حكومة رأس الخيمة
Government of Ras Al Khaimah

rakez
RAS AL KHAIMAH
ECONOMIC ZONE

# GUIDANCE FOR PRE-QUALIFICATION OF CONSULTANTS

- For testing and certification of lifting equipment, pressure vessel and scaffolding
- For training and certification
- HSE-related auditing
- Risk Assessment Study – HAZOP, chemical and occupational health and safety

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## 1. Purpose

This procedure specifies the process of new and renewal pre-qualification applications of third-party consultants, service providers, and inspection, testing, and training certification agencies.

The safety and integrity of all equipment are essential to enable safe operations in RAKEZ jurisdictional areas; therefore, all inspection, training, and testing agencies/consultants shall register with RAKEZ (even if certified on Federal/State levels).

## 2. Scope

This scope is applied for the below third-party services to operate within the RAKEZ jurisdiction:

a. Inspection, testing, and certification of third-party consultants/service providers of:
   - Lifting equipment and accessories
   - Pressure vessel
   - Scaffolding

b. Training and certification of third-party consultants/service providers (first aid training, scaffolding, training related to lifting equipment operation, chemical handling and general safety awareness)
c. HAZOP Risk Assessment study
d. Chemical Risk Assessment study
e. Occupational Health and Safety Risk Assessment study
f. Management System auditing
g. Process auditing

## 3. Definitions

- **HS&E Department** – Health, Safety & Environment Department
- **RAKEZ** – Ras Al Khaimah Economic Zone - Government of Ras Al Khaimah
- **ENAS** – Emirates National Accreditation Centre
- **COR** – Certificate of Registration (provided after pre-qualification)

## 4. Procedure

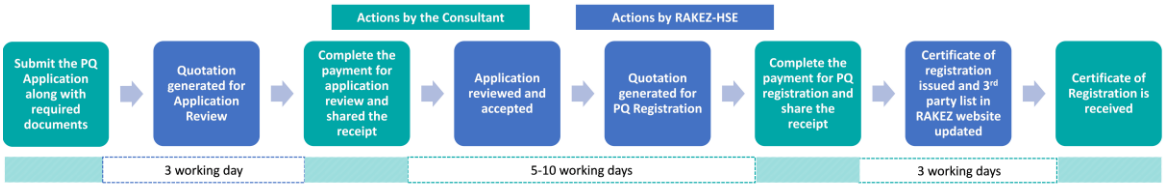
### 4.1. Pre-qualification procedure

- The consultant should be registered with the RAKEZ procurement department and comply with RAKEZ policy and procedures.
- Third-party consultants/service providers applying for new/renewal/adding of activity/amendment pre-qualification should submit the application form by clicking here.
- For pre-qualification of third-party consultant/service providers, submission of the following documents are mandatory:

| Type of third party | Relevant licence/permit |
|---|---|
| Inspection, testing, and certification | • Trade licence<br>• Accreditation Certificate issued by the UAE Accreditation Body |
| Training and certification of third-party consultant/service providers | • Trade Licence<br>• Certification from international bodies for the trainer shall be verified electronically<br>• Accreditation Certificate issued by the UAE Accreditation Body |
| Management System auditing | • Trade licence<br>• Accreditation from International Accreditation Forum (IAF) members in the UAE |
| Risk Assessment study | • Trade licence<br>• CV of all engineers/consultants along with previous experience letters<br>• Attested certifications of all academic and professional qualifications<br>• Proof of UAE residence (Visa copy to be submitted)<br>• Approvals obtained from other UAE government authorities<br>• Proven track record of major relevant studies done. (Copy of two recent reports)<br>• Fee structure |
| Process auditing | • Trade licence<br>• CV of all engineers/consultants along with previous experience letters<br>• Attested certifications of all academic and professional qualifications to be submitted<br>• Proof of UAE residence (Visa copy to be submitted)<br>• Approvals obtained from other UAE government authorities<br>• Proven track record of major relevant auditing done. (Copy of two recent reports)<br>• Fee structure based on process risk |
| Note: The consultant company name in the trade licence and accreditation certificate should be the same | |

- Once the application is completed, a sales order with non-refundable service fees will be issued for review of documents as per the Development Division Services & fees – (DEV-SF01) within three (3) working days.

- After payment is received, the application will be reviewed accordingly within 5-10 working days. The applicant will be notified of any deficiencies/clarifications and/requirements to be submitted for further review. If the applicant fails to provide the details within 30 calendar days of the email notification regarding the same, the application will be dropped. A maximum of two reviews (for the main application and one revision) will be conducted during the review stage. Additional revisions will be considered as a new submission.
- Approval/rejection of the application will be based on the competence of the applicant who will be notified of the same.
- Upon verification, if all requirements are satisfactory, a sales order with service fees will be issued for acceptance of registration as per the Development Division Services & fees – (DEV-SF01).

