



**NASSAU**  
CRUISE PORT



# PROCEDURES

# INTEGRATED MANAGEMENT SYSTEM

- Ø Quality Management System: ISO 9001:2015.
- Ø Environmental Management System: ISO 14001:2015.
- Ø Occupational Health And Safety Management System: ISO 45001:2018.
- Ø Asset Management System: ISO 55001:2014.
- Ø Event Management System: ISO 20121:2012.



## INTEGRATED MANAGEMENT SYSTEM PROCEDURES

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Manual Identification	IMSP
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Authorized by:	
<hr/> <i>Mike Maura</i> <i>Chief Executive Officer</i>	



Procedure Number	Title	Number of Pages	Date	Revision Number	Amendment Date
IMSP-001	Objectives and Targets	4	1 <sup>st</sup> January 2023	00	-
IMSP-002	Management Review	6	1 <sup>st</sup> January 2023	00	-
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IMSP-004	Document & Data Control	5	1 <sup>st</sup> January 2023	00	-
IMSP-005	Internal Audits	5	1 <sup>st</sup> January 2023	00	-
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## **1.0 Purpose**

The purpose of this procedure is to ensure that processes are in place to implement, maintain and continually improve NCPL's Integrated Management Systems compliance and performance.

## **2.0 Responsibility**

This procedure applies to all employees who have responsibility for managing any of the NCPL's processes, activities, or services, which may present significant impacts on the IMS.

Department Heads are responsible for recording the IMS Objectives and Targets for his / her department in the beginning of the year in accordance with the procedures that follow:

## **3.0 Procedures**

IMS Objectives, Targets and Plans shall be established which are consistent with the IMS Policies, and upon achievement, demonstrates compliance and continuous improvement of the IMS according to the following procedures:

### **3.1 Identifying Objectives, Targets and Plans**

Objectives, Targets and Plans are set by the Heads of Department and CEO to establish overall and often long-term concerns about NCPL's IMS performance. Numerous objectives may be set which may or may not have specific, measurable targets associated with each of them. It is important to remember that targets must be measurable.

Objectives and Targets should be considered in NCPL's KPIs and are established to meet the goals of the NCPL's IMS Policies

Example: An objective of the organization may be to have their processes ensure 100% success to reduce electrical consumption and energy use. A target associated with that objective could be set by the organization by stating that they will reduce electrical consumption by 8% over the next three years in specific processes.

As you can see, the target is measurable, but the objective doesn't have to be.

Targets, Objectives, and Plans may include some or all the following concerns:

- Reduction of waste generation.
- Quality impacts of Suppliers and Subcontractor's Activities.
- Reducing Rework.
- Quality, Environmental, Occupational Health and Safety (OHSE), Asset, and Event Management policy issues.
- Significant environmental impacts, and health and safety hazards.
- Risk and opportunities.
- Results of worker consultation.
- Applicable laws and regulations and potential future laws and regulations.
- Practical business criteria, such as the potential costs and benefits of pursuing a particular environmental objective and our commitment to pollution prevention.
- The views of employees and other interested parties.

Most Operational Targets should be identified at the divisional head, by the Executive Management Team and be included within the framework of the annual budgetary/planning process already in place namely the Management Review / BSR meeting.

An evaluation and modification of Objectives and Targets is carried out annually.

The results of these reviews should be included in the information supplied to management for the Management review / BSR meeting.

Decisions are then made concerning the scope and intent of the original targets and objectives, as well as the key performance indicators about how the targets and objectives were met.

Department heads while setting objectives and targets should keep the following in mind:

- Objectives should be consistent with the Policy; Compliance and Continual Improvement Philosophy of the Policy driving them.

- Make Objectives flexible; Make a statement of the results desired and allow staff members to define the “How” portion wherever possible.
- Make Objectives simple; at first then build on them.
- Make Objectives understood to all members of the team.
- Make realistic Objectives and Targets.
- Ensure Objectives, Targets and Plans are achieved.

REMINDER: Don't forget the existing opportunities for our suppliers and subcontractors to assist us in conformance to the Standard.

### **3.2 Monitoring**

Continuous monitoring of the implementation of the environmental aspects and impacts and IMS processes, and its outputs, take place against appropriate performance indicators to ensure process compliance and effectiveness. Monitoring may take a variety of forms and range from self-assessment and internal audits, to detailed reviews by independent external experts.

### **3.3 Training and Communication**

To ensure that adequate IMS management competency levels are achieved and maintained, NCPL provides regular briefings and training courses in the IMS management process.

Training is facilitated by the OHSE Manager, Additional ad-hoc training is provided as required.

NCPL communicates progress towards achieving its IMS Objectives and Targets throughout our organization and uses regular reporting to discuss progress at staff meetings or by posting key targets and progress towards achieving those targets on notice boards.

Examples of areas where an organization can have internal performance criteria might include:

- Management Systems
- Employee responsibilities



- Suppliers
- Contractors
- Marine Services projects
- Waste management
- Transportation
- Process Control
- Maintenance
- Employee Safety

## 4.0 Records

Objectives and Targets File

## **1.0 Purpose**

The purpose of this procedure is to ensure processes are in place to undertake effective Management Reviews/ BSR of NCPL's Integrated Management System to:

- Assess continued suitability, effectiveness, and adequacy, of the existing processes and procedures to satisfy NCPL's IMS, policies, objectives, and targets and alignment with the NCPL's strategic direction.
- Report deficiencies and make suggestions for improvements where required.

## **2.0 Responsibility**

The Heads of Departments and Senior Managers are responsible for ensuring that Management Reviews / BSR are effectively carried out at the prescribed intervals, in accordance with the procedures that follow:

## **3.0 Procedures**

The Management Review / BSR shall be held periodically, or when a significant event, i.e., accident/incident affects NCPL or its affiliates, but at no more than 6 monthly intervals.

- Findings, conclusions, and recommendations for improvement of the IMS shall be properly documented to provide a record of the review.
- Measures intended to prevent recurrence may be circulated, as deemed necessary.
- When considered appropriate, findings of the Management Review / BSR may be circulated as appropriate.
- Reviews may be held over several smaller meetings spread over a period, each meeting dealing with a different topic or an agenda and is attended by the Heads of Departments and other personnel as deemed appropriate.
- An agenda for the Review shall be prepared and circulated to all appropriate personnel prior to the Review.

- Any corrective outputs from the management review meeting shall be actioned as necessary through the nonconformity and corrective action system.
- Management review results shall be summarized, specifying management commitments, and directives.
- Action items shall specify responsible individuals and target completion dates. Affected individuals include those impacted by or responsible for addressing findings.

### **3.1 Management Review Inputs**

The meeting must as a minimum address all of the following areas: (and are considered during the development of the BSR agenda)

- The status of actions from previous Management Reviews / BSR Reviews.
- Consideration for updating the IMS in relation to changes in regulations, market demands, etc.
- Internal & External audit results.
- Budget documentation review.
- Resources: people & training, facility, and equipment.
- The extent to which IMS objectives have been met.
- Internal and External issues relevant to IMS processes.
- Review of IMS Review of Policies and Objectives and Targets.
- Changes affecting the IMS Policies and Objectives and Targets.
- Opportunities for improvement.
- Consideration of the performance and effectiveness of NCPL's IMS Processes, including trends and changes in
  - Nonconformities and Corrective Actions.
  - Monitoring and Measuring Results.
  - Fulfillment of compliance obligations and expectations with Legal, Governmental, Interested Parties and other relevant requirements.

- The adequacy of resources for maintaining an effective IMS Management System.
- Relevant communication(s) with interested parties, including complaints.
- The effectiveness of actions taken to address risks and opportunities.

### **3.2 Quality Process Inputs**

- Customer satisfaction and feedback from relevant interested parties.
- Process performance and conformity of products and services.
- Performance indicators and objectives.
- Performance of external providers.

### **3.3 Environmental Process Inputs**

- Significant environmental aspects.

### **3.4 Occupational Health & Safety Process Inputs**

- The needs and expectations of interested parties.
- Risks and opportunities.
- Consultation and participation of workers.

### **3.5 Asset Management Process Inputs**

- Asset Management activity.
- Changes in the profile of risks and opportunities.

### **3.6 Event Management Process Inputs**

- Consideration of the performance and effectiveness of NCPL's IMS Event Management Processes, including trends and changes in:
- External and internal issues that are relevant to the Event Sustainability Management System.
- Information on the event sustainability performance, including nonconformity trends and corrective actions, monitoring and measurement evaluation results.

- Opportunities for continual improvement.
- Evaluations of compliance.
- Communications with interested parties and changes in the expectations of interested parties.
- The extent to which Event objectives and targets have been met.
- Status of corrective and preventive action.
- Changing circumstances, including developments in legal and other requirements related to its sustainable development policy.
- Progress against governing principles of sustainable development and that the Event Management System remains aligned with these principles.
- Management reviews shall assess the need for changes including the statement of purpose and values.
- Review of Event Management Policy Objectives and Targets.
- Changes affecting the Event Management Policy Objectives and Targets.
- For the Event Sustainability Management System to continue to conform to this International Standard, the organization shall ensure, through management review, that it remains aligned with its governing principles of sustainable development relating to event management.

### **3.7 Management Review Outputs**

The outputs of the Management / BSR review may result in decisions and actions related to:

- Continued suitability, adequacy, and effectiveness of IMS Management System in achieving its intended outcomes
- Opportunities for continual improvement.
- Any need for changes to the IMS.
- Resource needs, including human resources.

- Conclusions on the continuing suitability, adequacy, and effectiveness of the IMS in achieving its intended outcomes.
- Decisions related to continual improvement opportunities.
- Decisions related to any need for changes to the IMS, including resources.
- Actions, if needed, when IMS objectives have not been achieved.
- Opportunities to improve integration of the IMS Management System with other business processes, if needed; and
- Any implications for the strategic direction of the organization.
- Top management shall communicate the relevant outputs of Management Reviews to workers, and, where they exist, workers' representatives.

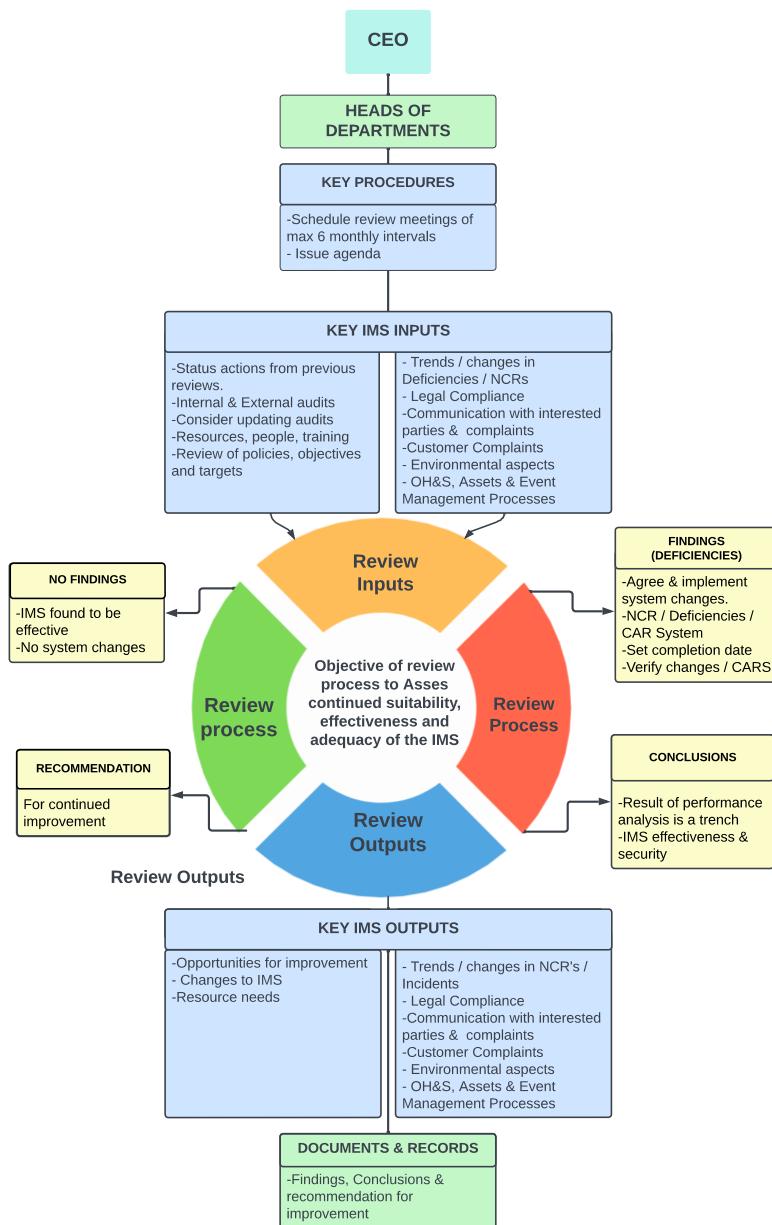
### **3.8 Record Keeping**

As a minimum, the following will be documented:

- Agenda – must include, at minimum, all points listed in the Review Input.
- Date of Review.
- Who performed the review (list of attendees)?
- What was reviewed?
- Result of Review.
- Action Point.
- Assignment of Action Points – together with target completion date.
- Status of Previous Actions.
- Conclusion.
- Performance of subcontractors.
- Incident trends or Quality, Environmental, OHSE, Asset, and Event problems.
- Budget documentation review.
- Customer Complaints – Summary of complaints for trending issues and resulting actions.
- Resources: people & training, facility, and equipment.

## NCPL-IMSP-002

### Management Review/BSR Process Map





## 1.0 Purpose

The purpose of this procedure is to ensure that processes are in place to undertake effective Contract Reviews of NCPL's Integrated Management System (IMS) with the objective to:

- Ensure that the quality of services performed by the NCPL, and its suppliers and agents meet the requirements of the Contracts and Agreements currently in place, thereby ensuring that the expectations and needs of NCPL's customers are met.
- Reduce the risk associated with contractual relationships.
- Ensure that Contracts for Supply Chain Events Management conform to NCPL's requirements for sustainable development.

Following are considered for the expiring contracts:

- Vendors capabilities and purpose.
- Experience in delivering the job.
- Opportunities for improvement and vendor flexibility to adapt to NCPL's requirements.

This procedure applies to all Contracts and Agreements currently in force which includes but is not limited to:

- Equipment Maintenance Contracts.
- Supplier Agreements.
- Employee Agreements – HR Manager will be responsible.
- Contracts for Outsourced activities.

## 2.0 Responsibility

Heads of Departments are responsible for ensuring that Contract Reviews are held at the prescribed intervals, in accordance with the procedures that follow. The review may also be attended by:

- Chief Executive Officer.
- Other personnel as deemed necessary.

### **3.0 Procedures**

The Contract Review may be held in conjunction with the Management Review / BSR of the IMS, or separately by the Heads of Department with written notice provided to the CEO who shall review all contract reviews and where needed approve or disapprove any changes. Major changes shall be processed through the Management of Change Procedure.

The Review shall determine that:

- Services as provided in the past meet with NCPL's and customer expectations, and any contract extension is approved.
- Where required a risk assessment shall be undertaken.
- Alternate sources are to be determined for services, where appropriate.
- Adequate resources remain available for the requirements of the contract.
- The scope of the management has not changed.
- No ambiguity exists between the services being provided and the stipulated requirements.
- The terms of the contract remain valid and are still acceptable to both parties. Verbal agreements, where they exist, are reviewed, agreed to where needed, and properly documented for acceptance and compliance.
- All applicable regulations, codes and standards are complied with.
- Any differences or non-conformances which may arise are adequately addressed and rectified.
- Financial or liability exposures to NCPL are understood, and safeguards provided.
- All contracts and agreements shall be reviewed by the CEO and or his/her designate prior to execution.
- A record of the Review shall be maintained.



