers are required to provide SDS lists (Safety Data Sheets or list of dangerous materials) in electronic or paper form for the following materials:

- Chemicals
- Fuels and lubricants
- Gases
- Paints and varnishes
- Paint thinner, dissolvers
- Means for etching and degreasing
- Hygiene substances
- Office supply labeled as dangerous matter
- Antifreeze and glycol

For other materials, the supplier must notify KAUST if it contains any dangerous components.

Organizations that perform a design process for KAUST must be required through contracts to follow legal and other requirements related to OH&S in the design process.

KAUST H&S Manager is responsible to inform contractors about the reporting procedure in case of OH&S accidents and incidents. Contractors are required by contract to follow OH&S rules and regulations adopted by KAUST.

#### 4.1.1. Selection, Evaluation, Re-evaluation and Control of Suppliers and Contractors according to OH&SMS

##### 4.1.1.1. Selection and Evaluation

All Contractors and Suppliers providing equipment, materials or services to KAUST shall be subject to evaluation by the relevant Department Manager/Head and KAUST H&S Manager prior to contract award. The level of evaluation shall be appropriate to the risks associated with the equipment, materials or services provided. Pre-qualifications may be performed prior to tender or at the time of tender, whichever is more feasible. Methods of pre-qualification may include:

- Questionnaires
- Visits to locations of current operations;
- Visits to premises and or facilities detailed in bid proposals;
- Results of evaluations conducted at the close of prior contracts with the same contractor;

Short listed contractors and suppliers shall be those that are most likely to perform the work safely, economically and technically correct with minimum supervision and in a timely manner.

Contractor health and safety requirements and job specific HSE requirements will be included in the contractual agreement.

**Criteria for selection and evaluation may include, but are not limited to:**

Symbol	Criteria	Range of Points
<b>CO</b>	Certified OH&SMS	from 0 to 20
<b>WI</b>	Work injuries	from 0 to 25
<b>T</b>	Transport vehicles	from 0 to 20

##### CO – Certified OH&SMS

Points	Description
20	Organization has a certified OH&SMS and established even stricter requirements compared to international OH&S management systems.
10	Organization has a certified OH&SMS.
5	Organization doesn't have a certified OH&SMS, but acts according to international OH&S management systems.
0	Organization doesn't have a certified OH&SMS and doesn't act according to international OH&S management systems.

*WI – Work injuries*

Points	Description
25	There have been no work injuries in last 5 years.
15	There were some minor injuries that didn't require medical attention.
10	There were some minor injuries and medical attention was given on the spot.
5	There were injuries that required hospitalization.
0	There were injuries that led to death.

*T – Transport vehicles*

Points	Description
20	Transport vehicles are completely adapted, properly labeled and used for transport of hazardous matters.
10	Transport vehicles are adapted to transport of hazardous matters, but are also used for other purposes.
5	Transport vehicles are partially adapted to hazardous matters transport – they are only leakage proof.
0	Transport vehicles are not adapted to hazardous matters transport – there is a possibility of losing hazardous materials.

## 4.1.2. Rating

Rank	Description	Points
A	Exceptional	>50
B	Acceptable	40-50
C	Acceptable with further testing	30-40
D	Unacceptable	Less than 30

**4.1.2.1. Control**

Contractor and supplier H&S performance shall be monitored during the contract by Department Managers and the H&S Manager. Monitoring shall be done by audits, inspections and observations frequent enough to verify compliance. Results will be communicated to the contractor or supplier.

The frequency of the reviews will be determined by the nature of the work and associated risk level. High risk operations will require more frequent reviews.

#### **4.1.2.2. Re-evaluation**

The Department Manager and H&S Manager should complete an H&S Performance Evaluation at the end of the job or expiration of the contract. The H&S performance aspects that may be considered include but is not limited to:

- HSE performance with regard to contractual requirements;
- Injuries/illness and incident occurrences; and
- Training conducted or received;
- Citations and/or rewards received.

### **4.2. Control of Operations in Warehousing Process**

The Department Manager (Procurement, Supply Chain) is responsible to provide safe conditions for storage materials that are considered to be hazardous and may affect occupational health and safety, using SDS (Safety Data Sheets) lists and/or manufacturer instructions.

The Department Manager must identify and ensure that dangerous materials are labelled and secured from unauthorized access.

In case of transfusion or repackaging of dangerous materials, the Department Manager shall ensure that additional equipment, measuring equipment, and appropriate protection are provided as needed.

### **4.3. Equipment Calibration**

The Department Manager is responsible for maintaining equipment in line with a written procedure, the manufacturer's recommendations, and making arrangements for equipment repair where needed. He/she is responsible for maintaining and periodic checking of records regarding calibration, and repairs, and to ensure that personnel who operate measurement equipment, are competent to do so.

### **4.4. Customers and Visitors**

The KAUST HSE Director is responsible to define the customer and or visitor's obligations to follow established rules of occupational health and safety while on KAUST premises or while using KAUST resources or while conducting KAUST business.

### **4.5. Control of Operations in Design and Projects**

Department Managers are responsible for including occupational health and safety requirements in design and development inputs that contain, but are not limited to:

- Selection of raw materials;
- Changes in technology, processes, and activities in order to decrease OH&S hazards;
- Human factors engineering;



- Legal requirements;
- OH&S risk management throughout the life cycle of the project;
- Potential liabilities from OH&S risks; and
- Identifying and engaging with interested parties.

