

# 2020 REPORT ON PREVENTIVE ACTIVITIES CAIXABANK



Servicio de Prevención Mancomunado  
GRUPO "LA CAIXA"

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## 1. INTRODUCTION

The activities report is the document that compiles the preventive procedures carried out in CaixaBank in 2020.

The preventive activities carried out are determined in the annual planning of preventive activities and are developed in accordance with:

- the principles established in the Prevention Plan, which is considered the guiding document in terms of occupational risk prevention.
- the requirements established in the management system based on the standards of the OHSAS 18001 certification.

The Joint Prevention Service of 'la Caixa' Group (hereinafter, the SPMGLC) manages prevention within CaixaBank. Its main mission is to provide guidance in order to ensure the proper safety, health and well-being of the employees, as well as to reduce the accident rate.

The SPMGLC coordinates with CaixaBank through the Labour Relations department. It is supported by the Single Occupational Health and Safety Committee (hereinafter, the CUSSL).

The technical areas (safety, industrial hygiene and ergonomics and applied psycho-sociology) are handled by the SPMGLC. In the case of Occupational Medicine (Health Surveillance), CaixaBank has opted to collaborate with the Quirón Prevención External Prevention Service.

The preventive activities included in this report are divided into the following chapters:

PREVENTIVE ACTIVITIES	
Management	Details the management of prevention, based on the annual plan, conducted during the study period.
Safety in the workplace	Describes the actions carried out in the technical area of occupational safety. The activities were carried out through the risk assessment, planning and following up on the preventive measures. This includes the emergency-related activities.
Industrial hygiene	Includes preventive activities related to the area of industrial hygiene, with a focus on environmental and specific evaluations.
Ergonomics	Includes activities related to the area of ergonomics in the workplace and the equipment provided to the employees.
Applied psychology	Compiles information on the actions carried out in relation to psycho-sociology, according to the prevention plan based on the assessment of psycho-social factors.
Occupational medicine	Documents the procedures carried out by the health surveillance service (Quirón Prevención).

## 1.2 Company information

Entity	CaixaBank
Registered office	C. Pintor Sorolla, 2-4 46002 Valencia
CIF (Tax ID)	A-08663619
CNAE	6419 - Other Monetary Intermediation
Employees	27,496

CaixaBank has an extensive network of centres throughout Spain, as well as representative offices abroad. The majority of the centres are bank branches, although there are also other types of centres where specialised activities are carried out: corporate centres, institutional centres, private banking, etc.

## 1.3 Preventive modality

By virtue of the provisions of the Occupational Risk Prevention Act 31/1995 (article 31) and the regulations of Prevention Services (article 10), CaixaBank opts for the following preventive modality:

- Constitution and adherence to the Joint Prevention Service of 'la Caixa' Group (SPMGLC).

### Specialist areas

Safety in the workplace

Industrial hygiene

Ergonomics and applied psycho-sociology

- Collaboration with the External Prevention Service (Quirón Prevención).

### Specialist area

Occupational medicine (health surveillance)

## 2. MANAGEMENT OF OCCUPATIONAL RISK PREVENTION



Since 2005, CaixaBank has operated a preventive management system in accordance with international standard OSHAS 18001. The accredited auditor Audelco, S.A. monitors and renews the Institution's accreditation in the periods established by regulations, and on the basis of the management system selected.

### 2.1 Documentation preparation/review

The following documentation has been prepared/ reviewed:

- 2020 Preventive Annual Planning (PAP).
- Specific assessment of the risk of robbery in the branch network.
- Specific assessment of the risk of exposure to COVID-19.
- Protocol for action against the risk of COVID-19 infection.
- Protocol for resuming face-to-face activities (COVID-19).
- Coordination of business activities in the branch network and corporate centres: Communication to suppliers regarding COVID-19 prevention.
- Prevention information for employees regarding COVID-19.
- Specific prevention information for branch network managers (COVID-19).
- OHS information for people posted abroad.
- COVID-19 Health and Safety course.

## 2.2 Training/information

In order to continue improving the health and safety of employees, the training program on occupational health and safety was extended in 2020. The existing courses were supplemented with the following training content:

Training	Purpose	Employees trained
Physical safety	Raising employee awareness of the risk to physical safety and preventive measures.	25,776
Health, safety and well-being for directors	Integration of occupational risk prevention through Director position	4,235
COVID-19 safety training	Raising employee awareness of the risks of COVID-19 infection	26,360

## 2.3 Coordination of business activities

To meet the requirements established in terms of the coordination of business activities, CaixaBank uses the IPRL03 procedure, which regulates the documentary management that must be carried out according to the activity being contracted.