- Amendments to Contracts and Agreements shall be documented, and upon agreement of the changes being reached, either a new contract shall be drawn up, or the faxed or emailed amendment signed by both parties shall be attached to the original.

#### 4.0 Records

- Record of Review.
- List of Contracts and Agreements subject to Annual Review.

## 1.0 Purpose

The purpose of this procedure is to ensure that processes are in place to undertake effective control of NCPL's Integrated Management System (IMS) documents and data with the following objectives:

- Ensure that valid documents are available at all relevant locations.
- Changes to documents are reviewed and approved by authorized personnel.
- Obsolete documents are promptly and reliable removed.
- Hard copies or print outs taken for personal use are marked as uncontrolled.

## 2.0 Responsibility

The Heads of Departments are responsible for ensuring that document and data controls are effectively carried out in accordance with the procedures below.

Individual Department Heads are document owners and are responsible for ensuring that their controlled department manuals and documents, if any are maintained in accordance with these procedures.

## 3.0 Procedures

All document and data reviews will be coordinated by the Heads of Departments and the CEO. Reviews may be held at the same time as BSR Management Reviews.

The NCPL's Master List of Controlled Documents identifies those documents which have been given controlled status, as deemed appropriate by the Head of Department. The Master List identifies the current revision status and distribution of each document.

The proper handling of all documents is undertaken to ensure that obsolete or invalid documents are promptly removed from points of issue or use and ensure that obsolete documents are retained as records and/or for reference are suitably identified.

The document and data control of NCPL's IMS as a minimum ensures that:

- Pertinent issues of appropriate documents/ data are available at all relevant locations.

- Invalid and/or obsolete documents / data are promptly removed from all points of issue or use, or otherwise assured against unintended use by marking “uncontrolled document”.
- Changes to documents and data shall be reviewed and approved by the same function that performed the original review and approval.
- Up-to-date documents are available as necessary to meet requirements.
- Documents of external origin are identified, and their distribution controlled.
- Documents remain legible and identifiable.
- Documents are adequately protected from improper use and loss of confidentiality or loss of integrity.
- Documents are retained for required periods and disposed of appropriately.
- Access to relevant documents includes access by workers and where they exist workers representatives.
- Mandatory documented information is retained or maintained.

#### **Review and Approval of New and Amended Documents:**

All requests for new and/or amendments to existing controlled documents shall be made verbally during office management meetings or in writing where appropriate, and may include:

- Reasons for the changes or the need for new documents.
- New wording / content in draft form.
- Reference to the existing documentation that is to be amended, if approved.

The request shall be reviewed by the Department Heads, and other key personnel as appropriate, to establish that:

- The need for the changes / additions is valid.
- The content / wording is compatible with NCPL policy, and is clear, unambiguous, and suitable for inclusion in the IMS.
- The format is in accordance with IMS documentation requirements.
- Input from all personnel has been obtained, where appropriate.

The key points of the request shall be forwarded to the CEO or in his/her absence to the Deputy for review and approval.

- If the request is approved by the CEO, the Heads of Departments shall ensure that the appropriate section(s) is/are updated and circulated to all designated document holders (owners), and the appropriate Department Head shall ensure that the Master Controlled Document List is updated.
- The review shall be documented and filed, where appropriate.
- Notification of rejected requests shall be given to the originator with the reason for rejection.

#### **Amendments to existing IMS documents:**

- All changes to IMS documents are recorded on a corrections log or to the Index as applicable. When appropriate, a completely new edition shall be issued.
- Affected page(s) and the corrections log are re-issued and carry an updated revision to make changes obvious and for ease of reference.
- Text changes shall be indicated, where practicable, by a vertical line in the right-hand side of the margin, adjacent to the revision.
- It is acceptable for small changes, e.g., telephone numbers, to be temporarily entered by hand until the section is officially amended.
- Minor changes can be made by hand.

#### **Control of Documents of External Origin**

- NCPL has no control over changes or amendments to documents of external (third party) origin but shall ensure that when they are made by the publishers or distributors, they are to be obtained and distributed without delay.

- The CEO or his appointed deputy is responsible for ensuring that all documents of external origin, such as regulations, codes, rules, guidelines, and technical publications, are received and distributed and obsolete documents are handled as per the above guidelines.
- All third-party documentation in use which shows no indication of cancellation shall, therefore, be deemed to be current.
- Manufacturer's instruction manuals are not updated unless a technical amendment notice is issued. Such notices shall be incorporated in a similar manner to other amendments.

### **Quality Records**

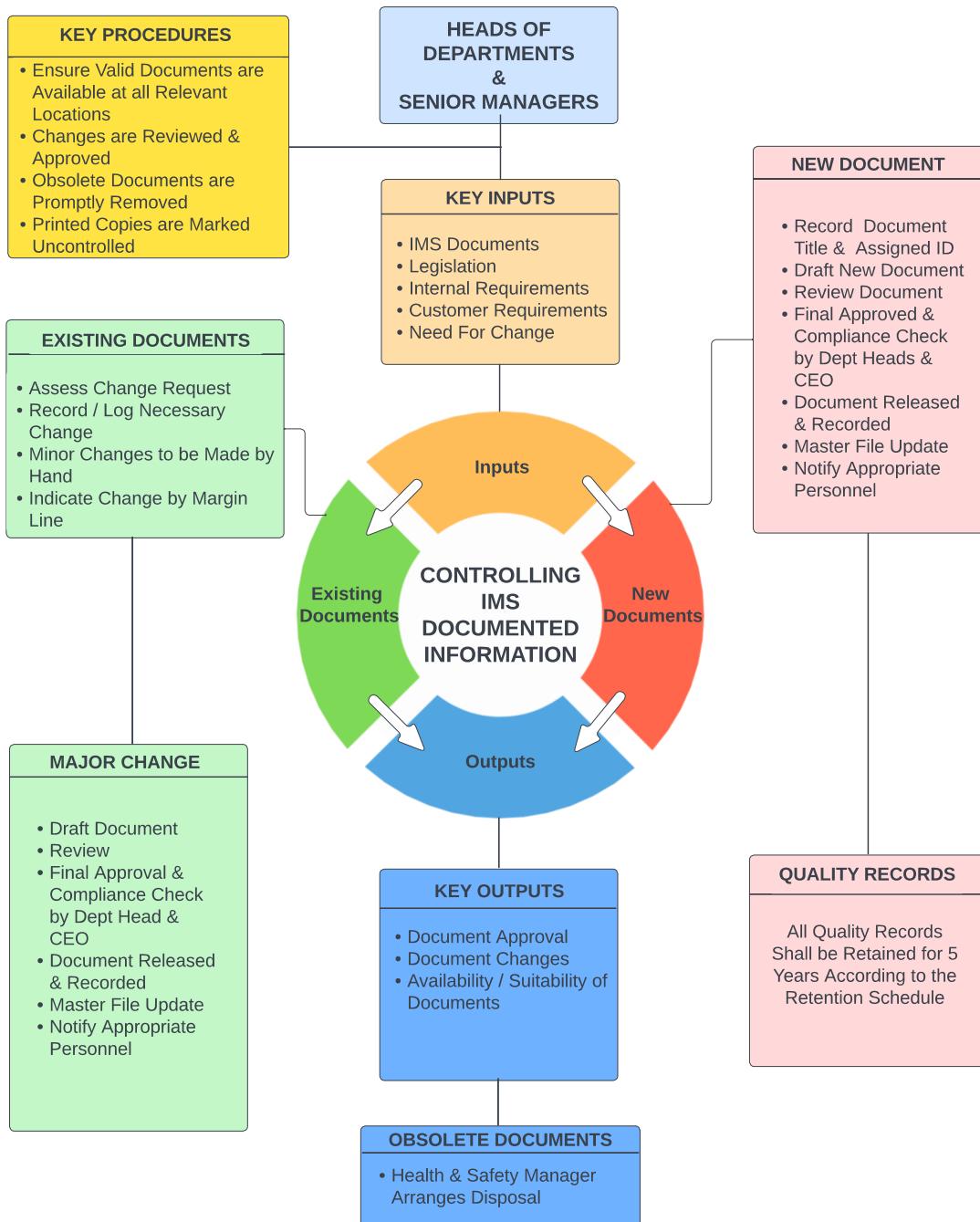
- NCPL records which are essential to the IMS shall be stored so that they are readily identifiable, accessible, and easily retrieved. They are protected from loss, damage, or deterioration by those charged with their safekeeping.
- Customer communication and Employee evaluation forms are identified and are maintained by each Division\ Department. The records are maintained at the respective locations or when impractical are kept at locations from where they could be easily accessed.
- Personnel training records such as prior learning experience; previous experience and qualifications; personal details; qualifications and courses attended are maintained by the Human Resources Department and made accessible to authorized personnel only.
- All guidance documents from External Regulatory Bodies will be maintained as a part of the Quality Records Systems.
- All such records should be made available to all process owners.
- All quality records will be retained according to the retention schedule.



## 4.0 Records

- Master List of Controlled Documents.
- IMS Manuals.
- Applicable Records as per Index of Company Forms.

**NCPL-IMSP-004**  
**DOCUMENT CONTROL PROCESS MAP**



## **1.0 Purpose**

The purpose of this procedure is to ensure processes are in place to undertake effective Internal Audits of NCPL's Integrated Quality, Environmental, OHSE, Asset and Event Management System (IMS) with the objective to:

- Ensure that audits are effectively carried out at prescribed intervals.
- Ensure that audits address any non-conformity with the requirements of NCPL's IMS and ensure that effective implementation of corrective/preventive actions are put in place.
- Ensure that the Integrated Management System conforms to NCPL's and ISO requirements and that it is effectively implemented, maintained, and achieves the policy objectives and targets.
- Ensure that relevant audit results are reported to workers, and, where they exist, workers' representatives, and other relevant interested parties.

## **2.0 Responsibility**

Audit team is identified by Heads of Departments and are responsible for ensuring that audits are carried out at the prescribed intervals in accordance with the procedures that follow:

## **3.0 Procedures**

Heads of Departments shall at the beginning of each year prepare an Internal Audit schedule that ensures that each of NCPL's Departments are audited at 6-month periods.

- Audits to be based on random sampling.
- Audit team to be trained in the basic auditing techniques and cross – department audits to be done by the audit team.
- In exceptional circumstances the 6-month period may be exceeded by up to 3 months.

- The scope of the Audit shall enable objective evidence to be obtained that NCPL's Integrated Quality, Environmental, OHSE, Asset and Event Management System. Specified requirements and procedures are being effectively followed and that any non-conformance or deficiency is identified for corrective/preventive actions to be implemented. With respect to a single department, the audit scope will make every effort to limit the time of a specific audit to one day to avoid potential internal and external customer service failures.
- At each BSR the scheduled Internal Audits for the following six-month period will be distributed and resource requirements considered. In extraordinary circumstances, and where practicable, at least fifteen (15) days written notice is given of the intention to conduct an unscheduled audit. Initially, the auditor may informally contact the Auditee to agree a mutually convenient date and to discuss the audit scope. Confirmation of all such discussions should be made in writing, giving details of the proposed agenda or itinerary and the dates and times of the audit.
- The Heads of Department plan the audits taking into consideration the importance and status of activities and results of previous audits.
- The audit schedule is prepared before the Management Review / BSR Meeting and approved at the BSR meeting.
- The outcome is reported directly to the Department Heads and ultimately to the Chief Executive Officer.
- Any Non-conformances/ Observations identified by the audit shall be discussed with all appropriate personnel to include the Head of Department under audit and the resolution of the corrective action will be determined by the senior manager or responsible executive with a written report provided to the CEO.
- The frequency of audits can be increased as deemed necessary by the Head of Department or Department Heads and CEO to verify conformance with prescribed standards.

- An Internal Audit checklist may be used to help with the audit. The audit checklist can be modified to suit the auditor's needs.
- The Department Heads and CEO may require additional or random audits to be carried out when found necessary because of an IMS Systems Review, or in response to an undesirable occurrence or adverse trend identified within NCPL.
- The Heads of Departments maintains records of all Internal Audits. These records contain the audit plan and non-conformance reports, including verification of corrective actions.
- Records shall be kept available for analysis and reporting and presented at each BSR.

#### **The Internal Auditor:**

- Must be independent of any area under audit.
- Is in charge of the audit and issues an audit summary report at the conclusion of the audit.
- Conducts opening and closing meetings.
- Performs the audit in accordance with the internal audit schedule.
- Conducts the audit in accordance with the Audit Scope.
- Uses audit checklists with items applicable to the element being audited from, but not limited to, the following documents:
  - Integrated Quality, Environmental, OHSE, Asset and Event Management System Procedures Manual.
  - The integrated Quality, Environmental, OHSE, Asset and Event Management System Policies Manual.
  - Work Processes (W.P.)
- Audits areas that interface with the area under audit.
- Uses Customer Specific requirements.
- Records any Non-conformance on the Non-Conformance Form.

- Reviews any resulting corrective actions with the auditee during the closing meeting.
- Performs follow up audit to verify implementation of the corrective and preventive action.
- The Auditee/Dept. Head is to be available to the Interna Auditor during the audit.
- The Auditee/Dept. Head is to respond to the corrective action requests in a positive manner and agree a date for completion & verification.
- The Auditee/Dept. Head is to ensure that any agreed action is implemented, effective and sustained to prevent reoccurrence of the non-conformity.

#### **4.0 External Audit**

- An annual External Audit shall be carried out, by a recognized organization to evaluate the activities of NCPL's IMS.
- The Heads of Departments shall liaise with the external auditing body to arrange the date and time, giving staff sufficient notice of the proposed audit date.
- The Auditee/ Heads of Departments shall always accompany the auditor.
- The Audit results shall be recorded and processed in accordance with the internal procedures in 3.0 above as appropriate.

#### **5.0 Records**

- Audit schedule.
- Internal/external Audit Reports.
- Divisional/ Departmental Response.
- Auditor Training Record.
- Non-conformance/deficiency reports.

**NCPL-IMSP-005**  
**INTERNAL AUDIT PROCESS MAP**





## 1.0 Purpose

The purpose of this procedure is to ensure processes are in place to initiate corrective and preventive actions, with the objectives to:

- Address and rectify non-conformities and deficiencies in NCPL's Quality, Environmental, OHSE, Asset and Event Management System. (IMS)
- Provide for the analysis of non-conformities and monitor any trends that may become evident.

This procedure covers all incidents where non-conformities and/ or deficiencies are detected during the internal or external audits or whenever an accident/incident occurs that may affect the integrity of NCPL's Quality, Environmental, OHSE, Asset and Event Management System.

Any corrective action taken to eliminate the cause of non-conformity is appropriate to the magnitude of the problem whilst also being in proportion to the risks presented by the non-conformity. Root causes of process non-conformities, including those arising from complaints are investigated and actions implemented to prevent their recurrence.

## 2.0 Responsibility

The Heads of Departments are responsible to the Chief Executive Officer for examining and analyzing non-conformances, monitoring corrective actions, and where appropriate, reviewing existing systems for any necessary improvements in accordance with the documented procedures.

## 3.0 Procedures

The Heads of the Department shall record all complaints from customers, vendors, and staff.

- All identified non-conformities and / or potential non-conformities shall be investigated to identify the root cause.
- The Quality records, generated as a result of measurement and monitoring of NCPL's services, are analyzed and corrective and preventive actions are initiated to make improvements in line with the Quality Policy.