KAUST Health and Safety Department shall ensure that the department who is responsible for overseeing construction work in KAUST has an effective system in place to manage contractor safety, and this shall be verified within the following limitations:

- That a selection process is implemented prior to contract award;
- KAUST health and safety requirements are included in the contractual requirements that include the KAUST HSE and the KAUST Vehicle and Traffic Safety Policies;
- Health and safety induction that includes the KAUST HSE Policy is provided to the workforce before work starts;
- A written program for site inspections is available and implemented;
- A system to track corrective actions is implemented; and
- Incident investigations are conducted following KAUST approved procedures.

*KAUST Health and Safety will recognize Contractor companies that show good H&S performance*

#### 4.6. Control of Vehicle and Traffic Safety

Department Managers are accountable for:

- Challenging the need for people to drive.
- Ensuring that drivers of KAUST owned or contracted vehicles have a current driving license that is valid for the location and vehicle and where applicable, the cargo.
- Ensuring vehicles used for KAUST business are equipped with seatbelts and anti-lock braking systems and airbags.
- Ensuring drivers and passengers use seatbelts and vehicle safety devices, such as air bags, are not tampered with.
- Instructing and ensuring that personnel do not make a call or answer a hand-held mobile phone or send or read a text message while driving a vehicle. Hands-free devices can be used whilst driving only when road and traffic conditions are assessed as being safe to do so.
- Maintaining and equipping KAUST owned, contracted or leased vehicles so that they are fit for purpose, kept in safe working order in line with manufacturer's specifications and local legislative requirements and equipped as described above.
- Ensuring their staff adhere to KAUST driving rules and regulations as stipulated in the KAUST Traffic and Vehicle Safety Policy.

#### 4.7. Hazard Identification and Risk Assessment

Department Managers are accountable for:

- Identifying and document OH&S hazards in their areas of responsibility.
- Assess and document the risk of identified hazards.
- Identify and implement corrective and preventive measures to reduce risks to As Low as Reasonably Practicable (ALARP).
- Review hazards and risks and maintain documentation.

#### 4.8. Control of Working at Heights

Department Managers are accountable for:

- Control work at height in line with task specific Permit to Work, applicable work impact checklist, risk assessment and method statement.
- Determine whether the work can be done in a way that better controls the risk of a fall by applying the Hierarchy of Controls.
- Assure the competence of persons:
  - Responsible for the inspection of fall protection equipment;
  - Who use fall protection equipment; and
  - Who construct, put in place, or inspect temporary work platforms.
- Build, operate, inspect and maintain scaffolds, mobile work platforms and equipment for lifting people in line with internationally recognized standards.
- Chain or rope ladders are prohibited unless all other means of accessing the work area have been considered and are not possible. If a chain or rope ladder is used, also use an inertia fall arrester.
- Ensure that a competent person do a periodic inspection in line with the manufacturers recommendations. Fall protection and ladders that fail inspections are not allowed to be used.
- Tie off 100% of the time when wearing personal fall protection equipment.
- Determine the method(s) that will be used to rescue people who have fallen, are suspended in a harness and could develop suspension trauma.
- Follow procedures approved by KAUST for working at height.

#### 4.9. Excavation Work

Department Managers are accountable for:

- Control excavation work in line with task specific Permit to Work, task specific risk assessment and method statement.
- Apply the Hierarchy of Controls:
  - ⇒ Eliminate the need for excavation by applying trenchless technology;
  - ⇒ Apply maximum allowable slopes or benching; and
  - ⇒ Use shoring or trench shields.
- Apply confined space work when working in a confined space.
- Follow procedures approved by KAUST for excavation work.

#### 4.10. Hot Work

Department Managers are accountable for:

- Control hot work in line with task specific Permit to Work, task specific risk assessment and method statement.
- Apply the following Hierarchy of Controls:
  - ⇒ Carry out work when the area is free of flammable materials or at a different place (outside of the area);
  - ⇒ Eliminate ignition sources by selecting alternative work methods or equipment;
  - ⇒ Implement controls to avoid co-existence of flammable materials and ignition sources during hot work.
- Ensure that people who operate, inspect and maintain equipment to be used for Hot Work are competent.
- Select, inspect and maintain equipment to be used for Hot Work.
- Establish and maintain procedures for special types of Hot Work, including:
  - Hot Work on lines or equipment that may still contain flammable materials;
  - Hot work in confined spaces.

#### 4.11. Lifting Operations

Department Managers are accountable for:

- Establish competence assurance for people who supervise or perform lifting operations, and who inspect and maintain lifting equipment.
- Apply procedures approved by an authorized subject matter expert, which must include the following:
  - For routine lifts develop general lifting procedures and control the hazards through a risk assessment process.
  - For non-routine, simple lifts:
    - Conduct a specific job hazard analysis, risk assessment and include a lift plan;
    - Assess site factors and define logistics, crane stability, and radius of operations;
    - Assess load factors to define load integrity and stability.
  - For non-routine complex lifts:
- Control Lifting Operations in line with task specific Permit to Work, task specific risk assessment and method statement.
  - Appoint a subject matter expert and develop a lifting plan and risk assessment;
  - Assess site factors and define logistics, crane stability and radius of operation;
  - Assess load factors to define load integrity and stability;
  - Provide the requirements for lifting of personnel;
  - Provide the requirements for performing blind lifts.
- Ensure that equipment to be used for lifting operations are inspected, maintained and certified.
- Check lifting equipment before all lifts and confirm that:

- Equipment is suitable for its intended purpose;
- Safety devices are installed and operational.
- Keep people clear of overhead loads and areas of potential impact.
- Assign a flagman when moving cranes near overhead objects/equipment, reversing or maneuvering in an area with plant, machinery or personnel.

