


Document Number: QHSSE / Instruction / 00005	HEALTH, SAFETY & ENVIRONMENTAL VIOLATIONS	
Revision Number: 0		

## 1. Purpose

- 1.1 There is currently confusion on all Projects, and with all entities, between the interchangeability of the words “non-conformity”, “non-compliance”, and “violation”. The purpose of this instruction is therefore to define the variance between the terms, and actions required for each.
- 1.2 The term “non-conformity”, sometimes resulting in the issuance of a “non-conformity report” [NCR] shall only be used in reference to a non-adherence to a Legal requirement, a ROSHN contractual (mandatory) requirement, or an ISO Standard Clause (mandatory) requirement.
- 1.3 The term “non-compliance” shall be used in reference to non-adherence to a ROSHN requirement within the ROSHN HSSE Manual, ROSHN Policy or Procedures.
- 1.4 The term “Violation” shall be defined as a breach of a requirement where:
  1. A documented observation is not closed out within the agreed timeframe, and the Contractor continues working, or
  2. A repetitive observation documented more than three (3) times in the same location.
- 1.5 This instruction is to ensure a uniform approach across all Projects, as well as providing documentary evidence for auditing purposes.


## 2. Scope

- 2.1 This instruction applies to all construction activities being conducted on behalf of ROSHN whether by Contractors or Sub-Developers.

## 3. Responsibilities

### ROSHN HSSE Staff

- ROSHN and Consultant HSE Staff are responsible for issuing HSE Violations within their allotted work location;
- Contractors or Sub-Developer HSE Staff are responsible for closing out Violations and observations;
- ROSHN Senior HSE Data Analyst is responsible for maintaining records of HSE Violations for all locations.

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#### 4. Procedure

##### Qualification

- 4.1 Any member of ROSHN HSSE Staff, or any member of Consultant HSSE Staff, at any grade or level, may issue an HSE Violation in accordance to Serial 1.4.
- 4.2 Non-Conformity Reports may only be issued by a qualified QHSE Auditor during a formal Audit on a management system in accordance to the specific procedures of the management system under Audit.
- 4.3 Non-compliances are recorded in either Formal HSE Assessments, Inspections or Observations as per the specific procedures covering these types of evaluations.

##### Frequency

- 4.4 HSE Violations shall be issued within 24 hours of:
  - Either the end of the agreed timeframe in the case of Serial 1.4 (1), or
  - The third observation being documented in the case of Serial 1.4 (2).

##### Reports

- 4.4 HSE Violations shall be recorded using the template found at Appendix 1 to this Instruction.

##### Reporting Mechanism

- 4.5 Original HSE Violation shall be formally issued to the Contractor HSE Manager for action.
- 4.6 Each Project shall keep their own register of HSE Violations, and therefore use their own documented numbering system for the Violation Report.
- 4.7 In all cases where an HSE Violation Report is not actioned, this shall be escalated to ROSHN HSSE Director for contractual action.
- 4.8 Once actioned, and therefore closed-out, the completed HSE Violation Report shall be sent to ROSHN HSSE Data Analyst for recording, reporting and retention purposes.
- 4.9 Number of HSE Violations shall be reported to Public Investment Fund on a monthly basis, as per current Stakeholder/Owner requirements.

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Appendix 1

**HEALTH, SAFETY & ENVIRONMENTAL VIOLATION**

<b>Violation Number #</b>	
<b>Date</b>	
<b>Region (e.g Riyadh)</b>	
<b>Project (e.g. Sedra)</b>	
<b>Detailed Location (e.g. Phase 1a)</b>	
<b>Consultant</b>	
<b>Contractor</b>	
<b>Sub-Contractor</b>	
<b>Specific Individual (if involved)</b>	
<b>Name of Individual competing this form</b>	
<b>Job Title of individual completing this form</b>	
<b>Organization of individual completing this form</b>	

<b>Violation</b>	
<b>Previous Assessment/Observation Evidence Reference Numbers</b>	
<b>Reason of violation (Serial 1.5, #1 or #2)</b>	
<b>Previous Offence Reference Numbers</b>	
<b>Is an Individual involved in all offences</b>	
<b>Action taken against above individual</b>	

<b>Violation to be closed by date</b>	
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**NOTE: Violations shall be recorded and retained against Companies, and on completion of the Works, shall be forwarded to ROSHN Commercial Department, where they may be used as part of the assessment for future tender applications.**