- Corrective actions are initiated by the Head of Departments to eliminate the root cause of non-conformity, based on the priority as determined by the magnitude of the severity of non-conformance, the potential risk of customer dissatisfaction and the required level of resources.
- All such corrective actions are regularly monitored to ensure that solutions are positively implemented and the same are effective. Changes brought in the procedures and systems as a result are incorporated in the Quality Documents as per documented procedure for document control.
- When appropriate suppliers shall contribute to conformity evaluation and to addressing non-conformity.
- Evaluate with the participation of workers and involvement of other relevant parties and stakeholders the need for corrective actions to eliminate the root cause in order to prevent recurrence.
- Determine if similar incidents have occurred if non-conformities exist or if they could potentially occur.
- All critical issues identified for corrective and preventive actions and the subsequent resolution of them are reviewed in the Management Review / BSR meetings.
- A structured approach that may include problem definition, process mapping, data collection, analysis of root causes, working out countermeasures and checking the effectiveness is followed by NCPL to ensure a lasting solution to the identified problem. The records, as applicable of preventive actions are also maintained.
- The Head of Department will undertake to identify system failures and to correct these as quickly as possible in order to prevent, where possible, any adverse effects upon the services provided by NCPL. The Heads of Departments will post revised processes and procedures to the IMS ISO portal site.



- The Head of Department when satisfied that the corrective action taken is effective, signs and closes out the NCR. The closed-out NCR is copied to the originator and all affected parties by the Heads of Departments who keeps all NCRs on file and monitors that the corrective action taken remains effective.
- Where the corrective or preventive action involves the amendment of a procedure or work instruction, the NCR can be considered closed out when the proposed changes have been confirmed by the Head of Department and when appropriate Lead Auditor and procedures have been modified and put in place.

Appropriate corrective actions may take the form of:

- Revision of a company procedure or form.
- Issue of a new procedure and/or work instruction.
- Removal of a supplier / sub-contractor from the Company's Approved List.
- Ensuring that personnel adhere to company procedures.
- Further training or education.
- Dismissal of personnel.
- Review of Management Agreement.

#### 4.0 Records

- Corrective and Preventive Action records.
- Non-Conformance Reports.
- Management review / BSR Meeting Records.

**NCPL-IMSP-006  
CORRECTIVE & PREVENTIVE ACTIONS**





## 1.0 Purpose

The purpose of this procedure is to ensure that processes are in place to identify and control non-conforming services, products, materials, equipment, procedures, and unintentional events that do not conform to the specified requirements of IMS Integrated Management System or customer requirements.

Corrective and preventive actions shall be put in place to prevent a similar recurrence.

This procedure applies to all activities and controls required to maintain the on-going quality performance of IMS.

## 2.0 Responsibility

The Heads of Departments are responsible for ensuring that non-conformances are identified, and effective corrective and preventive actions are implemented in accordance with the documented procedures.

## 3.0 Definitions

### Incident:

An incident is an undesired event that could or does result in financial loss. Incidents include accidents, non-conformities, damages and near misses.

### Near Miss:

An unplanned event that did not result in accident, injury, illness, or damage, but had the potential to do so.

### Non-Conformance:

A non-conformance is defined as being a non-fulfillment of a specified requirement which is outlined in the Integrated Management System documentation, and/or Customer complaints.

**Major Non-Conformity:**

Major Non-Conformity is an identifiable finding where a total absence of a required system element or function is observed, or where a system is in place, but a significant number of non-conformities are present within it.

**Observation:**

This is not treated as a “non-conformity” but is a comment on the IMS for reference and guidance only. It will be issued on a non-conformity form to assist in the development and continuous improvement of the IMS Management System.

**Concessions:**

NCPL does not design or develop any products and services under Section 8.3 and therefore concessions are not required.

**4.0 Procedures**

All NCPL personnel are responsible for identifying and reporting non-conformities and incidents including personal injury, fatalities etc. The appropriate Heads of Departments are responsible for monitoring areas under their responsibility, and to identify and control non-conformities in accordance with the procedures that follow:

- Identify the non-conformity.
- React in a timely manner, and as appropriate take action to control and correct it, and deal with the consequences, including mitigating adverse environmental impacts.
- Review the non-conformity and determine the cause.
- Determine if similar non-conformities exist or could potentially occur.
- Implement any actions needed.
- The Procedure for Corrective and Preventive Actions shall be followed as required.
- Make changes to the IMS if necessary.
- The appropriate incident report form shall be used whenever possible and practicable.

- The Heads of Departments are responsible for ensuring that quality related problems and Customer complaints are resolved, and for allocating a serial number to each incident report.
- The Heads of Departments will keep the Chief Executive Officer informed of major Non-Conformance and associated proposed corrective and preventive actions.
- An Incident Report shall:
  - Identify and record non-conformances.
  - Record the root cause analysis – statistics.
  - Evaluate that corrective actions are sufficient to prevent recurrences.
- In cases where a delivered service is non-conforming by failure to meet customer requirements; but the delivered service can still be utilized by the customer, the appropriate Heads of Departments shall obtain a written agreement from the customer to seek approval for use of such services.
- Terms are agreed and documented between the appropriate Head of Departments and the customer and then shall be approved by the CEO. Non-conforming services may also be reworked to meet the specified customer requirements.

## **5.0 Non-Conformance & Incident Reviews**

Monthly reviews and analysis of Non-conformances, incidents and associated Corrective Actions as needed shall be made by the Heads of Departments to identify trends. These are discussed during Management Reviews /BSR.

The responsibility for ensuring the follow-up to verify the effectiveness of the corrective action or preventive action lies with the Heads of Departments.

Reviews of Non-conformances and incidents may take into consideration the following:

- Actions taken for each recorded non-conformance.
- Investigating the root cause of a non-conformance.
- Identification of trends and appropriate measure to prevent.

- Evaluation and determination of actions to be taken to eliminate the cause of non-conformances.
- Control of nonconforming product to prevent unintended use.
- Applying controls to ensure that corrective actions are taken and are effective.
- Taking action to mitigate any environmental impact caused.
- Analyzing all procedures, practices, records, audit results, and customer complaints of non-conformances.
- Implementing and recording changes in procedures resulting from corrective and preventive actions: and
- Target date for implementation of identified corrective action(s) or preventive action(s).
- Records of the review shall be kept.

## **6.0 Records**

- Incidents Reports.
- Incidents Log.
- Monthly Meeting Review Records.



## 1.0 Purpose

The purpose of this procedure is to ensure processes are in place to undertake effective control of customer supplied products, to ensure that customer supplied property is properly identified, protected, and cared for whilst under NCPL's control.

## 2.0 Responsibility

The Heads of Department shall be responsible for ensuring that customer supplied products are cared for in accordance with the procedures that follow:

## 3.0 Procedures

- All customer supplied property, equipment and materials shall be suitably identified, protected, stored, and where required, analyzed for quality control purposes.
- Customer documents received in NCPL's care shall be controlled and monitored for the proper use, storage, and maintenance of such documents. The identity and status of the documents are to be maintained.
- Where damage does occur, this is identified and conveyed to the owner by NCPL, and a non-conformance report is raised, followed by the required corrective action.
- The following are examples of customer property:  
Equipment, manuals, records.

## 4.0 Records

- Non-Conformance Reports.
- List of Customer Supplied Products.



## 1.0 Purpose

The purpose of these procedures is to enhance NCPL's Quality Policy Objectives for ensuring that customer requirements are determined and met, with the aim of enhancing customer satisfaction.

NCPL personnel are in constant communication with clients throughout each job as necessary, obtaining continual feedback. At the end of each job a verbal debriefing may be held with the client. This feedback and other information may be consolidated into a 'lessons learned' document for future reference.

## 2.0 Responsibility

The Heads of the Department is responsible for ensuring that customer requirements and customer satisfaction are met in accordance with the procedures that follow.

## 3.0 Procedures

### Determination of Customer Requirements

- Client engagement shall be undertaken at least on an annual basis, whenever possible to review the level of service provided and to assess the degree to which Customer requirements are being met.
- Existing Customer requirements shall be reviewed as to the effectiveness of the service provided where additional requirements are needed, such may be implemented as additional services where appropriate and further resources may be allocated.
- Customer requirements may also be reviewed informally during telephone conversations and email exchanges. Such reviews shall be written down (where verbal).
- Prior to implementing any changes to Customer requirements, the Heads of Department shall approve the changes.

### **Meeting Customer Requirements**

Prompt, professional, and complete responses to existing Customer requirements shall be maintained, in accordance with the NCPL Quality policy:

- All Registration, Certification, Surveying, Purchasing and Accounting matters must be well documented, and controls and procedures shall be professionally audited by outside auditors at regular intervals.
- The Integrated Management System is reviewed internally to assess whether Customer requirements are being met.
- Procedures for handling customer complaints and non-conformances are evaluated during reviews and corrective action undertaken where appropriate.
- NCPL effectively measures customers' satisfaction of services provided so that it can have an immediate impact on the direction of the organization. Knowing and understanding customer's' perceptions will allow NCPL with the ability to make knowledgeable improvements or expand on areas in which it excels.

### **Customer Feedback and Communication**

- Feedback from customers and others with regards to their level of satisfaction with the services provided by NCPL, shall be actively sought by Heads of Departments, to continually enhance customer satisfaction.

## **4.0 Records**

- Client Survey Records.
- Client Feedback.



## 1.0 Purpose

The purpose of this document is to define the procedure to be followed by ALL departments if there is an incident, accident or near miss situation within the Nassau Cruise Port facilities.

The intent of any resulting investigation is to establish the facts and circumstances related to the event in order to determine the root cause and develop remedial action to control the risk.

## 2.0 Responsibility

This procedure applies to ALL departments. The OHSE Manager (OHSE Department) is responsible for ensuring that all accidents, incidents, and near misses that are associated with the NCPL Integrated Management System are actioned to mitigate any consequences that may arise, in accordance with the procedures that follow:

## 3.0 Procedures

### 3.1 Internal Reporting

- ALL injuries, illnesses, environmental concerns, and near-misses that occur on the job shall be reported immediately by the affected person to the responsible supervisor and forwarded to the OHSE Department.
  - Immediate appropriate action is required to address the incident and attend to people or environmental concerns.
  - The severity of the incident and its classification may change as more is learned about the incident.
- The reports shall be logged, and a root cause analysis is initiated when applicable as per the project investigation process.
  - An accident & incident report shall be logged with a log number by the OHSE Manager and Security Department.



### 3.2 Incident Management Process

The following activities shall comprise the critical aspects of the incident management process:

- Employees have a responsibility to promptly report incidents to their supervisor.
  - Supervisors are responsible for ensuring incidents are appropriately reported and investigated.
- To maintain reporting consistency, all incident investigation reports shall be done using the NCPL incident report forms, which are subjected to review and approval by the department managers.
  - All injuries, regardless of severity, shall be reported to the facility's OHSE Department.
  - All incidents and near misses shall be reported and initially investigated within 24 hours of occurrence.
- All injuries/incidents shall be reported within defined timescales by NCPL OHSE Manager to the CEO as soon as practicable.
- If injured workers require transport to an off-site doctor or clinic, the transport shall be coordinated by site medical personnel in conjunction with the NCPL HR manager and OHSE manager or designee.

### 3.3 Contractor Reporting

- Sub-Contactor supervisors shall be responsible for reporting and participating in the investigation of incidents and high-potential near-miss events.
- Subcontractors shall adhere to all accident/incident and near-miss notification, investigation procedures, and report documentation. They shall be required to report all incidents and near misses within established timeframes and local reporting requirements.
- Depending on the nature of the incident and the persons involved, subcontractor OHSE representatives may also be added to the incident investigation team.



### 3.4 Regulatory Reporting

NCPL complies with all statutory reporting requirements. These arrangements oblige the organization to report the details of certain accidents and incidents to the relevant enforcing authority. The types of incidents which shall be reported are usually:

- Incidents resulting in loss of life which are reported immediately.
- Incidents resulting in a worker taking several days off work due to injury.
- Incidents involving damage or potential damage to dangerous items of plant.

### 3.5 Investigations

Incidents/accidents/near misses shall be investigated by the OHSE Manager and appropriate Head of Department, and people connected to the incident.

The report shall be reviewed and signed by the identified Department Manager and OHSE Manager. It shall include details of the injury or incident, root cause, corrective actions taken, and recommendations to prevent reoccurrence.

#### 3.5.1 Root Cause

A root cause analysis shall be conducted on all incidents (injury or environmental).

Accurate, clear, and complete information is needed from the investigation process.

It is important when investigating incidents not to allocate blame which may restrict the free flow of information.

The types of events and circumstances leading up to the incidents, which are relevant for the investigation, may include, but not limited to:

- The system of work currently in place and work instructions.
- Work conditions, such as lighting, floor surfaces, stair treads and handrails, warning signs.
- Condition of tools, equipment, materials, and fixtures directly involved.
- The experience of workers in the work being done.



In the investigation of the events the basic factors that determine root cause may be:

- Poor systems design, which may result in exposure to hazards such as unguarded dangerous parts of machinery, ineffective safety devices or inadequate ventilation.
- The work environment has a direct effect on safety behavior. The physical environment, especially sudden changes to that environment, are factors which need to be identified.
- Behavioral factors can result in exposure to hazards. Examples of behavioral factors are the misuse of safeguards, the improper use of tools and equipment, ignoring cautionary notices, failure to wear personal protective equipment, horseplay, or poor standards of housekeeping. Such behavior is not accepted within NCPL.

### 3.5.2 Interviews

Interviewing the person(s) involved and witnesses to the accident is of prime importance, ideally in familiar surroundings so as not to make the person uncomfortable.

- Interviewees should be separated to stop people from influencing each other.
- Questions when asked should not be intimidating as the investigator will be seen as aggressive and reflecting a blame culture.
- Written records of witness statements should be signed.

### 3.5.3 Inspections

The accident site shall be inspected and recorded (digital photographs/video recordings) as soon as possible after the accident and inspection findings included in the report.

## 3.6 Analysis

NCPL uses the information gained from accident and incident statistics to measure trends over a period of time so that the organization has an indication of whether it is improving, stable or deteriorating with regards to IMS safety performance.

The OHSE Manager is responsible for the collection, examination and analysis of all accident and incident data. The purpose of this exercise is to establish incident trends and near miss



situations to direct incident prevention activities to areas of concern. This process enhances risk and incident reduction across NCPL's organization.

### 3.7 Review

The accident and incident investigation process are reviewed from time to time to check that it consistently delivers information in accordance with the stated objectives and standards. This review may be incorporated with management Reviews.

### 3.8 Training

The OHSE Manager ensures that adequate training, is provided to staff to implement these procedures. The Human Resources Manager retains records of training received by staff.

### 3.9 Forms & Reports

Accident and incident reports are discussed NCPL's safety meetings so that corrective and preventive actions can be implemented, and other people benefit from the lessons learned and recommendations made. As a minimum, accident and incident reports are sent to the Department Managers for dissemination. In addition, copies of summaries are forwarded to all relevant worksites for posting on bulletin boards and for discussion at safety meetings.

All documentation and records generated by this procedure is retained and managed in accordance with the documented information procedure.



## 4.0 Definitions

- Incidents are classed into four types for reporting. They are:
- Accidents
  - Near accidents
  - Non-conformity
  - Hazard observation

**Accidents:** An 'Accident' is an event with loss. Loss is harm to people, damage to property, the environment, or process.

**Near Accidents:** A 'Near Accident' (or near miss) is an event without loss. Near accidents are events that could have resulted in harm to people, damage to property, the environment, or process.

**Non-conformity:** A 'Non-Conformity' is a non-fulfilment of a specified requirement.

**Hazard Observation:** A 'Hazard Observation' is reporting of Unsafe Acts & Unsafe Conditions that have potential to harm the health, safety, and welfare of people.

➤ **Analyses & Causes:**

A detailed analysis should be done by the Head of Departments & OHSE Manager to derive lessons learned. This enables individuals to learn from experiences, identify & take preventive actions to prevent occurrence or recurrence & measure safety performance.

A 'Root Cause Analysis' is an analysis that identifies the causal factors, immediate causes & root causes of an incident and develops recommendations to address each level of analysis.

