1.0 Purpose

The purpose of this procedure is to ensure processes are in place to undertake effective management of planned temporary and permanent changes that have a significant impact on NCPL's Integrated Management System/ BSR, to ensure that the integrity of the IMS/BSR is maintained.

2.0 Responsibility

The Heads of Departments are responsible for ensuring that Management of Change Processes/ BSR are effectively carried out prior to an identified change being implemented. When the change is categorized as Major, and/or Medium to High priority, as define later in this procedure, the CEO and appropriate Managers shall convene to provide approval or rejection.

3.0 Procedures

3.1 Management of Change Process

Management of Changes is necessary when a change is considered to have a significant impact on the IMS i.e., on the volume and type of the work, on the range of production activities, or on the validity of process outputs or test results.
NCPL's Management of Change Process involves:

➢ Identifying the change, raising, and logging new change requests. The Change must be relevant and achievable.

➢ Assessing the reason / purpose for the changes and their intended consequences.

➢ Assessing the impact, cost, benefits, and risks of each requested change.

➢ The determination of the resources required and ability to enable the change.

➢ The determination of responsibility and authority for the change, including the necessary communication, training, and ongoing review to ensure the change is effective (i.e., the planned act)

- ➢ Providing approval or rejection.

- ➢ Overseeing the planning and implementation of approved changes.

- ➢ Monitoring and reporting the status of changes.

- ➢ Conducting post-implementation reviews and closing out the change request.

- ➢ Whenever IMS system changes are planned, Heads of Departments shall ensure that all personnel are made aware of any changes which affect their processes, and that subsequent monitoring is undertaken to ensure that IMS changes are effectively implemented.

3.2 Identifying Changes that May Impact the IMS

- ➢ Changes that may impact the IMS include, but are not limited to:

  New products, services and processes, or changes to existing products and services and processes including changes to:

  - Controlled IMS documentation.

  - Changes identified from customer complaints and feedback.

  - Workplace locations and surroundings.

  - Work organization, working conditions, workforce, or equipment changes.

  - Legal, stakeholder and other requirements.

  - Changes to knowledge or information about Hazards and risks.

  - Internal audit results.

  - Management Review results.

- ➢ Event Management changes, where new or modified activities, products, or services, or changing operational circumstance are encountered, issues, objectives, targets, and plans shall be reviewed and amended where relevant to ensure the best overall solution is delivered, adhering to NCPL's statement of purpose, values, and sustainable development policy.

➢ Risks associated with planned changes that can have an impact on achieving Asset Management objectives, shall be assessed before the change is implemented.

3.4 Consequences of Unintended Changes

➢ The consequences of unintended changes shall be reviewed, and appropriate action taken to mitigate any adverse effects.

3.5 Requests for Change (RFC)

➢ All requests for change shall be documented, using the NCPL Request for Change Form (RFC).

➢ The change requestor shall submit the RFC to the appropriate Head of Department, who shall:

- Review the RFC to ensure it is completed correctly.
- Enter the RFC into the log record.
- Decide if the RFC has a significant impact on the IMS (as prescribed in this procedure) and assign an impact level and assess the urgency of the change on the infrastructure, end user productivity, and budget.
- Obtain approval from CEO for Major changes with High and /or Medium priority or when an expense is required to undertake the change.

➢ When required, the CEO together with appropriate Heads of Departments shall review and accept, reject, or modify the Request for Change., and

➢ When required the CEO also works with the Change Requestor, and appropriate Department Heads including accounting, to develop specific justification for the change and to identify how the change may impact the infrastructure, business operations, budget and assess the business impact of RFC.

➢ For Minor changes of low priority, with no budgetary expense, Heads of Departments may approve the change after completion of the change process.

➢ If the change is rejected, reasons for rejection to be provided.

3.6 Change Request Impacts

➢ Changes shall be classified into three impact categories: **Minor, Major, and Emergency.**

➢ A **Minor Change** is one that has low risk for critical services, involves understood risks, has predictable outcomes, and/or is a change that is regularly made during normal business. The Heads of Departments shall review and approve any proposed change according to the change process procedures.

➢ A **Major Change** is one that has medium to high risk for critical services, involves unknown risks, and involves downtime which impacts production. A change that is important for the organization and shall be implemented soon to prevent a significant negative impact to the ability to conduct business. The CEO and appropriate managers shall review and approve any such proposed change.