The total number of contracts indicated in the database of suppliers and contracts has been managed.

The documentation used during the business activity coordination exchange in centres of the network and singular buildings has been updated.

## 2.4 Occupational risk prevention audit

Since 2005, the CaixaBank occupational health and safety management system has been based on the OHSAS 18001 standard. For this reason, it is submitted to the corresponding audits each year.

In 2020, the internal and external audits of the OHSAS renewal were carried out.

## 2.5 CUSSL meetings and participation

Each quarter, ordinary meetings are held with the Single Occupational Health and Safety Committee, and extraordinary meetings are held at the request of any of the parties, to deal with specific issues that may be of interest.

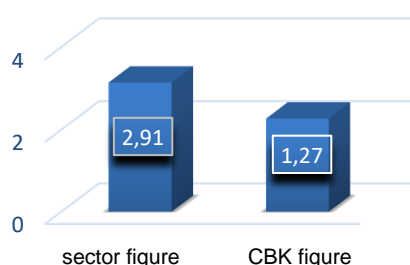
The following table indicates the dates on which the ordinary and extraordinary meetings were held in 2020:

Month	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC
Date			12/26	2/16/22/30	6/7/14/21/28	4/18	2/16		15	1	10/24	
Date						23						
Date										15		
Number	0	0	2	4	5	3	2	0	1	2	2	0

Total COVID-19 monitoring meetings	19
Total COVID-19 extraordinary meetings	1
Total ordinary meetings	1

The number of meetings held increased by 60% compared to the previous year due to the management of the COVID-19 pandemic.

## 2.6 Accident rate

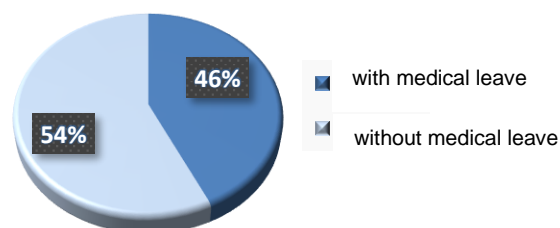


CaixaBank's Annual Incident Rate \* is 1.27. Following the trend of the previous years, this rate has remained below the sector rate (2.91 according to the last information provided by the Ministry of Employment).

(\*) Annual Incident Rate (excluding commuting accidents)

A total of 227 accidents were recorded in 2020, distributed as follows:

Accidents in 2020	Number
With medical leave	104
Without medical leave	123
<b>Total</b>	<b>227</b>



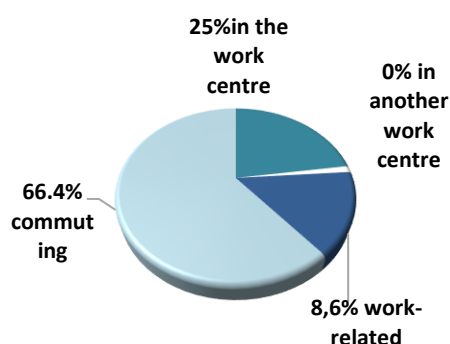
54% of accidents recorded in 2020 were categorised as “accidents without medical leave”, while 46% required medical leave. Consequently, the accident rate remains the same with respect to the previous year in terms of the proportion of accidents with and without medical leave. On the other hand, a significant decrease in the number of accidents was detected.

The mutual accident insurance company classifies accidents according to their severity: mild, serious, very serious and fatal accidents. The results for the classifications in 2020 were as follows:

ACCIDENT SEVERITY	
Mild accidents	227
Serious accidents	0
Very serious accidents	0
Fatal accidents	0
<b>TOTAL</b>	<b>227</b>

Accidents with medical leave were classified according to the place where they occurred:

ACCIDENTS WITH MEDICAL LEAVE	
In the work centre	26
In another work centre	0
Work-related travel	9
Commuting	69
<b>TOTAL</b>	<b>104</b>



No occupational illnesses were recorded in 2020.

### 3. SAFETY IN THE WORKPLACE

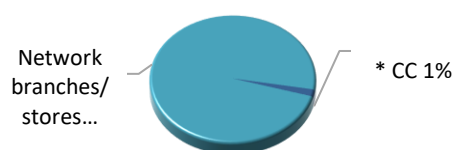
Risk assessment is a dynamic process that aims to estimate the magnitude of risks that could not be avoided and to obtain the information needed to adopt the appropriate preventive measures.