**Causes can be divided into:**

- Immediate Cause

This can be further divided into:

- Substandard practices such as rendering safety devices inoperable, incorrect use of equipment, improper lifting, improper securing, failure to use protective equipment, using defective equipment, ignoring signs/warnings.
- Substandard conditions like poor housekeeping, defective tools, inadequate ventilation, poor maintenance, temperature extremes, inadequate barriers, inadequate or poor-quality protective equipment.
- **Casual Factors:** Casual factors are factors that all substandard acts, practices, or conditions to exist or develop. Uncorrected Casual Factors will lead to incidents. An incident often has more than one Casual Factor.
- **Root Causes:** A root cause is a deficiency of a management system that allows the casual factors to occur & exist.
- **Correction:** A correction is an action that eliminates a specific incident. It will not eliminate causes or casual factors that allowed the incident to occur. A correction is often referred to as – ‘Quick Fix’.
- **Corrective Action:** A corrective Action is an action to remove casual factors of an incident – ‘Permanent Fix’.
- **Preventative Action:** A preventive Action is an action to remove casual factors of potential incidents. Aimed to prevent the occurrence of incidents or situations.



Immediate Cause	Casual Factor	Root Cause
<b>Substandard Act / Practice:</b> <ul style="list-style-type: none"><li>• Operating equipment without authority</li><li>• Under influence of alcohol or substances</li><li>• Misjudgement</li><li>• Non fulfilment of specified requirements</li><li>• Removing/ making safety devices inoperable</li><li>• Use of defective equipment</li><li>• Not using PPE</li><li>• Improper lifting or task position</li><li>• Servicing equipment in operation</li><li>• Carelessness</li><li>• Failure to warn or secure.</li></ul>	<b>Management Factors:</b> <ul style="list-style-type: none"><li>• Inadequate Supervision</li><li>• Inadequate Planning</li><li>• Inadequate Communication</li><li>• Inadequate Work standard</li><li>• Inadequate Leadership</li><li>• Inadequate Engineering</li><li>• Inadequate Purchasing</li><li>• Inadequate Maintenance</li><li>• Inadequate Tools/equipment</li><li>• Inadequate Work standard</li><li>• Inadequate Procedures</li></ul>	<b>Inadequate Management System:</b> <ul style="list-style-type: none"><li>• No system/ issue not addressed.</li><li>• Not strict enough.</li><li>• Confusing or incomplete.</li><li>• Technical Error</li></ul>
<b>Substandard Conditions:</b> <ul style="list-style-type: none"><li>• Inadequate guards/barriers</li><li>• Poor Housekeeping</li><li>• Inadequate PPE</li><li>• Defective tools/material</li><li>• Excessive wear &amp; tear</li><li>• Workspace restrictions</li><li>• Hazardous environmental conditions</li><li>• Noise, High /Low Temperatures</li><li>• Inadequate Ventilation</li></ul>	<b>Competence Factors:</b> <ul style="list-style-type: none"><li>• Lack of knowledge</li><li>• Lack of skill</li><li>• Lack of experience</li></ul> <b>Individual Factors:</b> <ul style="list-style-type: none"><li>• Physically Inadequate</li><li>• Mentally Inadequate</li><li>• Stress</li></ul>	<b>Inadequate Compliance:</b> <ul style="list-style-type: none"><li>• Tolerable Risk</li><li>• Unaware System</li><li>• Recently changes system</li><li>• Enforcement Issue</li></ul> <b>Inadequate Standards:</b> <ul style="list-style-type: none"><li>• Situation not addressed by standard.</li><li>• Confusing or incomplete.</li><li>• Inappropriately applied.</li></ul>



## 5.0 Records

- Written instructions / Procedures.
- Risk assessments /Accident/Incident forms/ Analysis trends

**NCPL-IMSP-010**  
**ACCIDENT & INCIDENT INVESTIGATION PROCESS MAP**





## 1.0 Purpose

The purpose of this procedure is to ensure that ongoing and proactive processes are in place to identify hazards, including both existing and potential workplace hazards, and the methods required to control or to eliminate these hazards with the objective of reducing OHSE risks, by using the hierarchy of controls process.

The NCPL'S procedure "Risks and Opportunities" are complimentary to this Hazard Identification procedure and relevant actions may be applied as appropriate.

## 2.0 Responsibility

The OHSE Manager, workers and other appropriate process owners, are responsible to ensure that workplace hazards are identified and eliminated to the extent possible, and risks associated with their activity are mitigated, or removed, according to the procedures that follow.

## 3.0 Procedures

A hazard is an undesirable situation with the potential to cause harm or injury.

### 3.1 Hazard Identification

The OHSE Manager and Department Heads as appropriate, shall ensure periodic assessments of the hazards and risks at each workplace are carried out and to implement the control measures required to prevent those hazards and risks, or to reduce them to the lowest reasonable and practicable level.

When a hazard is observed or is reported to exist, the OHSE Manager, Heads of Departments or their appointed competent designee shall take prompt actions to eliminate the hazard or to get assistance from appropriate persons to eliminate the hazard as soon as possible.



All workers and contractors are required to take a proactive approach to managing and reporting OHSE hazards to Department Heads and/or OHSE Manager.

Assessments of hazards and risks at each workplace shall include, but are not limited to:

- Individual working conditions at each work location.
- Work organization and activities with regards to safety, including maintenance, repair etc.
- Worker's age and experience for the activities performed, with workers with disabilities and expectant mothers.
- Risks to visitors, and other interested parties.
- Assess risks of slips, falls, back strain and hand injury, unguarded machinery, excessive noise, excessive dust, toxic fumes etc.
- Assessment of the effectiveness of existing controls.
- Hazards caused by changes in work activities, equipment, procedures, or legal requirements.
- Human factors.
- Input from workers and interested parties.
- Input from past incidents and accidents.

### 3.2 Hazard Identification Register

NCPL'S maintains a "Hazard Identification Register" which is a record log for hazard management activities.

The OHSE Manager is responsible for ensuring the Register is completed and that measure to control hazards are fully implemented.

The "Register" may be used to communicate hazardous activities to workers and interested parties.



### 3.3 Assessment of OHSE Risks

The assessment of the severity of a OHSE risk determines the appropriate action for mitigation.

The NCPL'S "Risks and Opportunity "process for determining the severity of risks shall be followed.

### 3.4 Eliminating Hazards & Reducing OHS Risk Using the Hierarchy of Controls Process

The OHSE Manager, appropriate workers, and process owners, shall use the Hierarchy of Controls process to either eliminate risks or reduce risks to an acceptable level by a step-by-step process as follows:

They may be applied individually or in combination:

1. **Hazard Elimination** (including substitution): Remove the hazard from the workplace for example by creating physical separation of traffic between pedestrian and vehicles.
2. **Substitution:** Replace the dangerous with non-dangerous or less hazardous processes, activities, materials, and equipment.
3. **Engineering Controls:** Implementing collective protective measures, includes designs or modifications to plants, equipment, ventilation systems, and processes that reduce the source of exposure.
4. **Administrative Controls:** Controls that alter the way the work is done, including timing of work, policies and other rules, and work practices such as standards and operating procedures (including training, housekeeping, and equipment maintenance, and personal hygiene practices).
5. **Personal Protective Equipment:** Equipment worn by individuals to reduce exposure such as contact with chemicals or exposure to noise.



### 3.5 Hazard Reviews

Regular reviews shall be undertaken to ensure that hazards and risks are being appropriately managed. As a minimum review shall be undertaken as part of the management review process.

The OHSE Manager undertakes the hazard and risk assessment process when site conditions change, when new tasks are added or when new workers join, to prevent the development of unsafe working conditions.

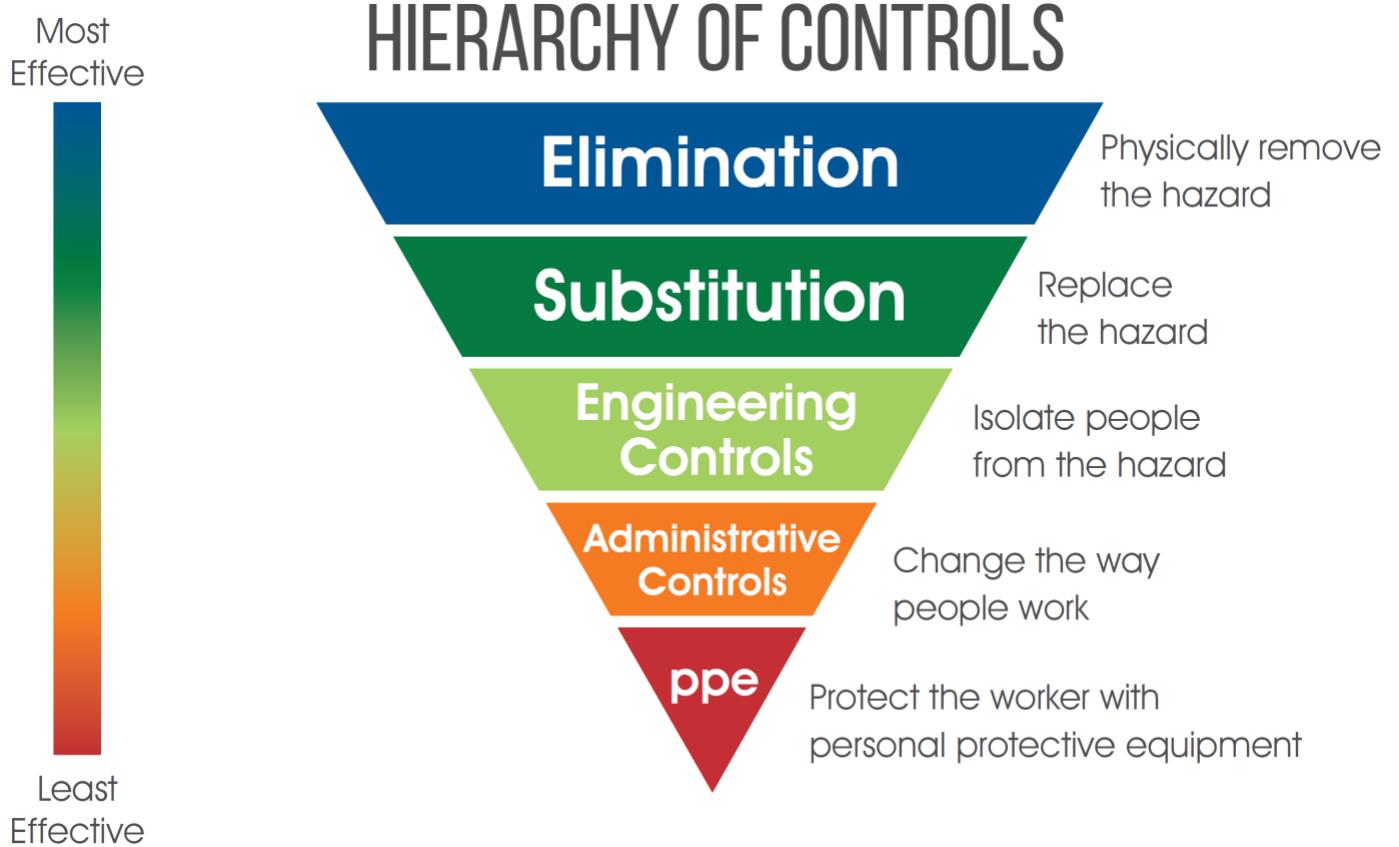
### 3.6 Monitoring of the OHSE Process

Continuous systematic and formal monitoring of implementation of the OHSE assessment process and outputs take place against appropriate performance indicators to ensure process compliance and effectiveness. Monitoring takes a variety of forms and range from self-assessment, inspections, and internal audits, to detailed reviews by independent external experts.

### 3.7 Training

Once the control has been put into place, our workers are trained or made aware of it. Training and awareness records, and documented signoffs are retained to demonstrate that our workers have been made aware of the hazards and their controls. Where hazards cannot be eliminated immediately, workers are trained and empowered to take the necessary steps to warn others of the hazard.

Hierarchy of Controls Diagram



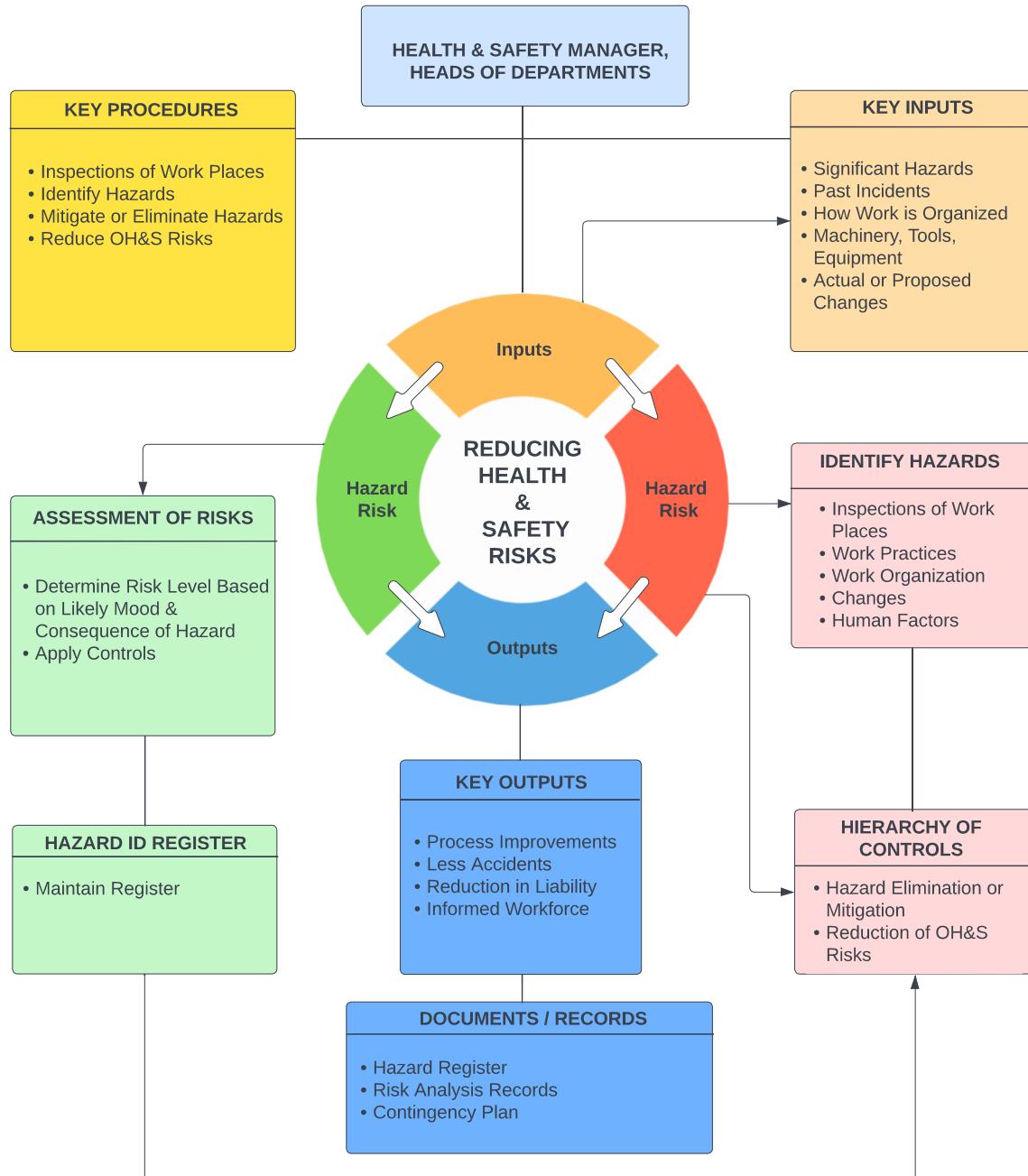


## 4.0 Records

NCPL'S shall maintain the following records as part of each Hazard Identification and Risk Management file:

- Hazard Identification Register.
- A copy of the risk analysis plan used, including the product or process analysed, identification of the person (s) carrying out the analysis, and the analysis date.
- Records relating to the risk analysis process used, including techniques, methods and criteria.
- Result of the risk analysis performed.
- Records related to any options determined, as well as their implementation and verification.
- Any contingency plans developed because of the risk assessment.