➢ Notification is required at least two-days before required implementation.

➢ An **Emergency Change** is one that involves processes which are already impaired, that require utmost urgency to resolve. A change that, if not implemented immediately, will leave the organization open to significant risk. Approach is to fix first and document the change afterwards. Root-cause analysis shall be performed to determine if the issue can be prevented from occurring in the future.

3.7 Change Request Priority

➢ Based on the following definitions, request for changes shall indicate the proposed priority as follows:

➢ **High**: Critical processes or product lines that can be affected if change is not implemented; existing workarounds are not sufficient to maintain availability, conformity, or to perform required business functions.

➢ **Medium**: Multiple process, or stakeholders can be affected if the change is not implemented; existing workarounds or procedures are sufficient to maintain conformity, or to perform required functions, but longer-term operation may be affected.

➢ **Low**: Single product, process, or stakeholder can be affected if the change is not implemented; existing workarounds are sufficient to maintain product quality, or to perform required business functions.

3.8 Planning & Implementing the Change

➢ The process of planning and completing the change shall be done in a manner that will minimize impact on the infrastructure, stakeholders, and end-users.

➢ The proposed change shall be implemented according to an agreed timeframe and any significant delays shall be reported and justified.

➢ When all relevant actions are closed, the change is implemented.

➢ A record of the date of the implementation of the change shall be made in the RFC Log.

3.9 Status of Changes

The status of the changes is tracked in the RFC Log as follows:

- **Open** – The change has been received and accepted but has not been assigned.

- **In-Progress** – The change has been received, acknowledged, and assigned. Work is in progress to fulfil the change request.

- **Approved** – The business and technical assessments have been completed and the change has been approved.

- **Rejected** – The change has been rejected and will be routed back to the requester and/or sent back to the customer with an explanation and a recommended course of action.

- **Closed** – The change request has been closed.

- **Cancelled** – The change request has been cancelled.

4.0 Modifying or Withdrawing Change Requests

➢ Once a change request has been submitted and a situation arises that the request shall be updated, corrected, or withdrawn, an email shall send to the CEO.

➢ After review, the CEO may require that a new *Request for Change Form* be submitted for updates or corrections, or the RFC may be withdrawn.

4.1 Documentation

➢ Documentation shall be required for all significant changes and is developed and maintained throughout all phases of the change management process by the responsible Heads of Departments.

➢ Supporting documentation shall include but not be limited to:

- Change specification/requirements.

- Approval/acceptance of change specification/requirements.

- Production changes and scheduling documentation.

- Communication of changes to functional business units, such as memos and e-mails.

- End-user documentation (when appropriate).

- Documented fall-back plan (when appropriate)

Documentation shall be used for reference purposes and for future evaluation and changes. It will also ensure knowledge transfer in the event that the original Change Requestor and Heads of Departments is unavailable. It is imperative that documentation is complete, accurate, and kept up to date.

NCPL-IMSP-017
MANAGEMENT OF CHANGE PROCESS MAP

KEY PROCEDURES

• Identify Changes
• Assess Impact
• Resources
• Responsibility & Authority to Effect Change
• Provide Approval or Rejection
• Monitor, Report & Review Change
• Close Out Change Request

HEADS OF DEPARTMENTS

KEY INPUTS/ IMPACTS

• Controlled Documentation Changes
• Customer Complaint Changes
• Workplace Locations
• Work Organization
• Legal Changes
• Internal Audits
• Management Reviews
• IMS Changes

MANAGEMENT OF CHANGES PROCESS

Inputs
Change Impact
Change Impact
Outputs

SIGNIFICANT CHANGE

• Complete Request for Change from RFC
• Enter into Log
• Approval Process

IMPACTS

• Minor
• Major
• Emergency

PRIORITY

• Low
• Medium
• High

NO SIGNIFICANT CHANGE

• Head of Department Decides on Impact / Priority and Cancels / Rejects Request for Change

KEY OUTPUTS

• Approval / Rejected Changes
• Amended Process
• Change Workflows
• Customer Satisfaction

DOCUMENTS / RECORDS

• RFC Records
• Change Status Log