At CaixaBank, the occupational risk assessments are carried out on the basis of the criteria and time frames established in its management system, and based on legally established requirements.

The activities planned in the centres at the beginning of 2020 and which involved physical attendance, were adapted to the indications established by the Health Authority at all times. It is for this reason that, for certain activities, the number of actions has decreased compared to the previous year.

#### 3.1 Risk assessment/Planning and monitoring of preventive measures

RISK ASSESSMENT	
Corporate centres *	1
Network branches / Stores	185
<b>TOTAL assessments</b>	<b>186</b>



\* The corporate centre assessed is:

- Experience Hub 2

As a result of the risk assessments, the preventive measures needed to eliminate or reduce the risks detected were also planned, and monitoring was carried out to ensure their proper implementation.

#### 3.2 Emergency-related activities

The following emergency-related activities were carried out:

- Review of emergency measures and self-protection plans (in line with applicable local legislation): 13
- Emergency drills carried out: 15
- Corporate centres managed/ maintained on a quarterly basis by CaixaBank: 22
- Medical emergency training: 31
- Emergency awareness



The emergency-related activities were carried out in the following centres:

<b>BARCELONA</b>	<b>LLEIDA</b>
ALL IN ONE BARCELONA	EDIFICIO LLEIDA
BCN DIAGONAL 682	<b>MADRID</b>
BCN EDIFICIO CAMBRA	MAD DT (CASTELLANA, 51)
BCN EDIFICIO COPS/CFM	MAD EDIFICIO MANOTERAS PARIS
BCN EDIFICIO DAU	MAD EDIFICIO MANOTERAS SIDNEY
BCN EDIFICIO O'BUILDING	MAD EDIFICIO RECOLETOS
BCN EDIFICIO SERTRAM	<b>MALAGA</b>
BCN ESCUELA FORMACION	DT ANDALUCIA ORIENTAL - MURCIA
BCN SABINO ARANA	<b>MANRESA</b>
BCN SERVICIOS CENTRALES	DT CATALUNYA
<b>BILBAO</b>	<b>PALMA DE MALLORCA</b>
BILBAO EDIFICIO SOTA	DT BALEARES
DT NORTE	<b>PAMPLONA</b>
<b>BURGOS</b>	DT EBRO
DT NOROESTE	<b>SANTA CRUZ DE TENERIFE</b>
<b>CERDANYOLA</b>	EDIFICIO PATRIOTISMO
CD1	<b>SEVILLA</b>
CD2	DT ANDALUCIA OCCIDENTAL
<b>GIRONA</b>	EDIFICIO TORRE SEVILLA
EDIFICIO GIRONA (LA CREU)	<b>VALENCIA</b>
<b>LA CORUÑA</b>	ALL IN ONE VALENCIA
EDIFICIO GALICIA	DT COMUNIDAD VALENCIANA
<b>LAS PALMAS</b>	<b>ZARAGOZA</b>
DT CANARIAS (LPGC)	EDIFICIO ZARAGOZA (COSO)

Additional measures were also carried out to help prevent robberies. In 2020, actions were taken to modernise the security installations in 450 network branches.

#### ROBBERY-PREVENTION MEASURES

Security equipment modernisation campaign

**TOTAL centres updated**

**450**

Following the established schedule, the assessment of the risk of robbery in the branch network was reviewed, concluding that the magnitude of the risk is tolerable and the current preventive action is adequate. However, regular checks are required to ensure that the control measures remain effective.

### 3.3 Activities related to maintaining and reviewing centres and branches

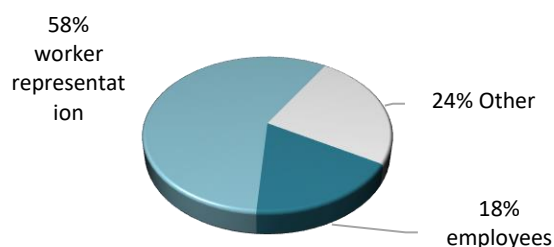
The regular maintenance and review of equipment in CaixaBank centres and branches is carried out by companies contracted for this purpose.