**NCPL-IMSP-011**  
**HAZARD IDENTIFICATION & REDUCING OH&S RISKS**  
**PROCESS MAP**



## **1.0 Purpose**

The purpose of this procedure is to ensure that processes are in place to effectively manage risks and opportunities that impact the IMS, within the NCPL Cruise Port Facilities.

This procedure identifies techniques and tools used by NCPL for risk identification, identification of opportunities, and risk management processes that analyse, evaluate, control and verify risk mitigation and elimination.

Risk is often thought of in a negative sense, but Risk based thinking also helps to identify opportunities.

Risk management activities defined by this procedure maybe applied at any level of the organization, based on the situation and risk under consideration.

## **2.0 Responsibility**

The Heads of Department, Managers, and workers are responsible to identify hazards, risks and potential undesirable situations and to raise these issues with the OHSE Manager.

The OHSE Manager or their appointed deputy is responsible for ensuring that the Risk Management Processes that follow are complied with by ALL departments.

## **3.0 Procedures**

Risk is the possibility of events or activities impeding the achievement of an organization's strategic and operational objectives.

Risk can be further defined by two (2) Parameters

- Severity: This is the Seriousness of the harm.
- Probability: This is the Probability that the harm will occur.

This risk management process includes the following elements:

### Risk Management Process

- Risk Analysis
- Risk Evaluation
- Risk Control
- Post-Process Information

### Risk Analysis Process

Analyse and prioritize the risks and opportunities in your department, as applicable.

- What is acceptable?
- What are not acceptable Plan actions to address the risks?
- How can I avoid or eliminate the risk?
- How can I mitigate the risk?

Implement the plan – act

- Check the effectiveness of the actions – does it work?
- Learn from experience – continual improvement.

Key Points to remember

- Risk Based Thinking = Preventative Action



- Risk Based Thinking is everybody's business!
- Risk Based Thinking is not just the responsibility of management
- Risk Based Thinking is an integral part of the NCP organizational culture

Risk Analysis shall be performed using the NCP Risk and Opportunity Register.

Typical Hazards have been identified for each department and an initial risk rating (IRR); score calculated. Proposed mitigating and preventive actions are given followed by the Residual Risk score and level of risk, Low, medium and high and documented in the risk and opportunity register.

NCPL may use all available information and data to estimate the risk (s) for each potentially undesirable situation and same shall be documented.

### **Risk Evaluation and Control**

NCPL shall identify risk control measures that are appropriate for reducing identified risks to an acceptable level and will then implement the risk control measure (s) selected, if applicable and will verify the effectiveness of any measures taken.

### **Residual Risk Evaluation**

NCPL may use the criteria defined in the Risk and Opportunity Register to evaluate any residual risk that remains after application of the risk control measure (s). Control measures are applied if the residual risk does not meet the criteria.

NCPL documents all relevant information necessary to explain the residual risk (s) as applicable if the residual risk is judged acceptable.

## Opportunities

The methods specified above may also be used for determining opportunities related to the IMS and its processes. Where such opportunities are identified, they are noted as such as part of the final risk assessment report, and action taken as appropriate. Such opportunities may be considered as part of the organizations' Management review / BSR Process.

## 4.0 Records

NCPL shall maintain the following records as part of each risk management file:

- A copy of the risk analysis plan used, including the product or process analysed, identification of the person (s) carrying out the analysis, and the analysis date;
- Records relating to the risk analysis process used, including techniques, methods and criteria;
- Result of the risk analysis performed;
- Records related to any options determined, as well as their implementation and verification; and
- Any contingency plans developed because of the risk assessment.

## Glossary

- Residual Risk: Risks remaining after protective measures have been taken.

- Risk: Combination of the probability of occurrence of a negative outcome and the severity of the outcome.
- Risk Analysis: Systematic use of available information to identify potentially undesirable situations and to estimate the risk.
- Risk Assessment: Overall process comprising a risk analysis and risk evaluation.
- Risk Control: Process through which decisions are reached and protective measures are implemented for reducing risk to, or maintaining risk within, specific levels.
- Risk evaluation: Judgement, based on risk analysis, of whether a risk which is acceptable has been achieved in a given context.
- Risk Management: Systematic application of management policies, procedures, and practices to the tasks of analysing, evaluating and controlling risk.
- Safety: Freedom from unacceptable risk.
- Severity: Measure of the possible consequences of a potentially undesirable situation.



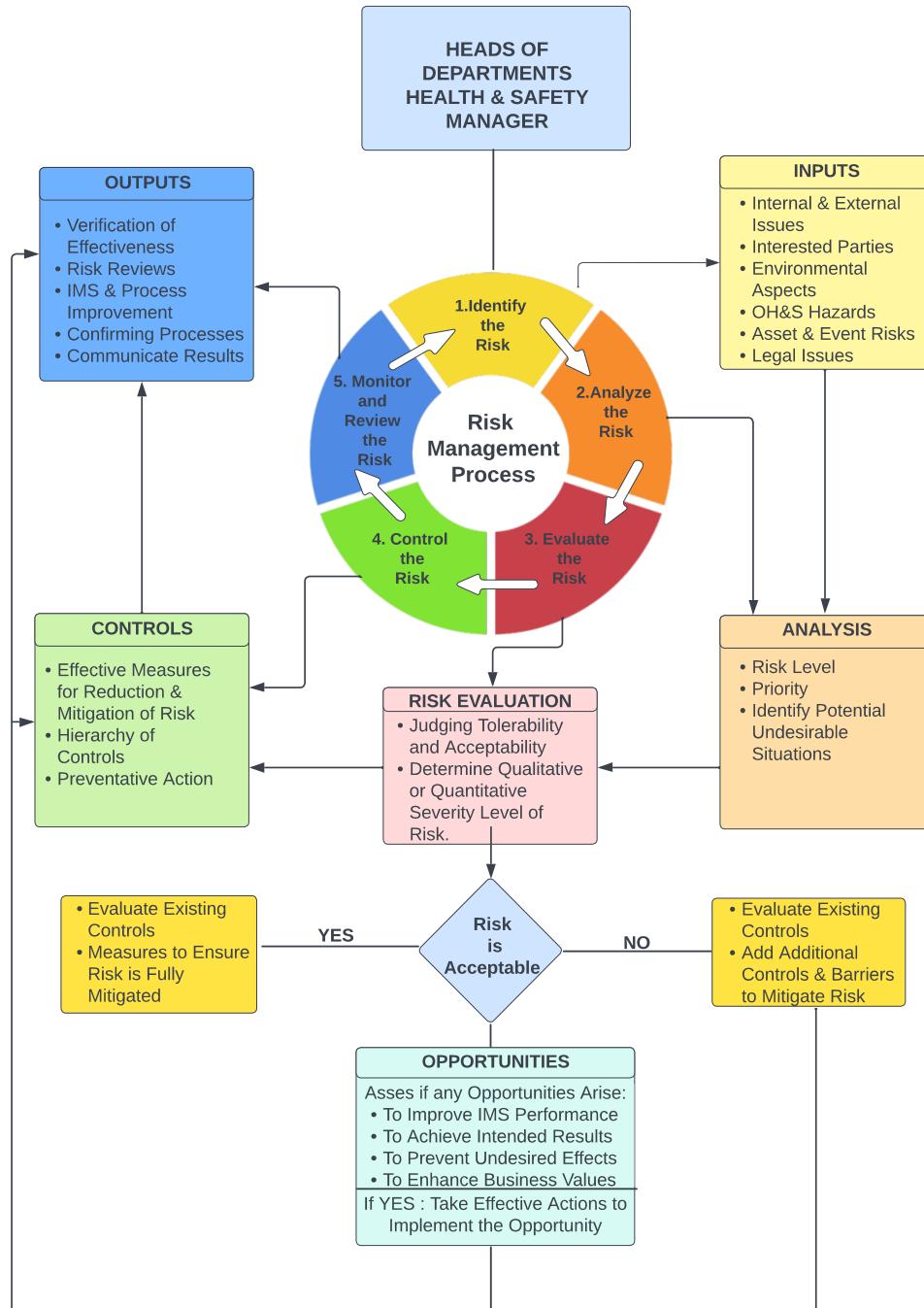
**Table 1: Example NCP Risk and Opportunity Register: Risk Assessment Matrix. (Refer to the Excel Spreadsheet for full risk analysis data ).**

Risk Assessment Matrix								
SEVERITY CRITERIA								
Personnel	Operations - Asset damage - Downtime	Environmental	Reputation	Business Impact	(1) Unlikely though conceivable	(2) Possible but Unusual	(3) Likely not surprising	(4) Very Likely almost no doubt
(1) First Aid	(1) Minor (\$5k to \$20k) (2 hours)	(1) Minor (2 to 10 Gallons)	(1) Minor Localized Temporary Impact	(1) Minor Impact can be absorbed through normal activity	L	L	L	L
(2) Medical Treatment	(2) Medium (\$20K to \$100K) (12 hours)	(2) Medium (10 to 25 Gallons)	(2) Medium Localized Short Term Impact	(2) Medium An adverse event which can be absorbed with some management effort	L	L	M	M
(3) Lost Time / Rest Injury	(3) Major (\$100K to \$500k) (1 day)	(3) Major (25 to 55 Gallons)	(3) Major Localized Long Term Impact But Manageable	(3) Major A critical event which requires extraordinary management effort	L	M	M	H
(4) Fatality	(4) Massive (>\$500K) (>1 day)	(4) Massive (>55 Gallons)	(4) Massive Localized Long Term Impact with Unmanageable Outcomes	(4) Massive A critical event which requires additional management effort	M	M	H	H

**Table 2: Determining the Need for Control**

High	Unacceptable Risk: Update product or process design, add additional control, review adequacy of current controls
Med	Investigate further risk controls:
Low	Risk is acceptable: No further risk controls required

## NCPL-IMPS-012 RISK AND OPPORTUNITIES



## INTRODUCTION

Achieving ISO 45001:2018 certification exemplifies NCPL's commitment to our employees, community, and customers, by continuously evaluating and improving our safety processes to ensure we exceed the highest standards in the world. Certification offers NCPL a single, clear framework to improve their OHSE performance.

### 1.0 Purpose

The Occupational Health and Safety (OHSE) procedures that follow, form a system that provides a framework for managing OHSE Risks and Opportunities, preventing work-related injuries and illnesses, and providing safe and healthy workspaces at the NCPL port facility.

They incorporate considerations and decision-making into the ports day-to-day operations and strategic planning.

Additionally, the OHSE system provides a structured framework designed to achieve continual Health and Safety compliance beyond regulatory compliance, aiming to improve efficiency, reduce costs and minimize negative impacts on human Health and Safety.

### 2.0 Responsibility

The Department Managers are responsible for ensuring that the following procedures are effectively implemented and maintained.

### 3.0 Procedures

The procedural elements of the Occupational Health and Safety System are as follows:

#### **NCPL's Occupational Health and Safety (OHSE) Objectives**

The Key objectives and benefits that NCPL obtains from implementing the OHSE standard include the following:

- Prevention of workplace-related injury and/or ill health.
- Provide a safe and healthy workplace.
- Eliminate hazards and minimize OHSE risks.
- Take advantage of OHSE opportunities.
- Reduction of absenteeism and staff turnover, leading to increased productivity.
- Reduced cost of insurance premiums.

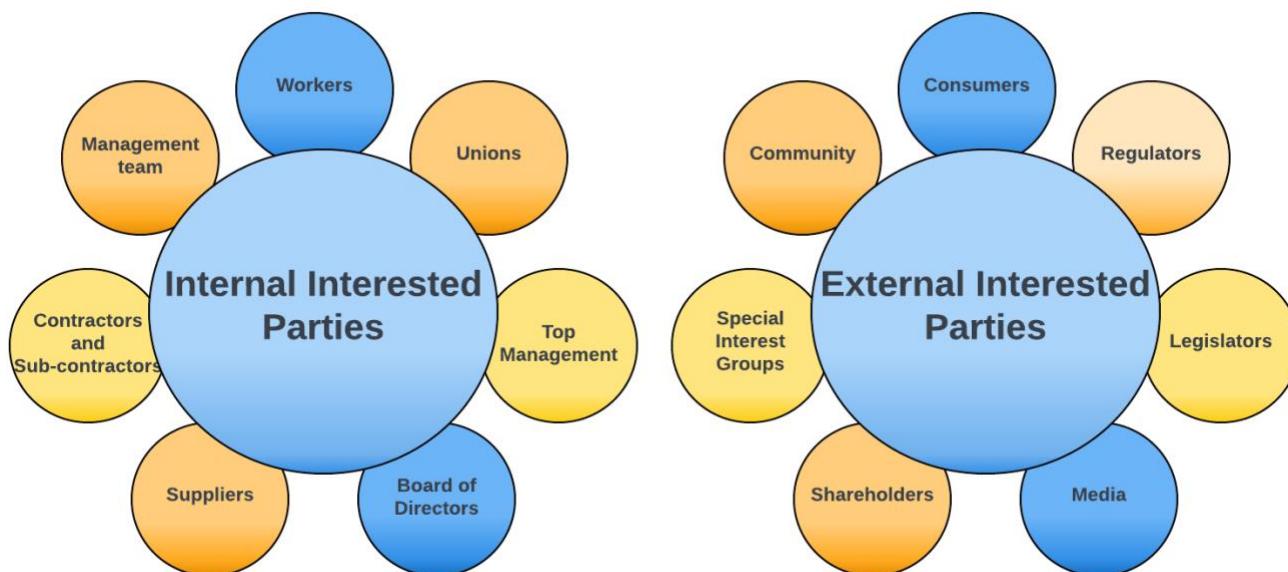
- Creation of a Health and Safety culture whereby employees are encouraged to take an active role in their own OHSE.
- Reinforced leadership commitment to proactively improve OHSE performance.
- Ability to meet legal and regulatory requirements.
- Enhanced reputation.
- Improved staff morale.
- Reduced risk and liability and improved security and emergency response capability.
- Enhance credibility, public image, and confidence as NCPL monitors and evaluates the OHSE impacts and aspects and positions themselves as leaders in the Occupational Health and Safety field.

### **OHSE Factors that Impact NCPL**

**Internal and External issues that impact our ability to meet our objectives are defined in the Company Manual section 4.0.**

NCPL understands the requirements, needs, and expectations of our workers and interested parties about meeting OHSE objectives, as outlined below:

#### **Internal and External Interested Parties.**



NCPL is committed to defining our position in the marketplace and understanding how relevant factors arising from legal, political, economic, social, and technological issues influence our strategic direction and our organizational context.

### **NCPL's Leadership and Commitment**

**NCPL is committed to, and is proactively involved in, implementing, and maintaining our organization's Occupational Health and Safety Management System as defined in the Company Manual section 5.0 and includes:**

- Leadership and commitment.
- OHSE policy.
- Organizational roles, responsibilities, and authorities.
- Consultation and participation of workers.

Effective safety management supports our efforts to drive towards an increasingly positive safety culture by increasing the visibility of NCPL's support and improving the active involvement of personnel in managing safety risk.

NCPL ensures that all necessary resources, responsibilities, and accountabilities are allocated for the continual improvement of the Occupational Health and Safety Management System. The OHSE Policy is set out in the Company Manual.

### **NCPL's Organizational Roles, Responsibilities & Authorities**

- The NCPL management structure organograms and the lines of communication and authority are contained in the Company Manual.

### **Consultation and Participation of Workers and Others.**

NCPL has established clear lines of communication, consultation, and participation of workers and others, with sufficient allocation of time and resources.

Occupational Health and Safety Committees and activities for meeting frequency and worker and other participation have been established.

Information that impacts OHSE is communicated at all levels of the organization.