#### 4.12. Personal Protective Equipment

Department Managers are accountable for:

- Apply the Hierarchy of Controls to manage personal protective equipment use.
- Verifying that personal protective equipment remains effective when the hazard, exposure or controls change.
- Ensure proper training, medical evaluation and fit testing where respiratory protective equipment is used.

#### 4.13. Safe Isolation – Lock Out Tag Out

Department Managers are accountable for:

- Control safe isolation in line with task specific Permit to Work, applicable work impact checklist, task specific risk assessment and method statement.
- Protect people from energy and hazardous substances by isolation of equipment, locking movable isolation devices and placing a tag at each point of isolation.
- Use Permit to Work and an isolation list to control work and to identify each point where locks and tags are to be applied.
- Establish and maintaining isolation and Lock Out Tag Out procedures.
- Apply the Hierarchy of Controls for isolation to protect people from energy and hazardous substances.
- Control isolation and placement and removal of locks and tags.
- Maintain keys used for isolation.
- Ensure that a device that is locked or tagged is not operated or energized.
- Advise the person names on the tag of any tag that has fallen off or is misplaced.
- Remove or return tags as specified by the Lock Out tag Out Procedure.

#### 4.14. Confined Space Work

Department Managers are accountable for:

- Control confined space work in line with task specific Permit to Work, task specific risk assessment and method statement.
- Identify confined space work and implement procedures to manage the risk of confined space work.
- Reduce risk by applying the Hierarchy of Controls.

- Verify that confined space work is isolated from all potential sources of hazardous material and energy.
- If contaminants or heat in the confined space can affect entrant's health, provide a plan for ventilation or other controls prior to entry, list the controls with the permit and verify that the controls are put into place.
- Include in the permit the controls required to manage the risks from any energy sources used inside the confined space.
- Verify that lightning in the confined space allows entrants to see well enough to work safely and to exit the space quickly in an emergency.
- Establish a rescue plan for recovering people from the confined space.
- Indicate the entry points to be used, and barricade or use signs at all other opening to prevent unauthorized entry.
- Station an attendant outside the confined space to control access and egress with a register and verify that the attendant is present at all times while entrants are in the confined space.
- Prevent unauthorized entry and take action if conditions change.

#### 4.15. Electrical Safety

Department Managers are accountable for:

- Control electrical safety work in line with task specific Permit to Work, task specific risk assessment and method statement.
- Appoint an authorized subject matter expert for electrical safety to develop and maintain electrical safety rules in line with internationally recognized standards and local legislation.
- Use only authorized persons to work on electrical equipment and to carry out assigned work.
- Use equipment or work instructions that control static electricity to prevent discharge or arc flash that could harm people or damage equipment.
- Control work on or near electrical equipment and provide safe isolation.
- Control electrical work in design and construction.

#### 4.16. Management of Change

The requirements to ensure the safe and effective change management process is defined in the KAUST Management of Change (MOC) Procedure.

#### 4.17. Pressure Systems

Control work on pressure systems in line with task specific Permit to Work, task specific risk assessment and method statement.

#### 4.18. KAUST Sponsored Events

The requirements below do not apply to routine events that are part of normal business activities including meals or restaurants.

-

- Identify and assess the risks associated with KAUST sponsored events and use the Hierarchy of Controls to identify and implement controls.
- Manage and have a documented risk assessment taking into account the following, as appropriate:
  - Transport to and from the event as well as during the event
  - Safety of the facility and equipment to be used
  - Catering
  - Security
  - Emergency response, equipment and first aid
- For events where a thousand or more attendees are anticipated, have an approved emergency response plan.

#### 4.19. Food and Drinking Water Safety

The requirements below apply to:

- Food and drinks prepared for routine consumption at KAUST facilities and operations
- Drinking water

Department Managers are accountable for:

- Applying Good Hygiene Practices to prevent contamination or spoilage of food and drinks including drinking water.
- Establishing and maintaining a food and drinking water safety management system in line with Hazard Analysis Critical Control Point.
- Including requirement for Good Hygiene Practices and Hazard Analysis Critical Control Point in catering contracts.
- Conducting inspections to monitor Good Hygiene Practices and key Hazard Analysis Critical Control Point controls.
- Reporting and investigate illnesses suspected to be caused by contaminated food, or drink including drinking water.

#### 4.20. Legionella

The requirements below apply to industrial and domestic water supply systems. It does not apply to food and drinking water safety.

The HSE Director is responsible to determine a monitoring and control program for Legionella in water systems at KAUST and in equipment at risk, and document results.

Department Managers are accountable for:

- Assess water systems and equipment for the risk of Legionella by applying risk assessment.
- Identify and document water systems and equipment that are potential sources of Legionella.
- Implement a Legionella management program.