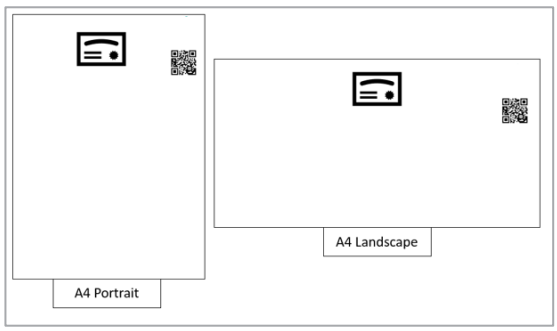



- Upon confirming the payment, the Certificate of Registration (COR) will be issued within three (3) working days.
- If the applicant fails to complete the registration payment within 30 calendar days from the issuance of the sales order, the application will be dropped.
- RAKEZ HS&E has the right to request additional documents other than those mentioned above for verification.
- RAKEZ reserves the right to revise, change, amend, remove, or cancel any or all of the provisions contained in these guidances at any time with or without prior notice.

## 4.2. Performance Monitoring

Upon obtaining registration, the performance of the third-party consultant will be monitored to ensure that they perform as per the expectations of federal/local or RAKEZ requirements. Failure to do so will result in exclusion from the list of RAKEZ's pre-qualified agencies.

- All certificates / reports issued to customers in RAKEZ jurisdiction shall have the option for electronic verification in the form of a QR code. The QR code shall be in the below format according to the below specification. The verification link embedded in the QR code should use the consultant's approved domain.
  - Certificate Format: A4 (portrait/landscape)
  - File Type: PDF



- Consultants shall immediately notify RAKEZ HS&E department upon being awarded any Risk Assesmenty Study project by a RAKEZ Client.
- The risk assessment study report needs to be submitted in a PDF format with QR code to the RAKEZ HS&E department via email to hse@rakez.com directly by the consultant.
- As part of performance monitoring, the registered third-party consultants need to submit the list of issued certificates on a monthly basis to the customers in RAKEZ jurisdiction by clicking here from the 1st to 5th of every month for the previous month.
- All certificates shall be issued to the customers within 72 hours of completing the services. Failure to do so or based on RAKEZ customer complaints may result in exclusion from the list of RAKEZ's pre-qualified agencies.
- RAKEZ HS&E has the right to add further measures for performance monitoring if required.

## 4.3. Outline for Risk Assessment study

Risk analysis should be conducted utilising the various hazard assessment methodologies delineated in the subsequent table, or any other approved method. The analysis should encompass but is not limited to, the following elements

- **Preliminary hazard analysis (PHA)**: Initiate the Risk Assessment process with a PHA, followed by a comprehensive examination using recognised hazard analysis methods such as HAZOP studies. The study should assess all potential risks within and outside the premises due to operations and propose appropriate mitigation strategies.
- **Operational evaluation**: Conduct a thorough evaluation of regular and irregular operations, activities, tasks, and primary installations. This includes the physio-chemical properties of materials being stored, handled, or processed, and quantitative data on quantities, volumes, and production/storage conditions.
- **Site suitability**: Evaluate the suitability of the site concerning environmental factors such as wind and flooding.
- **Fault tree and event tree analysis**: Implement these analyses to graphically depict accident sequences associated with plant operations and storage.
- **Risk evaluation**: Use accepted risk assessment techniques and criteria to evaluate and clarify risks (frequency, severity, and probability), leading to the identification of risks to be eliminated or controlled.
- **Accident consequence analysis**: Analyse the potential effects of accidents on humans, the environment, and nearby installations and sites.
- **Fire and explosion hazard evaluation**: Use the F&EI Index to assess fire and explosion hazards.
- **Fire protection system, alarm system, and ventilation evaluation**: Evaluate these systems for their effectiveness and efficiency.
- **Hazardous area classification**: Classify areas based on their hazard potential.
- **Emergency situations/environmental events analysis**: Analyse the effects of major environmental events such as lightning, flooding, and acts of mischief or sabotage.
- **Occupational health hazards and environmental risks evaluation**: Evaluate these risks associated with processes and operations.
- **Risk reduction measures**: Develop and recommend technical and organizational protection measures to reduce risks to As Low As Reasonably Practicable (ALARP).
- **Risk reporting**: If a risk, operation, or situation cannot be feasibly managed, it is the consultant's responsibility to highlight this in the report.