This is achieved by:

- Periodic meetings with senior leadership to discuss processes, including OHSE issues.
- OHSE committee meetings, with worker participation and representatives (where required).
- Identification and elimination of hazards (risk assessments).
- Development of training, talks, and presentations (This may include training tools for workers outside of NCPL's organization such as visiting contractors).
- Development of Safe Systems of work and work Instructions.
- Near miss reporting schemes with follow-up actions, including root cause analysis.
- Open door policy to talk to a safety representative and/or HR representative.
- Communication – Notice boards, newsletters, email, and blogs.
- Occupational health promotion campaigns.

*Reference: OH& Safety meetings activities and worker participation.*

### **NCPL's Planning to Achieve our OHSE Objectives,**

**The planning requirements of the OHSE are defined in the Company Manual section 6.0 and include:**

- Actions to address risks and opportunities.
- Hazard identification and assessment of risks and opportunities.
- Determination of legal requirements and other requirements.
- Planning action.
- OHSE objectives as described earlier in this document.
- Planning to achieve OHSE objectives.

NCPL has incorporated risk-based thinking into our organization's culture. This includes establishing risk management procedures and processes to ensure that adequate risk and opportunity management principles are undertaken throughout the lifecycle of our operations, processes, Occupational Health and Safety Management System, products, and services.

NCPL uses the Risk & Opportunity Register to identify and evaluate risks associated with our Occupational Health and Safety Management System, specifically, changes in the

organizational context, strategy, and legal requirements that relate to the needs and expectations of our workers and other interested parties.

*Reference: Risk & Opportunity Register*

## Planning for the Identification and Elimination of Hazards and Reduction of OHSE Risks

NCPL has established controls for achieving a reduction in OHSE risks using the following Hierarchy of Controls:

# Hierarchy of Controls

Most Effective



## Elimination

Physically remove the hazard

## Substitution

Replace the hazard

## Engineering Controls

Isolate people from the hazard

## Administrative Controls

Change the way people work

## PPE

Protect the worker with Personal Protective Equipment

Least Effective

**Hazard Elimination:** Avoiding risks and adapting work to workers (integrating health safety and ergonomics when planning new workplaces and creating a physical separation of traffic between pedestrians and vehicles)

**Substitution:** Replacing the dangerous with the less or non-dangerous (replacing solvent-based paint with water-based paint)

**Engineering Controls:** Implementing collective protective measures (isolation, machine guarding, ventilation, noise reduction, etc.)

**Administrative Controls:** Giving appropriate instructions to workers (lock-out processes, induction, forklift driving licenses, etc.)

**Personal Protective Equipment (PPE):** Providing PPE and instructions for PPE use/ maintenance (safety shoes, safety glasses, hearing protection, chemical, and liquid resistant gloves, electrical protection gloves, etc.)

Action is taken in various ways using management review meetings, safety committee meetings, design review meetings, setting objectives, reviewing procedures and policies, improving operational control, emergency preparedness planning, supplier evaluation, and other appropriate processes.

Findings are recorded as documented information and communicated to workers and other interested parties.

*Reference: Activities for reducing OHSE Hazards and risks*

## **NCPL's Supporting Role**

**NCPL's' supporting role for the requirements of the OHSE are defined in the Company Manual section 7.0 and relevant procedures and include:**

- The provision of resources.
- Competency needs.
- Awareness training for the OHSE.
- Communications, both internal and external.

NCPL is responsible for planning, providing, and maintaining the infrastructure and resources needed to achieve product and process conformance, including buildings, workspace, and associated utilities; process equipment (hardware and software); and supporting services (such as internal transportation, material handling systems, and communications systems)

### **Control of Documented Information**

The requirements for Document and Data Control are contained in Company Manual section 7.0.

NCPL Document and Data control procedures are aimed at preventing the risk of unintended use of obsolete documentation information. It does not have the effect of preventing workers from obtaining a complete picture of the hazards/risks of their work.

*Reference: Document control procedures*

### **Operational Planning and Control.**

**Requirements for Operational Planning and Control are defined in the Company Manual section 8.0 and include:**

- Eliminating hazards and reducing OHSE risks.
- Management of change.
- Procurement.
- Emergency preparedness and response.

All teams and departments implement OHSE procedures and controls using the appropriate supporting documentation, competent workers, and safe routines.

NCPL ensures that all operational activities, including product and service outputs, meet the applicable safety requirements and regulatory standards.

### **Management of Change**

- It is recognized that accidents can occur when processes deviate from defined, established control measures.
- This may include changes in competent supervision and workers or new materials, machinery, and processes.

- The organization has defined and implemented a process that considers change throughout the business.
- The change process is a documented system to acknowledge issues and receipt of the notification to ensure it is communicated and understood.

*Reference: Management of changes*

### **Procurement/Suppliers**

- NCPL has put controls in place to ensure those purchased goods and services do not introduce hazards and expose workers to harm, including contractors.
- The OHSE Department is required to follow the NCPL procedures contained in the Company Manual.

### **Contractors and Outsourcing**

NCPL has assessed current contractors, including due diligence competency checks.

- Contractor selection criteria are used to ensure services are within the scope of the task.
- NCPL controls protect contractors (workers) and other workers who may be exposed to hazards due to their activities.

### **Emergency Preparedness and Response Procedures**

NCPL has planned for unexpected events. The risk assessment process for the identification of hazards highlights potential emergencies with possibly catastrophic consequences. Therefore, control measures have been implemented to mitigate these potential events.

- Workers may identify Emergencies at every level of the organization.
- Emergency plans have been formulated and tested to raise awareness of potential events and ensure effective control measures.
- Emergency preparedness and response are also tested within the internal audit plan.
- Testing emergency response plans is a critical function, including supervision, individual responsibilities, suitability of training and communication.

*Reference: Emergency procedures.*

## Performance Evaluation

**Requirements for performance evaluation are defined in the Company Manual section 9.0 and include:**

- Monitoring, measurement, analysis, and performance evaluation.
- Evaluation of compliance.
- Internal Audit.
- Management Review.

NCPL has established, implemented, and maintained a process for monitoring, measuring, and evaluating the performance of the OHSE.

- Criteria against which the organization will evaluate the OHSE performance.
- Methods for monitoring, measurement, analysis, and evaluation, as applicable, to ensure valid results.
- When the monitoring and measuring will be performed.
- When the results from monitoring and measurement are analyzed, evaluated, and communicated.

Activities that are monitored and measured include:

- Progress on meeting policy commitments, achieving objectives, and continual improvement.
- Occupational health complaints, health surveillance of workers, and work environment monitoring.
- Work-related incidents, injuries, ill health, and complaints, including trends.
- Effectiveness of operational controls and emergency exercises.
- Proactive and reactive actions affecting OHSE performance.
- Competence.
- Level of risk and types of control measure.
- Trends in incidents or corrective actions.

*Reference: Performance evaluation activities.*

## Internal Audits

An internal audit is a systematic method to check organizational processes and requirements of the IMS, as well as those detailed in the OHSE ISO 45001 standard.

The internal audit ensures that the processes are effective, and the procedures are being adhered to.

The internal audit program will aid the organization in achieving the OHSE objectives and targets. It helps to:

- Monitor compliance with policy and objectives.
- Provide evidence that all necessary checks are carried out.
- Ensure all current legislative and other requirements are met.
- Assess the effectiveness of risk management.
- Worker engagement leads to a positive safety culture.
- Identify improvement using 'fresh eyes' to review a process.
- Aid continual improvement.

NCPL ensures to communicate audit results to relevant interested parties, including workers, and sets realistic completion timescales for identified 'opportunities for improvement' or 'non-conformities'.

Top Management is made aware of deficiencies within the system to ensure that necessary resources can be allocated to mitigate the findings.

Audit results are reviewed as part of the management review process.

*Reference: Internal Audit Activities.*

## Management Reviews

The aim of the review is for Top Management to assess the performance of the IMS and OHSE Management System to ensure it has been effective and suitable for the needs of the business, ultimately preventing injury or harm to workers.

The management review is also a planned activity to review objectives, including compliance, and to set new objectives.

On completion of the management review meeting, NCPL top managers and support decide what is needed to improve OHSE and satisfy the standard continuously.

NCPL records the meeting minutes with documented information.

This information is communicated to the relevant interested parties and, where applicable, worker representatives.

*Reference: Management Review Activities.*

## **Continuous Improvement**

**Requirements for the continual Improvement of the OHSE are defined in the Company Manual section 10.0 and include:**

- Incident, nonconformity, and corrective actions.
- Continual improvement.

The OHSE Manager uses a range of performance evaluation tools to make recommendations for improvement and achieve our Occupational Health & Safety Management System's intended outcomes.

Recommendations may emerge from workers' or interested parties' suggestions or concerns, OHSE Committee meetings, hazard reviews, task analysis, physical inspections, and internal audit findings.

To determine and select opportunities for improvement or to implement any necessary actions to meet the requirements of workers and relevant interested parties, NCPL drives improvement via the analysis of relevant data, which include:

- Risk and opportunity evaluations.
- Assessment of the changing needs and expectations of interested parties.
- Assessment of the changing needs of the business.
- The conformity of existing operations, products, and services.
- The effectiveness of our Occupational Health and Safety Management System and trends in Accident, Incident Frequency Rate (AFR).

NCPL also ensures that the OHSE Manager evaluates opportunities for improvement from daily feedback on operational performance as appropriate. Changes are typically implemented through the corrective action system.

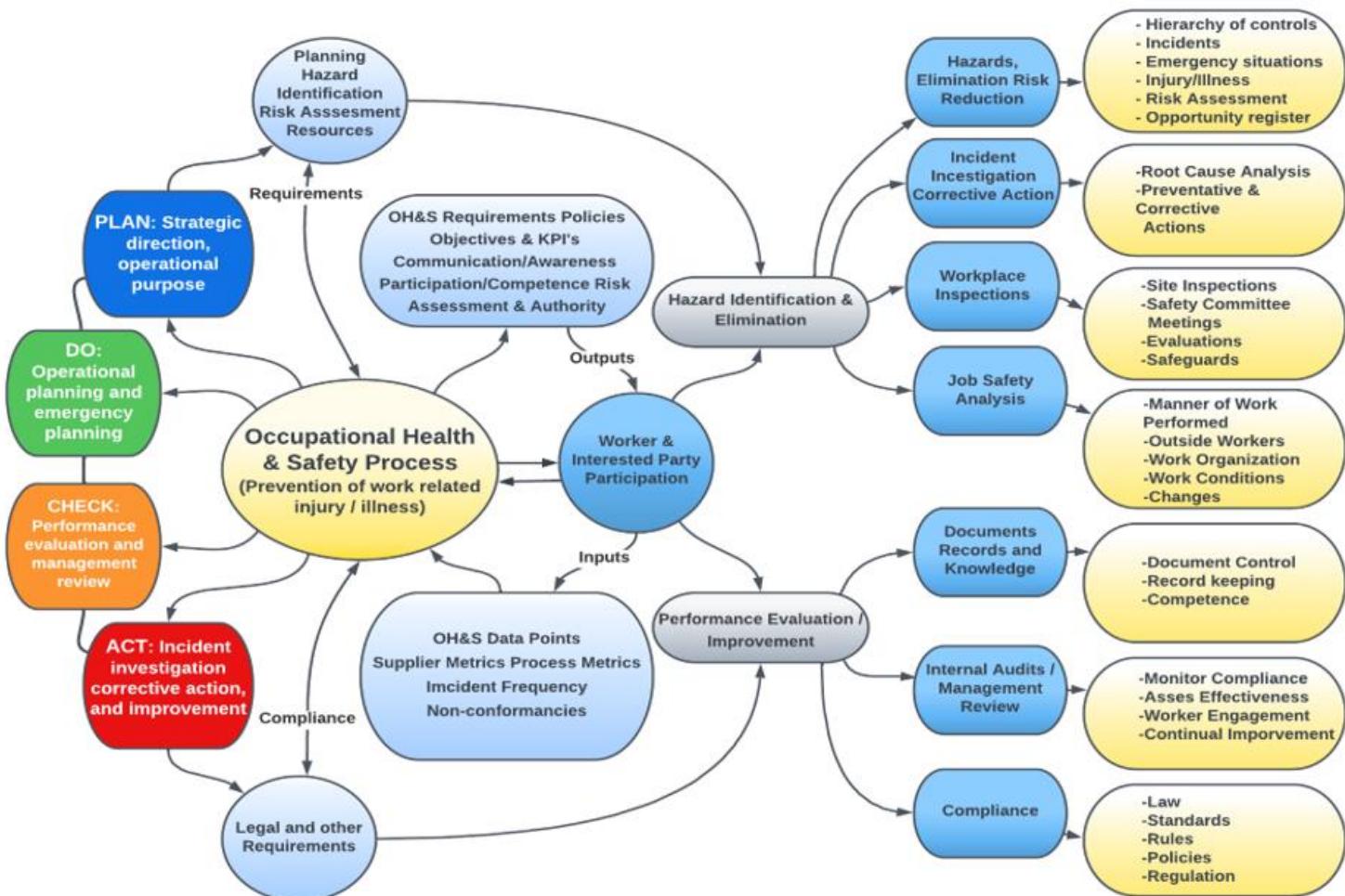
Continued improvement is achieved through management reviews, audits, hazard mitigation, investigation of accidents, incidents, and near misses, and setting up preventive, corrective actions.

## Nonconformity and Corrective Action

NCPL has implemented the Incident Investigation Procedure for handling and investigating accidents, incidents, and near misses.

The procedure defines the controls for reporting and establishing the root cause of all types of accident, incident, or near miss that may occur on our premises and the implementation of preventive and corrective actions. Any staff member involved in an accident, near miss, or dangerous incident must report the occurrence.

*Reference: Nonconformance and Corrective Action Activities.*



## **1.0 Purpose**

The IMS procedures that follow, form a system for proactively engaging the environment footprint at the NCPL port facility.

They incorporate environmental considerations and decision making into the ports day-to-day operations and into its strategic planning.

Additionally, IMS provides a structured framework designed to achieve continual environmental compliance beyond regulatory compliance, with the intent to improve efficiency, reduce costs and minimize negative impacts on human health and environment.

## **2.0 Responsibility**

The Department Managers are responsible for ensuring the procedures that follow are effectively implemented and maintained.

## **3.0 Procedures**

### **3.1 Benefits of the IMS:**

- Improved environmental awareness, compliance, and performance.
- Reduced costs and improved operational efficiency through more efficient use of materials, operational streamlining, and strategic direction setting.
- Reduced risk and liability, and improved security and emergency response capability.
- Enhance credibility, public image, public confidence, as NCPL monitors and evaluates the environmental impacts and aspects and position themselves as leaders in environmental protection and management.

### 3.2 The IMS considers:

The internal and external environmental issues that may have a direct influence on the effectiveness of NCPL achieving the intended outcomes of its environmental management system.

- The needs and expectations of internal and external stakeholders (see Interested Parties Table).
- The current scope of NCPL's services and activities within the context of the IMS.

During the planning process, NCPL also determines the risks and opportunities related to its legal and other requirements, environmental aspects and other issues and requirements that need to be addressed in order to:

- Give assurance the IMS will achieve its intended outcomes.
- Prevent or reduce undesired effects / environmental harm.
- Achieve continual improvement.

Interested Parties Table - To be reviewed annually during Management / BSR Review			
Reference ISO 14001 section 4.2			
Interested Parties	Relevant Needs and Expectations	Compliance Obligations (when Yes – move to compliance obligations table later.)	Comments
Clients/Customers	Price, reliability, value, and customer satisfaction.	Yes	

Regulators: Environmental, Port Authorities, State and Commonwealth Port State Control,	Compliance with regulations. Reporting	Yes Yes Yes Yes	
Managers	Information and Resources	Yes	
Employees	Shared values and security	Yes	
Tenants	Compliance with NCPL policy and procedures	Yes	
Stakeholders	Profitability and growth	Yes	
Local communities	Good relationships	Yes	

#### Description of NCPL's environmental themes

Theme	Description
<b>Ambient Air Quality</b>	Odor issues, dust, and ship's combustion emissions (SOx, NOx, particulates).
<b>Flora &amp; Fauna</b>	Native flora and fauna, pests, and weeds.
<b>Greenhouse Gas &amp; Energy</b>	Energy consumption and greenhouse gas emissions, carbon management and offsets.
<b>Cultural Heritage</b>	Bahamian cultural heritage.
<b>Land &amp; Seabed</b>	Management of contaminated land, remediation, and land development.
<b>Noise</b>	Noise emissions.