#### 4.21. Hearing Conservation

The requirements apply to exposure to noise in KAUST assets, facilities, projects and activities.

Department Managers are accountable for:

- Identify and assess through a risk assessment process those tasks and areas where noise levels could result in noise induced hearing loss.
- Reduce noise exposure to As Low as Reasonably Achievable in the workplace using the Hierarchy of Controls.
- Keep peak noise levels in the workplace below 140dB(C).
- Keep the exposure of personnel to noise below 85dB (A) for an eight-hour noise dose.
- Implement noise zones where the measured exposure to noise is at or above 85dB (A) for that workplace or part thereof and identify them with markings/signage.
  - When portable equipment is the source of the noise use location drawings, equipment marking or other controls to identify hearing protection zones.
- Implement a written hearing conservation plan for areas exceeding 85dB (A). The plan must address:
  - The provision of hearing protection to everyone who may enter identified hearing protection zones;
  - Selection and issue of hearing protection that fits, and reduces exposure of personnel below 85dB(A) for an eight-hour noise dose;
  - Providing training and information to personnel who enter hearing protection zones to understand:
    - How to identify areas where hearing protection is required;
    - The correct use and maintenance of hearing protection;
    - The effect of noise on hearing;
    - How to prevent noise induced hearing loss;
    - The necessity of wearing hearing protection at all times when entering or working in an identified hearing protection zone;
- Select equipment during procurement that will reduce noise to ALARP.
- Provide medical surveillance (audiometry) and verify that personnel are tested at the times and frequency as specified by the certified medical practitioner.
- Maintain records.

#### 4.22. Heat Illness Prevention

Department Managers are responsible for assessing the risk of heat illness and implementing a documented Heat Illness Prevention program to reduce the risk of heat illness.

#### 4.23. Repetitive Strain Injury (Office Hazards)

Department Managers are accountable for:

- Provide ergonomically designed furniture and workstations.
- Review the risk assessment when the user or display screen equipment (DSE) changes.

- Implement controls to prevent musculoskeletal disorders using the hierarchy of control.
- Consult with all employees, in good time, on health and safety matters.
- Provide information, instruction and training to new employees within one month of onboarding and periodically thereafter, explaining to users:
  - The risks from DSE work and the controls put in place as protective measures;
  - How to adjust furniture;
  - How to organize the workplace to avoid awkward or frequently repeated stretching movements;
  - How to clean the screen and mouse;
  - How to request a workstation assessment; and
  - How to report problems or symptoms.
- Consider potential risks from manual handling if users have to carry heavy equipment and papers and put in place controls to eliminate or mitigate the risk.
- Consult KAUST HSE when planning significant changes to workstations.
- Retrain users if there are significant changes to workstations.

## 5. Managing Records Kept On The Basis Of This Document

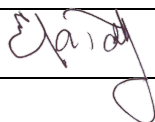
Record name	Document No	Storage		Responsibility
		Retention time	Location	
Monitoring Equipment Calibration Record	HSE-OHSMS-PR08-F01	3 years	SharePoint	H&S Manager
Filtering Facepiece Respirators (FFR's) Factsheet	HSE-OHSMS-PR08-F02	3 years	SharePoint	H&S Manager
KAUST Respiratory Protection Program	HSE-OHSMS-PR08-F03	3 years	SharePoint	H&S Manager

Only the H&S Manager can grant other employees access to the records.



## Procedure for Incident and Near-Miss Reporting & Investigation

### Approval

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Recommended by:	KAUST HSE Managers
Approved by:	Erik Talley
Signature:	

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January 2018	00	Natashia Fourie	Draft for Comments.
January 2018	01	Natashia Fourie	Draft for Approval.
April 2019	02	Natashia Fourie	Removed reference to preventative action; updates to roles and responsibilities, definitions.
April 2019	03	Natashia Fourie	Removed risk assessment matrix.
Nov 2020	04	Natashia Fourie	Incident definition changed.

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## 1. Purpose, Scope and Users

The purpose of this procedure is to define the process of health, safety and environmental (HSE) incident and near-miss reporting and investigation in KAUST. HSE incidents and near-misses that occurs in KAUST Research Laboratories will follow the Research Safety Incident Reporting Procedure. Emergency situations that could impact KAUST are out of scope and are covered by the KAUST Emergency Management Plan.

This procedure is applied to one of more of the scenario's below:

- An incident that causes injury to students, faculty, staff, contractors, service providers, community members or visitors; or
- An incident that causes damages to equipment or property; or
- An uncontrolled spill or release of a harmful pollutant or dangerous substance into the workplace or the environment; or
- A near-miss.

The reporting process described within this procedure is intended to be used by all individuals working, living or visiting the University. The investigation process is designed to be used by KAUST HSE, employees, faculty, service providers, and contractors.