| Method | Purpose | Aim | Working Principle |
|---|---|---|---|
| Preliminary hazard analysis of matrix diagrams of interactions | Identification of hazards | Ensuring completeness of the safety concept | Utilisation of thinking aids |

| | | | |
|---|---|---|---|
| use of checklist | | | |
| Failure effect analysis identification of hazard and operability study | Identification of possible failure and its consequences | Modification of system designs | Application of searching aids in schematic system documents |
| Accident sequence analysis (inductive) according to fault tree analysis (deductive) | Assessment of hazards based on their occurrence frequency | Optimisation of reliability and availability of safety systems | Graphic description of failure sequences and mathematical calculation of probabilities |
| Accident consequence analysis | Assessment of accident consequences | Mitigation of consequences and development of optimum emergency plans | Mathematical modelling of physical and chemical process |

## 4.4. Outline for Risk Assessment study report:

The following details should be included at a minimum in the Risk Assessment study report. The level of detail that must be provided for each topic listed in the guidelines below will, in practice, vary from facility to facility. Personnel who worked on the RA study should be credited in the final report.

- History and purpose
- Data on potentially dangerous substances (e.g. substance name monitoring method, hazards, the composition of process, etc.)
- The project's design documentation and summary of all applicable codes, standards, severity of risks, and best practices
- Details about the set-up (where it is, how it works, who works there, how the land around it is used, who lives there, etc.)
- Sketches (sectional view) of machinery and a schematic of the process are included in the information provided about the plant and machinery
- Management system information that must be gathered (e.g. responsible person and quality control for safety training etc.)
- Risk reduction analysis (if the risk is not acceptable) systems and methods and recommendations to prevent and/or reduce them to the acceptable level(s)
- Details of major mishaps (identification of potential major hazard events, process flow diagram, prevention and control systems, emergency procedure meteorological conditions, numbers at risk, etc, equipment requiring periodic inspection and testing)
- Injuries, property loss, and burned area classification scales must be detailed
- Included in the calculations must be a description of the severity scale employed in the research
- Emergency plans

Upon the project's completion, the Risk Assessment consultant is tasked with conducting a site visit to ensure the compliance and implementation of the Risk Assessment recommendations. Following this, a Statement of Compliance should be duly submitted to RAKEZ HS&E.

### 4.5. Validity and renewal of pre-qualification

Pre-qualification is valid only for a period of 1 year. The pre-qualification renewal application should be made 30 calendar days prior to the expiry date mentioned in the Certificate of Registration. The company name will be automatically removed from the website list if the renewal process has not been completed by the third-party Consultant after the expiry date. A renewal application submitted beyond 30 calendar days of the expiry date will be considered a new application.

### 4.6. Adding activity

RAKEZ should be notified if there will be any changes in the scope specified in the COR. The notification shall include all relevant details and/or documents for evaluation and the way forward. Accordingly, once accepted, the third-party consultant shall be required to pay the relevant fee mentioned in Development Division Services & fees – (DEV-SF01) to get the amended COR within two (2) working days.

### 4.7. Amendment

RAKEZ should be notified if there will be any changes such as name change, trainer change, address, activity cancellation, or any changes other than adding activities. The notification shall include all relevant details and/or documents for evaluation and the way forward. Accordingly, once accepted, the third-party consultant shall be required to pay the relevant fee mentioned in Development Division Services & fees – (DEV-SF01) to get the amended COR within two (2) working days.

### 4.8. Disclaimer

All consultants shall be solely subject to the laws of the UAE for losses or damages in terms of life and property stemming from design/reporting errors, supervision and/or implementation errors, deficiencies of inspections, failure to construct in compliance with the required standards, failure to comply with rules of professional ethics, failure to use knowledge and experience, and similar reasons; and successively (severally) liable where the consultants have undertaken control and any consultation services on works. The consultants shall be liable to complete and compensate for any such losses or damages according to the laws of the UAE. RAKEZ and its employees are not responsible or liable for any such losses or damages, errors, deficiencies, and failures on the part of the consultants.

## 5. Related Forms

- PRE-QUALIFICATION REGISTRATION FORM FOR THIRD-PARTY CONSULTANTS. Click here.
- PRE-QUALIFICATION SUBMISSION CHECKLIST. Click here
- MONTHLY UPDATE FOR ISSUED CERTIFICATES. Click here.

## 6. Applicable Regulations/References

- RAKEZ Rules & Regulations
- ENAS & EIAC Standards