Maintenance/review activities	Number
Regulatory inspections of equipment subject to industry and health standards	465
Maintenance of facilities, temperature, ground connection, etc. in branches	4,226
Lighting improvements in branches	41
Air conditioning equipment – Changes due to technical obsolescence	154
Resolution of incidents derived from the Risk Assessment	500
Accessibility improvements – Removal of architectural barriers	30
ATM renewal plan	629
Quarterly maintenance of fire safety facilities and equipment in buildings	22
<b>TOTAL activities</b>	<b>6,067</b>

### 3.4 Management of requests and incident monitoring

The SPMGLC manages and monitors the incident requests regarding occupational health and safety in the work centres. The following aspects were managed in 2020:

CONTROL AND MONITORING (by origin)	
Employees	139
Worker representation	447
Other	190
<b>TOTAL incidents</b>	<b>776</b>



## 4. INDUSTRIAL HYGIENE

Regular reviews are carried out on the environmental factors that could affect employees' health. Environmental conditions are assessed and measurements are taken of carbon dioxide (CO2) levels, temperature, relative humidity, lighting, air velocity and, where applicable, noise levels.

Additionally, in individual cases where the centre's conditions allow for it, specific studies are conducted. Specifically, and as a consequence of the emergency situation caused by COVID-19, the risk of exposure to the virus in the workplace was assessed. For the analysis and assessment of the risk of exposure, the "Procedure for Occupational Risk Prevention Services regarding Exposure to SARS-CoV-2" was taken into account. The specific COVID-19 assessment

concluded that, depending on the work activity being carried out in the CaixaBank work centres, there is a low probability of exposure.

The information regarding the management of the pandemic is included in section 9 of this document.

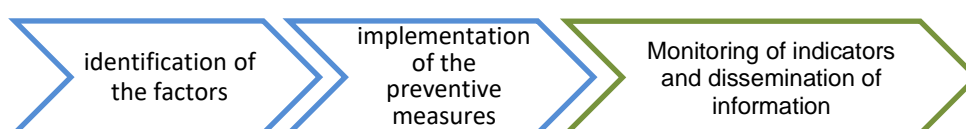
## 5. *ERGONOMICS*

Work stations are adapted to individuals' physical needs in accordance with the principles of ergonomics. The assessment and provision of the following equipment was managed:

EQUIPMENT	
Footrests	
Headphones	
PC screen	
Chair	
Mouse	
Mouse pad	
Zoom text	
Keyboard wrist rest	
Other	
<b>TOTAL equipment</b>	<b>142</b>

## 6. *PSYCHO-SOCIOLOGY*

Based on the identification of psycho-social factors carried out in the organisation in 2017-2018, and with the aim of improving the organisational conditions of the working environment, the content and execution of tasks and the work environment in which they are performed, the established programme is continued:



Psycho-social indicators were monitored throughout the year under review. In addition, information has been published on the impact of COVID-19 on the face-to-face and remote working environment.

## 7. OCCUPATIONAL MEDICINE

Occupational medicine is performed by the External Prevention Service, which assesses the possible effects of work on the health of employees through health surveillance.

Quirón Prevención prepares a report on the activities performed in 2020, which includes the details of the actions carried out for this specialist area.

### 7.1 *Vulnerable employees*

According to article 25 of the Occupational Risk Prevention Act, the following are considered Vulnerable Employees:

- Pregnant or breastfeeding women.
- Minors.
- People with a legally recognised disability.

CaixaBank considers those who have limitations or pathologies that affect their work as vulnerable employees. Employees who wish to be designated as vulnerable have access Vulnerable Employee assessment application in the internal instructions established in the management system. The Health Surveillance Service then performs the corresponding medical assessment.

In 2020, the Health Surveillance Service individually analysed the vulnerable employee requests (cases of individual susceptibility, pregnancy and breastfeeding).

### 7.2 *Medical examinations*

In accordance with article 22 of Act 31/1995, on Occupational Risk Prevention, each year the full workforce is offered the possibility to undergo a medical examination, through the health surveillance service, for the early detection of any sign of a condition or susceptibility to develop occupational illnesses.

Health surveillance is conducted on the basis of medical protocols associated to the inherent risks of the workplace, according to the occupational risk assessment. There were 250 health examinations performed during the reporting period.

By type of health examination

HEALTH EXAMINATIONS (by type)	
Periodic	243
Initial	1
After long absence	6
<b>TOTAL</b>	<b>250</b>

## 8. CORPORATE HEALTH AND WELL-BEING

### 8.1 Health promotion campaigns

CaixaBank's management, aware of the need to encourage all initiatives and actions to promote and benefit suitable working conditions, health and well-being for its employees, has organised the following campaigns:

#### CAMPAIGNS

Online physiotherapy sessions

Virtual "active break" workshop

Cardiovascular risk prevention in the company

Addictions

Cancer prevention

Nutrition and physical activity

Back pain

Healthy habits

Looking after the voice

First aid

Risk prevention for travellers

**Total campaigns 11**

## 9. COVID-19 PREVENTION MANAGEMENT

The development of the health crisis has required the continuous adjustment of the measures adopted according to the epidemiological situation and the diversity of the regulatory framework.