## 2. Reference Documents

- KAUST Occupational Health and Safety Management System (OH&SMS) Manual
- KAUST Environmental Management System (EMS) Manual
- KAUST Procedure for the Management of Nonconformities and Corrective Actions

## 3. Roles and Responsibilities

*Table 1: Roles & Responsibilities*

Designation	Responsibility
KAUST HSE	<ul style="list-style-type: none"> <li>• Establishing a system to report, record, categorize, investigate, assign, and track to closure incidents and near-misses in KAUST.</li> <li>• Obtain quarterly updates from relevant departments about open corrective actions, and issue a status summary report to the HSE Director.</li> <li>• Provide training and awareness in relation to this procedure.</li> <li>• Ensure a review of incident and near-misses in the management review meeting.</li> </ul>
Relevant Department Manager	<ul style="list-style-type: none"> <li>• Instruct members, service providers and contractors of their organizations to report all incidents, including near-misses in accordance with section 5.1. of this procedure.</li> <li>• Emphasize that each person in his or her organization has the right to take action if a task is unsafe or life threatening.</li> </ul>

	<ul style="list-style-type: none"> <li>• Ensure that contractors and service providers under his or her authority has an approved written procedure for incident and near-miss reporting and investigation which is aligned with the requirements of this procedure.</li> <li>• Ensure competent persons lead incident investigations.</li> <li>• Investigate the incident as soon as possible after it occurred and ensure appropriate corrective actions are implemented within a specified timeframe.</li> <li>• Track corrective actions to closure.</li> <li>• Communicate lessons learnt and implement of corrective actions.</li> </ul>
Employees, Students, Community, Visitors	<ul style="list-style-type: none"> <li>• Report incidents and near-misses as soon as possible to their Person in Charge, Supervisor, Department Manager, Safety Representative or Manager, but no later than within 24 hours of the incident occurring.</li> <li>• Immediately report emergency situations such as fire, security or medical incidents by calling 911 from a KAUST landline or 012 808 0911 on a mobile.</li> <li>• Cooperate with incident investigations if needed.</li> </ul>

## 4. Definitions

See Appendix A, Definitions.

## 5. Incidents

### 5.1. Incident and Near-Miss Notification and Reporting

- 5.1.1. Persons in KAUST are required to report all incidents and near-misses as soon as possible, but not later than within 24 hours of it occurring using the online REPORTIT system (<http://reportit.kaust.edu.sa>).
- 5.1.2. Emergency situations (e.g. fire, gas leak, chemical spill, medical emergency, suspicious person, driving violation, etc.) shall be reported by first calling 911 from a KAUST landline or 012 808 0911 from a mobile, and then using the REPORTIT system as soon as possible, but not later than the end of the shift or work day.
- 5.1.3. KAUST Senior Leadership team will immediately be notified of Major incidents.
- 5.1.4. The Relevant Department Manager or the Person in Charge shall immediately be notified of Moderate, Minor and Near-Miss incidents.

**Note: REPORTIT is not a punitive tool. It is a record system that is used by KAUST to report, record, categorize, investigate, assign and track to closure incidents and near-misses in KAUST.**

### 5.2. Incident Classification

- 5.2.1. The Relevant Department shall use REPORTIT to provide KAUST HSE with the preliminary incident investigation report, and provide an initial incident classification in the incident description.
- 5.2.2. Relevant Departments and KAUST HSE shall use the incident classification outlined in Table 2.
- 5.2.3. KAUST HSE may change the classification upon review of the incident details.

Table 2: Incident Classification

Major Incidents	Moderate Incidents	Minor Incidents & Near-Misses
<ul style="list-style-type: none"> <li>• Loss of life or permanent disability (full or partial); or</li> <li>• In-patient hospitalization for a period in excess of 24 hours for other than medical observation; or</li> <li>• Fire or property damage loss of SR 200,000 or greater; or</li> <li>• Onsite environmental impact that is unconfined and requiring long-term recovery, leaving residual damage (typically months to years) or offsite near-source confined and medium-term recovery impact (typically weeks); or</li> <li>• Significant and extended disruption to University operations.</li> </ul>	<ul style="list-style-type: none"> <li>• Injury resulting in lost time and/or medical treatment beyond normal first aid; or</li> <li>• Fire or property damage loss of greater than SR 20,000 but less than SR 200,000; or</li> <li>• Near-source confined and medium-term recovery environmental impact (typically weeks) or offsite near-source confined and short-term reversible impact (typically days).</li> </ul>	<ul style="list-style-type: none"> <li>• Do not meet the criteria of a Major or Moderate Incident but nonetheless require investigation as it resulted in some level of injury, or property damage, or minor environmental impact, or had the potential to do so.</li> </ul>

### 5.3. Incident and Near-Miss Investigation

- 5.3.1. The purpose of the investigation must always be to identify the 'root causes' of the incident or concern to prevent future occurrence.
- 5.3.2. Carry out incident investigations as soon as possible. If delay is unavoidable, the accident site should be left undisturbed until the investigation can start.
- 5.3.3. The level of investigation required is determined based on the incident classification.
- 5.3.4. In determining the nature of the investigation, the resources needed, and the priority to be given to incident investigation, the Relevant Department will take into account:
  - The actual consequences of the incident;
  - The potential consequences of the incident;
  - The frequency of such incidents in their organization.
- 5.3.5. Gather evidence by surveying the scene of the incident and collecting information from people.
- 5.3.6. Investigations of incidents and near-misses must identify direct and root causes and result in findings that will help the Relevant Department to make decisions on:
  - Prevention of a recurrence by prescribing the corrective action;
  - Determination of basic Health, Safety and Environmental Management System failures;
  - Reviewing and learning from identified failures in order to prevent their recurrence;
  - Identifying opportunities for improvements.