<b>Waste</b>	Generation, reduction and recycling, hazardous, mineral, and general wastes.
<b>Water</b>	Contamination of marine waters, groundwater and storm water, usage of potable water, and generation of wastewaters.

### **3.3 Compliance Program:**

NCPL's compliance program is designed to assist NCPL in meeting its legal and other regulatory requirements and reduce the risk of any legislative breach, as well as providing a framework for compliance with relevant laws, industry codes and organizational policy.

The program is delivered through the implementation of NCPL's Environmental Policy, and Environmental Procedures and SOP.

In an operational port context, NCPL's legal and other requirements can include:

- Regulatory obligations: for example, requirements under State and Commonwealth environment and cultural heritage legislation and the statutory approvals issued to NCPL under this legislation.
- Voluntary commitments: for example, a commitment to meeting industry standards, codes of practice, or the requirements of community agreements.

Environmental Aspects are characteristics of a facility's activities, products, or services that either impact the environment or could potentially impact the environment. These impacts could occur during normal, abnormal, accidental, or emergency situations.

**Compliance Obligations Table: To be reviewed annually during Management – BSR Reviews.**

<b>Source</b>	<b>Reference</b>	<b>Regulatory / Voluntary</b>	<b>Comments</b>
Clients/Customers	Customer satisfaction policy.	Voluntary	Covered in IMSP-008

Regulators: Environmental, Port Authorities, State and Commonwealth Port State Control,	Bahamas Regulations for the environment.	Regulatory	Covered in Statutes and rules
Managers	NCPL Policies and procedures	Voluntary	IMSP Policy
Employees	NCPL Policies and procedures	Voluntary	IMSP Policy
Tenants	NCPL Policies and procedures	Voluntary	Contracts
Stake holders	NCPL Policies and procedures	Regulatory	Covered in statutes and rules.
Local communities	Good neighbor projects.	Voluntary	Public opinion

### 3.4 Identifying Aspects and Impacts:

Identifying the environmental aspects and impacts of NCPL's services and activities is the foundation of NCPL's IMSP on which continual improvement and management reviews are based. A current assessment of aspects and impacts relating to NCPL's services and activities is summarized in NCPL's Significant Environmental Risk Register which includes Significant Environmental Aspects.

Categories Commonly Used to Determine Significance of Environmental Aspects:

- Regulatory concerns.
- Pollution.
- Risk, including effects of chemicals & materials on workers, impacts on the surrounding community, and impacts on the environment, safety, and noise.
- Natural resource use.

NCPL has identified the following activities that could impact the environment where deemed to be significant, or occur at NCPL facility:

- Vehicle/equipment maintenance.
- Landscaping.
- Pavement maintenance.
- Building maintenance.
- Civil/ Site Construction.
- Water.
- Hazardous and solid waste disposal.
- Pesticides/herbicides.
- Fuel for vehicles.
- Vehicle emissions.
- Runoff and wastewater, concrete.
- Noise.
- Construction debris.
- Dust.
- Contamination of soil, groundwater, and surface waters

Examples of environmental aspects and impacts at the NCPL facility and all its work sites and activities include are listed in the Significant Environmental Aspects Register.

### **3.5 Risk and Opportunity Assessment:**

NCPL applies a consistent and robust approach to risk management across the delivery of its services and activities. The Risk Assessment Procedure together provide the framework for determining how risks are consistently identified, assessed, treated, monitored, and reported on within NCPL. For each environmental aspect identified in the Environmental Risk Register:

- The risk (a function of likelihood, consequence, and control effectiveness) of impacts occurring is assessed using a qualitative five by five risk assessment matrix to determine the residual risk (note: NCPL assesses risk after controls have been implemented); and
- Opportunities or potential beneficial effects are identified and noted (where applicable).
- Significant environmental risks are defined as any environmental aspect with a residual risk rating of high or greater than 1, and all risks (regardless of risk rating) that do not meet NCPL's tolerability criteria, as outlined in the Environment Risk Register.
- The development of risk treatment plans is mandatory for all identified significant environmental aspects, each of which is required to be completed or reviewed within specified timeframes according to the level of risk tolerability. NCPL's risk treatment plans are developed and implemented by risk owners in consultation with the Environment and Quality & Environmental Management team

## 4.0 IMSP Objectives

Consistent with the requirements of NCPL's Environment and Quality Policy, NCPL has established several Quality & Environmental Management objectives and are quantified, where practicable to help the organization meet the intended outcomes of its integrated IMSP management system.

NCPL's environmental management objectives have been developed with consideration of:

- NCPL's Environment and Quality Policy.
- NCPL's legal and other requirements.
- NCPL's significant environmental risks.
- NCPL's strategic objectives.
- Environmental issues identified through the review of accidents, incidents, hazards, inspections, and monitoring; and
- The views of interested parties, both internal and external.
- Reference to NCPL/IMSP/001 details the guidance for documenting the environmental and quality objectives key driving strategies, programs and plans that have been implemented to assist NCPL in achieving its IMSP objectives and targets are available in the Objectives and Targets file.
- Some of the high-level Environmental Themes which are considered in the setting of some of the IMSP objectives and targets are listed in Objectives Table that follows.

**Example of NCPL Significant Environmental Risks and Associated Risk Treatment Plan**

Risk Description	Risk Rating	Risk Treatment Plan(s)	Risk Owner	Environmental Theme	Action Due Dates
Existing contaminated sites (NCPL): Unknown extent of contamination, rate of spread and/or environmental impacts on NCPL lands instead as 'Contaminated- Remediation Required'.	High	A. Review the lots and sub-lot risk ratings. B. Implement Sampling and Analysis C. Implement Soils and Material D. New Property Area E. Washdown pad	Environment and Heritage	Land and Seabed	
Management of NCPL Lease/ Licensed Areas within the NCPL port facility / Property	High	A. Develop and implement a site B. Hydrocarbon contaminated waste C. Waste Oil Disposal D. Washdown Degreasers E. Drainage well contamination F. Waste disposal practices	Environment and Heritage	Land and Seabed	
Invasive Species (Weeds): Unmanaged establishment of Priority Weed Species on NCPL lands.	Moderate	A. Implement NCPL Weed Management B. Seagulls C. Rats Treatments D. Cockroaches, carpenter ants, fleas, ticks' treatments pot cakes Spray, and Neuter rehome	Environment and Heritage	Flora & Fauna	

Objectives and Programs - IMSP Objectives, Targets and Program

The setting and reviewing of IMSP Objectives & Targets, is included in the Management Review. Adequate resources will be assigned to ensure satisfactory achievement of these objectives.					
ITEM	OBJECTIVE	TARGET	PROGRAM	RESPONSIBILITY	DEADLINE
<b>EMMISIONS TO AIR</b>					
1	Reduce emmisions to air	Convert 100% of golf carts to solar powered.		Health & Safety/ Environmental Manager.	
2	Comply with NCPL Significant Environmental Risk Table Overview of NCPL Significant Environmental Risk and associated Risk Treatment Plan.				
<b>WASTE</b>					
3	Establish baseline for amount of generated waster for different categories(i.e. solid waster, hazardous waste, batteries, used oils) in order to establish achievable objectives.	Categorise waste items and identify method for tracking generated waste.			
<b>EMISSIONS TO WATER</b>					
4	Reduce the number of oil spill incidents.	Reduce the number of oil spills incidents 20%			
5	Eliminate liquid hydrocarbon discharges to the environment.	Zero liquid hydrocarbon discharges to the environment.			
6	Reduce overall consumption of fresh water.	Establish water usage.			
<b>NATURAL RESOURCES USE REDUCTION</b>					
7	Reduce electricity use.	Replace 100% light bulbs on site with LED lights.			
<b>QUALITY</b>					
8	Increase customer satisfaction.	Enhance communication protocol to clients.	Reach out to clients to identify their needs. Review and enhance customer communication.		

## INTRODUCTION

Achieving ISO 55001:2014 certification exemplifies NCPL's commitment to our stakeholders, community, and customers, by continuously evaluating and improving our Asset Management processes to ensure we exceed the highest standards in the world.

Certification offers NCPL a single, clear framework to achieve our policy objectives and to realize maximum value from our Assets throughout their lifecycle.

Asset Management does not focus on the value of the Asset itself, but on the value that the Asset can provide to NCPL, with the ultimate objective of enhancing NCPL's business return on investment.

**NCPL's Asset Management Policy Objectives and our Strategic Asset Management Plan (SAMP) are contained in the IMS Company Manual.**

### 1.0 Purpose

The Asset Management System (AMS) procedures that follow, form a universal framework for managing the use of physical assets throughout their lifecycle, such as mobile or fixed operating plant structures and equipment at the NCPL port facility.

They incorporate considerations and decision making for management of assets into the ports day-to-day operations and into NCPL's strategic planning.

### 2.0 Responsibility

The Department Managers are responsible for ensuring the procedures that follow are effectively implemented and maintained.

### 3.0 Procedures

The procedural elements of the Asset Management System are as follows:

## **NCPL's' Asset Management System (AMS) Objectives**

The Key objectives and benefits that NCPL obtains from implementing the Asset Management standard include the following:

- Bring value for the organization and all its stakeholders from the use of its assets.
- Promoting alignment across the organization to achieve organizational goals.
- Promote Managerial Leadership with commitment, along with an empowerment culture.
- Achieve Asset Policy Objectives.
- Improve efficiency, reduce costs, and minimize negative impacts on equipment failures and down time.
- Provide Asset Life Cycle controls for the planning, acquisition, utilization, maintenance, and disposal of NCPL's assets.

## **Factors that Impact NCPL's Asset Management System**

**The context and scope of NCPL's AMS and the Internal and External issues that impact our ability to meet our objectives are defined in the Company Manual section 4.0 and relevant procedures and includes:**

- Understanding the organization and its context.
- Understanding the needs and expectations of stakeholders.
- Determining the scope of the system.
- The Asset Management System.

NCPL is committed to defining our position in the marketplace and understanding how relevant factors arising from legal, political, economic, social, and technological issues influence our strategic direction and our organizational context for realizing maximum value from our assets.

All external and internal issues that affect both the achievement of the organizational goals and the Asset Management System are identified in our Company Manual and Procedures.

### **Stakeholders**

NCPL has identified all internal and external stakeholders who impact the Asset Management System and has documented their needs, expectations, and method of communications in the Company Manual and Procedures.

*Reference: Stakeholder and interested parties' matrix*

### **Scope**

The scope of the AMS is laid down in the Company Manual and the Strategic Asset Management Plan (SAMP).

The AMS framework process plan is shown in *Figure 2: Asset Management Process Chart*

### **NCPL's Leadership and Commitment**

**NCPL is committed to, and is proactively involved in, implementing, and maintaining our organization's Asset Management System as defined in the Company Manual section 5.0 and relevant procedures and includes:**

- Leadership and commitment.
- AMS Policy.
- Organizational roles, responsibilities, and authorities.
- NCPL ensures that all necessary resources, responsibilities, and accountabilities are allocated for the continual improvement of the AMS.

NCPL's top management has ensured that the asset management policy, the SAMP, and Asset Management Objectives are established and are compatible with the organizational objectives.



The Asset Management Policy and Objectives are contained in the Company Manual.

## NCPL's Organizational Roles, Responsibilities & Authorities

- The NCPL management structure, organograms and the lines of communication and authority are contained in the Company Manual.

## Planning to Achieve our AMS Objectives

**The planning requirements of the AMS are defined in the Company Manual section 6.0 and relevant procedures and include:**

- Actions to address risks and opportunities.
- Asset Management Objectives and Planning to achieve them.
- Determination of legal requirements and other requirements.

## Planning: Actions to Address Risks & Opportunities

NCPL has incorporated risk-based thinking into our organization's culture. This includes the establishment of risk management procedures and processes to ensure the effective risk and opportunity management principles are undertaken throughout the lifecycle of our operations, processes, Asset management system, products, services, and activities by:

- Providing sufficient resources to carry out risk and opportunity management activities.
- Assigning responsibilities and authorities for risk and opportunity management activities.
- Reviewing information and results from audits and risk and opportunity management activities.

NCPL has considered the risks and opportunities arising from our AMS and its processes, our operations and supply chain and takes action to ensure that our AMS meets its intended outcomes, reduces undesired effects, and achieves continual improvement.

The NCPL risk management framework is contained in the Company Manual and Procedures.

## **Planning: To achieve Asset Management Objectives**

### **The AMS Policy Objectives and SAMP are set out in the Company Manual**

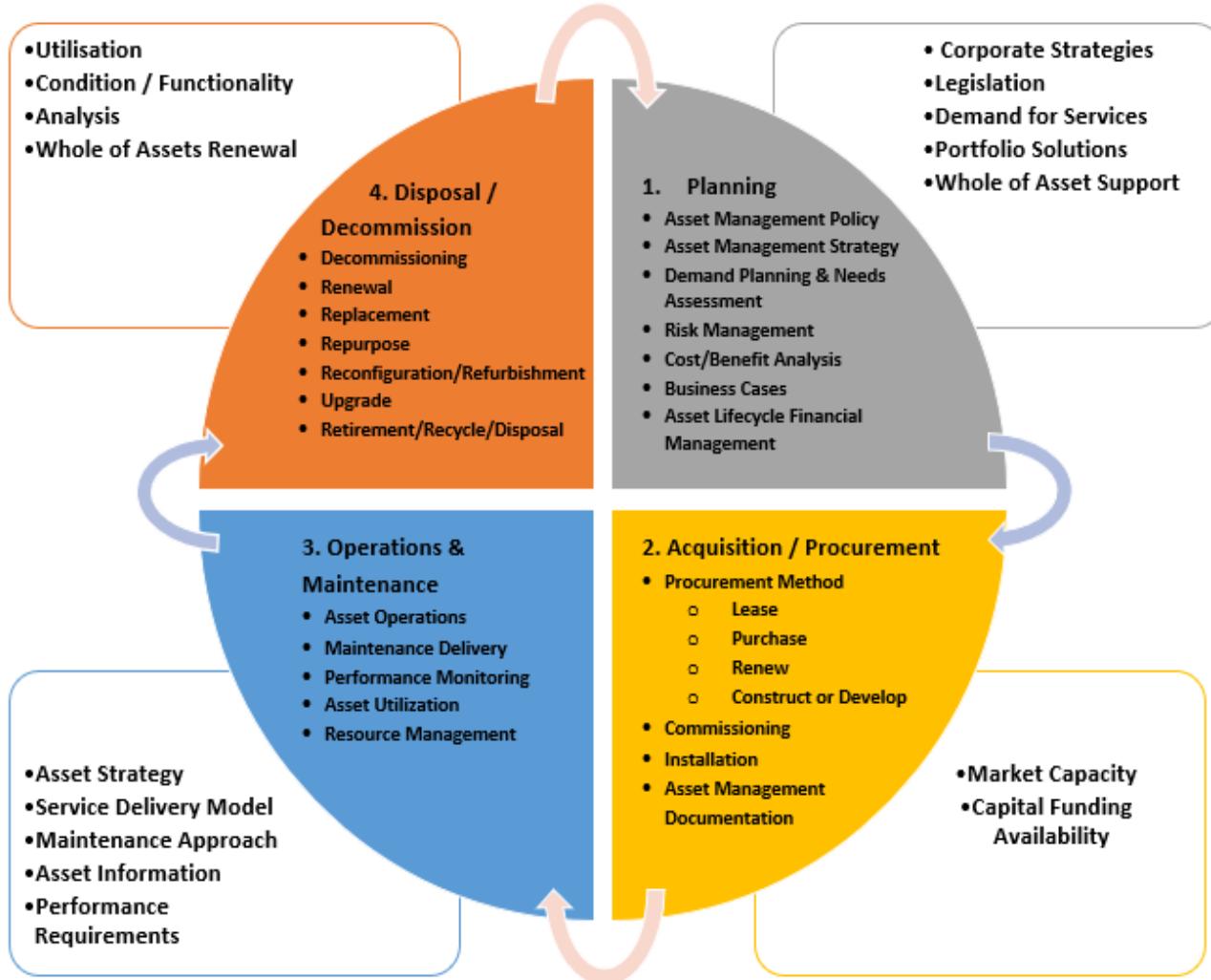
NCPL has ensured that the Asset Management Plan(s) take(s) into account relevant requirements coming from outside the asset management system.