CaixaBank has adapted health and safety measures for the essential activities it carries out in society, in accordance with the recommendations given by the health authorities.

Prior to the implementation of the measures, CaixaBank carried out a specific COVID-19 assessment, which resulted in procedures and measures to reduce the transmission of the virus. The actions carried out included the following:

- Preparation of management procedures:
  - Identification and management of cases of infection or contact with people who have tested positive that may occur in the workplace or personal context.
  - Protocol for resuming face-to-face activity in work centres throughout the company, both nationally and internationally.
  - Instructions for action in the event of outbreaks in the work centres.

The protocols established, as well as the assessment on which they are based, are continuously reviewed in view of the epidemiological context.

- Organisational measures: aimed at minimising contact between the workforce and third parties, ensuring that a safe distance is maintained at all times and that essential business activity continues. Mobility restriction measures have been adopted, except for those cases where it is absolutely necessary. On the other hand, the emphasis has been placed on the use of video calls and other collaborative tools to avoid travel. Capacity is controlled according to the size of the corporate buildings. Priority is given to prior appointments in the branches as a control measure to ensure social distancing.
- Hygiene measures: aimed at both personal hygiene and the hygiene of the working environment and spaces. The provision of personal protective equipment has been included following the identification of specific situations in which its use is recommended, and always after having previously implemented collective protection measures. In the event a case of COVID-19 is detected in any of the work centres, this centre is closed and disinfected. Once the suitability of the actions carried out is verified, the SPMGLC draws up a report on the resumption of the activity.

Specific campaigns are carried out with the aim of benefiting the environmental conditions inside the work centres. Wherever possible, air recirculation is reduced and air renewal is increased, as well as the frequency of cleaning/replacement of grilles, diffusers, filters and coils in the air conditioning systems. In addition, regular indoor air quality checks are carried out and any incidents detected are managed.

- Information and awareness-raising measures: aimed at employees to inform them about COVID-19, its transmissibility and prevention measures. Internal communication is carried out through the various established corporate channels and is extended to both external partners and customers.
- During the management of the health emergency, communication and participation with the workers' legal representatives was maintained within the scope of the Single Occupational Health and Safety Committee.

- Training measures: a specific course on preventive measures to be taken against COVID-19 has been developed. This course, which is mandatory for all employees, was taught via the internal Virtaula platform with assisted tutorials. In addition, recommendations on ergonomics for healthy working and psycho-social matters were provided, and indications were given on how to prevent and/or minimise the possible emotional impact of the health crisis.
- Measures for vulnerable employees: CaixaBank employees who state that they suffer from pathologies of particular vulnerability to COVID-19 are assessed by the health surveillance service in accordance with the criteria of the health authorities.
- Medical follow-up: people who have had '*close contact*' with confirmed cases and those who have been diagnosed with a confirmed case of the infection have been followed up by the health surveillance service and the mutual insurance company. CaixaBank has carried out diagnostic tests aimed at preventing viral transmission among its employees, whenever feasible, prior to their return to work or following the detection of a positive case in the workplace.

In addition, preventive tests are conducted in areas where specific needs are identified.

- Medical, psychological and emotional health care: a free, unlimited and anonymous medical and psychological telephone counselling service is available to staff to support and help resolve any doubts or concerns that may arise as a result of the crisis caused by the pandemic.
- Technological application to control transmission: The corporate telephones of the CaixaBank workforce include a specific internal COVID-19 application for the purpose of periodically checking for symptoms compatible with the virus and possible contact with confirmed cases. These communications are intended to isolate cases susceptible to infection at an early stage.  
In addition, the RadarCovid app from the health authorities is also enabled to foster community collaboration.

The SPMGLC is grateful for the facilities provided by all of CaixaBank's staff and its external partners who have made it possible to prepare this report.

**Joint Prevention Service of 'la Caixa' Group**

12/02/2020

**Servicio de Prevención Mancomunado**  
**Grupo "La Caixa"**  
**Gran Vía Carlos III, 86 1º Torre Este**  
**08028 - Barcelona**