**5.3.6.1. Major Incidents**

- In the event of a Major incident, and depending of the area where the incident occurred, the VP Facilities Management or VP Community Life, together with other relevant parties shall immediately be informed (including Government Affairs, Risk Management, and Human Resources).
- The VP of the affected area shall form an independent Major Investigation Committee within one day of the incident.
- The Chairman of the Major Investigation Committee shall be appointed by the relevant VP.
- A report with findings and recommendations shall be prepared by the Chairman of the Major Investigation Committee, and approved by the VP.

**5.3.6.2. Moderate, Minor and Near-Miss Incidents***Relevant Departments*

- Issue a preliminary incident report to KAUST HSE within 24 hours of the incident happening using the REPORTIT system.
- Include a REPORTIT notification number in the final incident investigation report.
- The Manager or Person in Charge assigns one or more competent persons in their organization to conduct the internal incident investigation. Team makeup shall be based on competencies that may be required.
- Issue a final incident investigation report to KAUST HSE within seven (7) working days of the preliminary report.
- The final incident investigation report shall identify direct, indirect, root cause(s), and corrective actions and include evidence such as photographs, witness statements as needed.
- The relevant KAUST Proponent, or Department Manager, or Person in Charge, should approve the final report before issue to KAUST HSE.
- Track corrective actions to closure.

*KAUST HSE*

- Depending on the circumstances and classification of the incident, KAUST HSE can launch an investigation into the incident.
- The KAUST HSE investigation team shall collect factual and objective evidence such as photographs, witness statements and other data as needed. . (KAUST Health and Safety uses the Incident Investigation Report Form -HSE-OHSMS-PR09-F01)
- A preliminary report may be issued until such time that the final report is complete.
- The final KAUST HSE incident investigation report, approved by the relevant KAUST HSE Manager, shall identify direct and root cause(s), corrective actions and include evidence such as photographs, witness statements, and other data as needed.
- The final report will be distributed to the person in charge of the Relevant Department.
- Corrective actions will be uploaded to the REPORTIT system for tracking and closing.
- KAUST HSE may issue a Safety Bulletin to raise awareness of the incident.
- KAUST HSE will issue a monthly dashboard to KAUST Proponents with open corrective actions.

**5.4. Incident and Near-Miss Analysis****5.4.1. Root Causes**

The root cause is the underlying system weaknesses that have somehow contributed to the existence of hazardous conditions and unsafe behaviors that represent immediate causes of accidents. Root causes

always pre-exist immediate causes. By solving the problems described in the root causes the probability of the incident (and other events that have the same root causes) recurring is lowered. Root causes can be identified by applying 'best practice' incident analysis techniques such as the "5 Why" method.

#### 5.4.2. **Immediate Causes**

Immediate causes are unsafe acts and/or conditions that alone do not cause the accident, but increase the probability of the accident occurring.

#### 5.4.3. **Near Miss Incident**

High potential near miss incidents should be investigated as thoroughly as a loss producing accident.

## 6. Appendices

- Appendix 1 – Definitions
- Appendix 2 - Incident Classification & Action

## Appendix 1: Definitions

<i>Term</i>	<i>Definition</i>
Aspect	An element of KAUST's activities, operations and/or services that can interact with the environment.
Root Causes	Personal and job factor causes that, if corrected, would prevent the incident from recurring, or similar accidents from happening.
Corrective Action	Action to eliminate the cause(s) of a nonconformity or an incident and to prevent recurrence.
Emergency	A particular type of incident.
Hazard	Source with a potential to cause injury and ill health.
Impact	Any change to the environment, whether adverse or beneficial, wholly or partially resulting from the University's environmental aspects.
Incident	An unplanned event or chain of events within the scope of HSE, that has, or could have, resulted in injury or illness, negative impact to assets, environment, legal liability, and or organizational reputation.
Incident Analysis	A structured process for identifying what happened, how and why it happened and what can be done to reduce the risk of a recurrence and what was learned.
Immediate Causes	Unsafe acts and/or conditions that alone do not cause the incident but increase the probability of the accident occurring.
Injury and Ill Health	Adverse effect on the physical, mental or cognitive condition of a person, including occupational disease, illness and death.
Near-miss	<ul style="list-style-type: none"> <li>• An undesired event, which under slightly different circumstances, could have resulted in harm to people, and/or property damage, and/or business disruption.</li> <li>• An event that narrowly missed causing injury or damage.</li> <li>• An incident where, given a slight shift in time or distance, injury, ill-health, or damage easily could have occurred, but did not this time around.</li> </ul>
OH&S Risk	The combination of the likelihood of a work-related hazardous event(s) or exposure(s) and the severity of injury or ill health than can be cause by the event(s) or exposure(s).
Workplace	Any physical location in which work related activities are performed under the control of the organization. It takes into consideration personnel who are, for example, travelling or in transit (e.g. driving, flying, on boats etc.), working at the premises of a client or customer or working from home.



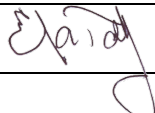
## Appendix 2 - Incident Classification & Action

### Incident Classification & Action

	Major	Moderate, Minor and High-Potential Near Misses
<b>Immediate Notification</b>	KAUST Senior Leadership	Affected area Department Manager or Person in Charge
<b>Investigation</b>	Independent committee assigned by VP Facilities Management, or VP Community Life.	<ul style="list-style-type: none"> <li>Affected area Department Manager or Person in Charge assigns one or more competent persons in their organization.</li> <li>KAUST Director HSE can appoint KAUST HSE to conduct independent investigation.</li> </ul>
<b>Report Method</b>	Full written report.	REPORTIT, then full investigation report within 7 working days.
<b>Report Approved By</b>	VP Facilities Management, VP Community Life.	<ul style="list-style-type: none"> <li>KAUST Proponent, Department Manager, or Person in Charge.</li> <li>KAUST HSE reports will be approved by relevant KAUST HSE Manager.</li> </ul>

## Procedure for Communication, Participation & Consultation

### Approval

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Signature:	

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Jan 2018	00	Natashia Fourie	Draft for comments.
Jan 2018	01	Natashia Fourie	For Approval.
April 2019	02	Natashia Fourie	Include requirements for worker participation and consultation.
Nov 2020	03	Natashia Fourie	For Approval as Result of Planned Review

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## 1. Purpose, Scope and Users

The purpose of this procedure is to define the process of internal and external communication, participation, and consultation regarding H&S Policy and effectiveness of the Occupational Health & Safety Management System (OH&SMS) with staff, service providers and visitors.

This procedure is applied to all processes and/or areas in KAUST within the OH&SMS.

Users of this document are KAUST employees and service providers.

## 2. Reference Documents

- KAUST OH&SMS Manual
- Procedure for Document and Record Control
- Procedure for Risk Assessment and Hazard Identification
- KAUST Emergency Management Plan

## 3. Roles and Responsibilities

### 3.1. HSE Director

The HSE Director shall ensure that Occupational Health and Safety (OH&S) related information is disseminated to different KAUST Departments, and where needed, external parties. He/she will report on progress made in the implementation of the OH&SMS through scheduled meetings with the EVP in his/her capacity of OH&SMS Management Representative.

### 3.2. Health and Safety Manager

The Health and Safety (H&S) Manager is responsible to communicate the KAUST H&S Policy, H&S targets & objectives, operational control requirements and amendments to Department Managers/Heads, staff, and service providers. The H&S Manager is responsible to track community complaints and concerns.

### 3.3. Department Manager/Head

The Department Manager in consultation with the H&S Manager shall be responsible for communicating OH&S requirements to his/her department including service providers. They are also responsible for involving workers in finding solutions to reported issues, and ensuring that community complaints are investigated and that the complainer is informed about the action taken as appropriate.

### 3.4. Internal and External Communication

Regardless of type of communication, information must be:

- Clear and adequately explained.
- Traceable, in the sense that KAUST can determine who provided it and who it was forwarded to.

### 3.5. Internal Communication

KAUST encourages employees at all levels to raise any concern with respect to OH&S concerns, non-conformities etc. in their workplace and residential areas. Employees are advised to inform their Department Managers/Heads of these concerns. Members of the KAUST Community can raise OH&S concerns or complaints through the online reporting tool, ReportIt which is accessible from the KAUST HSE Website. KAUST ReportIt system maintains the list of community complaints/concerns.

Methods of internal communication include, but are not limited to KAUST intranet, conversation with employees about their understanding of the H&S Policy, OH&S Objectives and Targets, OH&S training programs, KAUST HSE Website, safety bulletins, toolbox talks, The Lens, KAUST TV, LED screens, email or communication meetings as deemed appropriate.

Major topics of internal communication include, but are not limited to:

- H&S Policy, procedures, objectives and targets;
- OH&S roles and responsibilities;
- OH&S regulatory requirements;
- Monthly proponent OH&S summary;
- Lessons learnt from incidents and near misses;
- Outcome of Executive Management OH&S Committee Meeting Reviews;
- Annual OH&S plans.

It shall be the responsibility of the Department Manager to ensure staff within his/her department are aware of KAUST OH&S requirements as applicable to their activities and tasks.

#### 3.5.1. OH&S Meetings

##### 3.5.1.1. Occupational Health and Safety Steering Committee & Management Review Meeting

The KAUST OH&S Steering Committee is to be held annually and chaired by the KAUST HSE Director. The management review meeting shall be conducted once a year in conjunction with the Steering Committee meeting. Members of the Steering Committee shall include Directors of operational and maintenance units for community and campus. The meeting shall have the following objectives:

- Set and review strategic objectives.
- Review current OH&S performance and propose corrective action.
- Review the effectiveness of the KAUST OH&SMS and identify corrective or improvement actions.
- Provide leadership on progression of OH&S matters.
- Allocate resources to implement and maintain the OH&SMS.

##### 3.5.1.2. OH&S Operational Meeting

The objectives of the OH&S Operational Meeting are to:

- Stimulate effective communication on OH&S matters related to the operations of KAUST;
- Promote engagement in the implementation of the OH&SMS;

- Provide feedback and insight for management and promote improvements;
- Review findings from inspection reports and audits;
- Monitor implementation of follow up corrective measures to manage OH&S risks;
- Seek collaboration and co-operation from all employees in promoting good OH&S practices;
- Provide OH&S guidance and instructions.

The OH&S Operational Meeting shall be scheduled on a quarterly basis by the H&S Manager. Members of the meeting shall include Department Managers of operational and maintenance units within the scope of the KAUST OH&SMS.

The H&S Manager shall ensure that meeting agendas are communicated to the attendees in advance. Meeting attendance shall be recorded on "Record of Attendance" form. Following the meeting, the H&S Manager will share the meeting minutes with attendees and track the close out of actions raised during the meeting.

#### **3.5.1.3. Monthly HSE Meetings**

The purpose of this meeting is to improve OH&S risk management within KAUST, by fostering improved communication and understanding of KAUST OH&S requirements. The meeting will be conducted as per the Meeting Charter.

KAUST HSE will schedule a recurring monthly meeting of maximum 120 minutes duration and will chair the meeting.

#### **3.5.1.4. Toolbox Talks**

Department Managers shall ensure that Toolbox Talks are held with KAUST employees and service providers on a regular basis or as deemed necessary depending on frequency and nature of activity and the OH&S risk associated with the activity. Toolbox Talks an discussions before the work commences is ne way of communicating safety messages and warnings to work work groups. A Toolbox Talk must be held prior to commencing a significant or OH&S critical activity. A record of attendance, which all present should sign, is required to verify acknowledgement and attendance.

The talk shall focus on:

- OH&S risk, with a focus on high and medium risk activities;
- Control measures that need to be in place for risk mitigation;
- Awareness of employees of their responsibilities, and addressing their concerns with regard to OH&S risks associated with their daily tasks; and
- Reminders about lessons learned from previous similar tasks or incidents to avoid a recurrence (if any).

### **3.6. External Communication**

External communication includes:

- Communication with service providers and other visitors;

- Communication with external interested parties.

KAUST Emergency Management is responsible for communication that relates to emergency services and authorities, according to the KAUST Emergency Response Plan.

#### 3.6.1. **Communication with service providers and visitors**

Communication methods used with service providers include, but are not limited to:

- Contracts;
- Meeting before execution of work to discuss operational controls, legal and other requirements that can influence the method or level of communication, equipment control, incident investigation, and need for additional consultations;
- Warning signs and safety barriers;
- Evacuation plan and activities when alarm sounds;
- Work place access controls.

Department Managers/Heads shall be responsible to communicate the relevant OH&S requirements of KAUST to visitors of their department/work area. Emergency situations will follow the KAUST Emergency Response Plan.

During consultation with contractors regarding changes that can affect OH&S, the Department Manager/Head must define:

- New hazards or hazards that may be caused by contractors;
- New or changed controls;
- Changes in equipment, materials, and processes;
- Changes in legislation;
- Hazards that can or have the potential to affect the KAUST Community and KAUST neighbors, or are caused by KAUST neighbors.

#### 3.6.2. **Communication with external interested parties**

Communication with external parties includes delivering information on the organization's initiative, before the event or situation to which it refers (proactive communication) and/or after an event that requires informing interested parties (reactive communication).

All OH&S relevant communications received from external parties shall be forwarded to the HSE Director. If the HSE Director deems that a response is necessary, he/she shall respond to these communications in a timely manner. External communications shall be evaluated by the HSE Director and where necessary, the H&S Manager. Where required, the H&S Manager shall obtain input from the relevant Department Manager

The HSE Department shall record the following for external communication:

- Date of communication
- Reference number

- Name of the person
- Contact details i.e. telephone number and email
- Subject of communication
- Signed by

### 3.6.3. **Communication with Regulatory Authority**

Responses to the Regulatory Authority shall be in writing and signed by the HSE Director. All communications received from the Regulatory Authority regarding health and safety matters shall be directed to the H&S Manager. Where necessary, the H&S Manager shall obtain the input of the relevant Department Manager and the HSE Director for determining an appropriate response. The response to the Regulatory Authority shall be in writing and signed by the HSE Director.

The H&S Manager shall keep records of these communications using the 'External Communications Register'.

### 3.7. **Participation and consultation with employees about OH&SMS development**

The H&S Manager is responsible for informing employees about their participation arrangements in the OH&SMS, which may include but is not limited to employees' appropriate consultation and participation in:

- Hazard identification, risk assessments and selection of controls;
- Defining/documenting safe work practices;
- Participating in incident and near miss investigation;
- Conducting site inspections and developing solutions that improve health and safety;
- Serving as trainers for current coworkers and new hires;
- Development and review of H&S Policy, procedures, and objectives;
- Consultation where there are any changes that affect their OH&S;
- Prevention of unsafe behavior;
- Recommendations for improvements of OH&SMS performance;
- Developing, implementing, and evaluating training programs;
- Results from workplace monitoring, the outcome of incident investigations, workplace inspection reports, Safety data Sheets, and workplace job hazards analyses.

The Department Manager must consider obstacles to the consultation and participation of employees (e.g., language, education, persons with disabilities, etc.), confidentiality, and privacy.



#### 4. Managing Records Kept On The Basis Of This Document

Record name	Document No	Storage		Responsibility
		Retention time	Location	
External Communication Register	HSE-OHSMS-PR10-F01	3 years	SharePoint	H&S Manager
Interested Parties, OHS Risk & Opportunities	HSE-OHSMS-PR10-F02	3 years	SharePoint	H&S Manager
Record of Attendance	HSE-OHSMS-PR01-F02	3 years	SharePoint	Meeting Organizer

Only the H&S Manager can grant other employees access to the records.