**Specific Asset Management Plans** identify risk mitigation and preventions, internal and external resources, special tools, or equipment needed for maintenance and criticality status of assets, over the whole lifecycle.

The chart that follows illustrates the Asset Management Lifecycle from planning, acquisition, operation, and maintenance and final disposal/decommission.

**Reference: Asset Management Plans for specific equipment**

### Asset Lifecycle Planning and Management



**Asset Lifecycle Planning and Management Chart.**



## NCPL's Supporting Role

**NCPL's supporting role for the requirements of the AMS are defined in the Company Manual section 7.0 and relevant procedures and include:**

- The provision of resources.
- Competency needs.
- Awareness training.
- Communications, both internal and external.
- Information requirements.
- Documented information.

### Support: Resources

NCPL is responsible for identifying resources needed for planning, providing, and maintaining the infrastructure and the resources needed to achieve product and process conformance, including buildings, workspace, and associated utilities; process equipment (hardware and software); and supporting services (such as internal transportation, material handling systems, and communications systems).

- The resource requirements for the implementation, management, control, and continual improvement of our Asset Management System, are defined in our SAMP, operational procedures, and work instructions.

### Competence

NCPL identifies emerging competency needs during Management Reviews. Emergent competency needs are converted into job descriptions for the type and number of positions that need to be filled through internal or external recruitment. To ensure the competence of our workers and contractors, job descriptions have been prepared and identify the qualifications, experience, interactions, and responsibilities that are required for each position.

## Awareness Training:

Awareness of the requirements of the Asset Management System is made available to both internal and external workers as contained in the Company Manual and Procedures.

## Communication:

NCPL understands that defined channels of communications are required for the success of the AMS and clear procedures are in place to identify the process of communication, both internally and externally as contained in the Company Manual.

Documented information is not restricted to hard copy and appears in electronic, format, email and web based, in accordance with the table below.

**Reference: *Communication Plan with Internal/External Stakeholders/Others.***

## Information requirements

All information requirements related to the relevant Assets, Asset Management, the Asset Management System, and the achievement of the organizational objectives, such as risks, roles, processes, stakeholders, decision making, have been identified and addressed:

- a) NCPL has taken into consideration the following requirements to support its Asset Management System:
  - The significance of the identified risks.
  - The roles and responsibilities for Asset Management.
  - The asset management processes, procedures and activities.
  - The exchange of information with its stakeholders, including service providers.
  - The impact of quality, availability, and management of information on organizational decision making.
- b) NCPL has determined:
  - The attribute requirements of identified information.
  - The quality requirements of identified information.

- How and when information is to be collected, analyzed, and evaluated.
- NCPL has specified, implemented, and maintained processes for managing its information.
- NCPL has determined the requirements for alignment of financial and non-financial terminology relevant to Asset Management throughout the organization.
- NCPL has ensured that there is consistency and traceability between the financial and technical data and other relevant non-financial data, to the extent required to meet its legal and regulatory requirements while considering its stakeholders' requirements and organizational objectives.

## **Control of Documented Information**

NCPL procedures for document and data control are aimed at preventing the risk of unintended use of obsolete documentation information and are contained in the Company Manual section 7.14 and relevant procedures.

## **Operational Planning and Control**

**Requirements for Operational Planning and Control are defined in the Company Manual section 8.0 and relevant procedures and includes:**

- Planning and control.
- Management of change.
- Outsourcing.

## **Planning and Controls**

AMS procedures and controls are implemented by all applicable teams and departments using the appropriate supporting SAMP and individual Asset Management Plans.

NCPL ensures that all operational activities, including product and service outputs, meet the applicable safety requirements and regulatory standards as contained in the Company Manual section 8.0 and relevant procedures.

The operation and maintenance of plant and equipment that have the potential to impact safety performance, as defined through risk analysis, is maintained, inspected, and tested to ensure it meets design descriptions and specifications. Documentation for critical processes, plant, and equipment is retained and made available.

## **Management of Change**

- It is recognized that accidents can occur when processes deviate from defined established control measures.
- This may include changes in competent supervision and workers or the introduction of new materials, machinery, and processes.
- The organization has defined and implemented a process which considers internal and external change throughout the business.
- Changes are risk assessed with consideration of the impacts on NCPL's business made prior to any change implementation.
- The change process is a documented system to acknowledge issue and receipt of the notification to ensure it is communicated and understood.

*Reference: Change Management Process Procedure.*

## **Outsourcing**

- NCPL has put controls in place to ensure those purchased goods and outsourced services do not introduce hazards and expose workers to harm including contractors.

The organization has determined:

- The processes and activities that are to be outsourced (including the scope and boundaries of the outsourced processes and activities and their interfaces with the organization's own processes and activities).
- The responsibilities and authorities within the organization for managing the outsourced processes and activities.
- The processes and scope for the sharing of knowledge and information between the organization and its contracted service provider(s).
- When outsourcing any activities, the organization ensures that:
  - The outsourced resources meet the requirements of 7.2, 7.3 and 7.6.
  - The performance of the outsourced activities is monitored in accordance with 9.1.

## Performance Evaluation

**Requirements for performance evaluation are defined in the Company Manual section 9.0 and relevant procedures and includes:**

- Monitoring, measurement, analysis, and performance evaluation.
- Evaluation of Compliance.
- Internal Audit.
- Management Review.

NCPL has established, implemented, and maintained a process for monitoring, measuring and evaluation of the performance of the AMS to improve its effectiveness, as contained in the Company Manual section 9.0

## Internal Audit

An internal audit is a systematic method to check organizational processes and requirements of the IMS as well as those detailed in the AMS 55001 standard.

The internal audit ensures that the processes in place are effective, and the procedures are being adhered to.

The NCPL internal audit program is contained in the Company Manual and Procedures.

## Management Review

- The aim of the review is for Top Management to assess the performance of the Asset Management System.
- To ensure it has been effective and suitable for the needs of the business, ultimately maintaining Asset value for NCPL.
- On completion of the Management Review Meeting, NCPL top managers, and support decide what is needed to continuously improve the AMS and satisfy the standard.
- NCPL records the meeting minutes within documented information.
- This information is communicated to the relevant interested parties and where applicable worker representatives.

The NCPL Management Review program is contained in the Company Manual and Procedures.

## Improvement

**Requirements for the continual Improvement of the AMS are defined in the Company manual section 10.0 and relevant procedures and includes:**

- Nonconformity and Corrective Actions.
- Preventive Action.
- Continual Improvement.



## Nonconformity and Preventive, Corrective Action

NCPL has implemented procedures for reacting, controlling, correcting, and preventing nonconformities, as contained in the Company Manual section 10 and the relevant Procedures.

The procedure defines the controls for reporting and establishing the root-cause of all types of accident, incident or near miss that may occur on our premises and the implementation of preventive and corrective actions. Any staff member who is involved in an accident, near miss or any dangerous incident must report the occurrence.

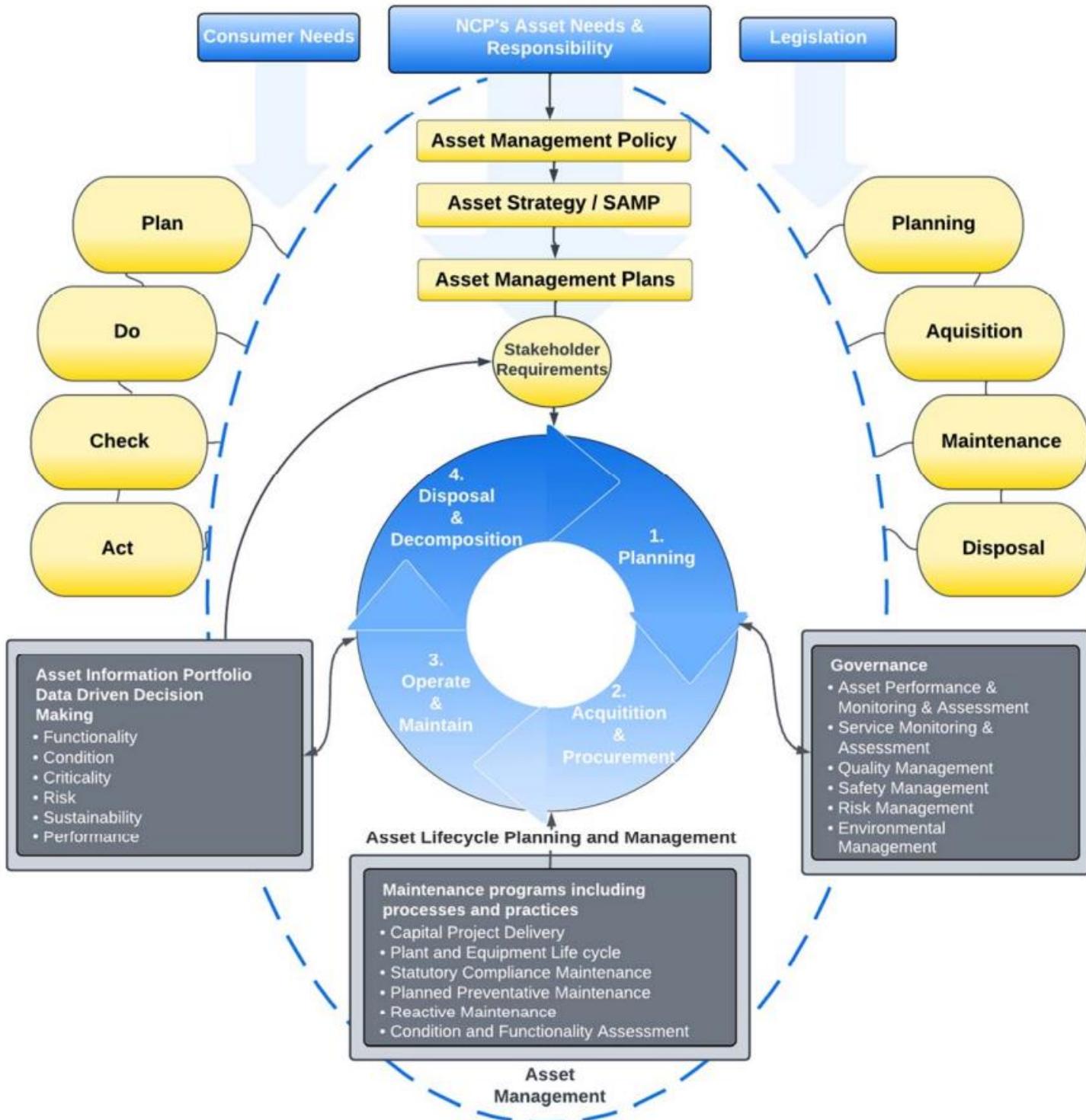
## Preventive Action

NCPL has established processes to proactively identify potential failures in asset performance and evaluated the need for preventive actions as contained in the Company Manual and relevant Procedures.

## Continual Improvement

NCPL has established processes to continually improve the suitability, adequacy, and effectiveness of its asset management system as contained in the Company Manual and Procedures.

**Figure 2: Asset Management Process Chart**



## INTRODUCTION

Achieving ISO 20121:2012 certification enables NCPL to manage its event related activities in a sustainable manner, which means doing the least harm to local resources. It is applicable to all types of events including exhibitions, sporting events, annual meetings, and concerts.

### 1.0 Purpose

The Event Management System (EMS) procedures that follow, form a universal framework for managing NCPL's event activities, which takes into consideration the impact on society and society's expectations of events, with the objective of minimizing any adverse effects to the economic, environmental, and social structure at the event location.

### 2.0 Responsibility

The Heads of Departments and Managers are responsible for ensuring the procedures that follow are effectively implemented and maintained.

### 3.0 Procedures

The procedural elements of the Event Management System are as follows:

#### NCPL's Event Management Objectives

The key objectives and benefits that NCPL obtains from implementing the Event Management standard include the following:

- Bring Value for the organization and all its stakeholders from holding sustainable events.
- Promoting alignment across the organization to achieve organizational goals.
- Compliance with all relevant legal, Governmental, and regulatory requirements.
- Enhance credibility, public image, and confidence as NCPL monitors and evaluates the event impacts and aspects and positions themselves as leaders in the Event Management field.

### Factors that Impact NCPL's Event Management System (EMS)

**The context and scope of NCPL's EMS and the Internal and External issues that impact our ability to meet our objectives are defined in the Company Manual section 4.0 and relevant procedures.**

NCPL is committed to defining our position in the marketplace and understanding how relevant factors arising from legal, political, economic, social, and technological issues influence our strategic direction and our organizational context for realizing sustainable events.

### **Stakeholders and Interested Parties**

NCPL has identified all internal and external interested parties and stakeholders who impact the Event Management System and has documented their needs, expectations, and method of communications in the Company Manual and Procedures.

The identification of interested parties, where applicable, include the following:

- Event organizer.
- Event owner.
- Workforce.
- Supply chain.
- Participants.
- Attendees.
- Regulatory bodies.
- Community.

*Reference: Stakeholder and Interested Parties' Matrix*

### **Scope**

The scope of the EMS is laid down in the Company Manual and Procedures.

The EMS framework process plan is shown in *Sustainable Event Management Chart*

### **Sustainable development principles, statement of purpose and values**

NCPL's principles, purpose and values provide a framework for setting its policies, objectives, and targets, as defined within the scope of its Event Sustainability Management System.

NCPL's governing principles of sustainable development regarding Event Management includes:

- Considerations for stewardship.
- Inclusivity.

- Integrity and transparency.

NCPL has defined and documented its primary purpose and values with respect to its activities, products and services that relate specifically to events.

## **NCPL's Leadership and Commitment**

**NCPL is committed to, and is proactively involved in, implementing, and maintaining our organization's Event Management System as defined in the Company Manual section 5.0 and relevant Procedures and includes:**

- Leadership and commitment.
- EMS Policy.
- Organizational roles, responsibilities, and authorities.
- NCPL ensures that all necessary resources, responsibilities, and accountabilities are allocated for the continual improvement of the EMS.

NCPL's top management has ensured that the Event Sustainability Management System Policy and Objectives are established and are compatible with the organizations strategic direction.

## **Event Management Policy**

Top management has established a Sustainable Development Policy that is contained in the company manual.

It contains NCPL's governing principles of Sustainable Development and Policy Objectives regarding event management and represents the foundation for all event related activities, products and services.

NCPL's policy and procedures take into consideration the following requirements:

- Supply chain organizations (product, facility, and service providers).
- The event management cycle, from conception and planning through to implementation, review, and post event activities.
- Output from engagement with interested parties (4.2)
- The needs of end users.
- Legacy issues.

## **NCPL's Organizational Roles, Responsibilities & Authorities**

NCPL's top management has assigned responsibility and authority for relevant roles for the functioning of the Event Management System to ensure that the EMS conforms to the ISO Standard and that the performance of the EMS is reported to top management.

The NCPL management structure, organograms and the lines of communication and authority are contained in the Company Manual and relevant procedures.

## **Planning to Achieve our EMS Objectives**

**The planning requirements of the EMS are defined in the Company Manual section 6.0 and relevant procedures and include:**

- Actions to address risks and opportunities.
- Issue identification and evaluation.
- Determination of legal requirements and other requirements.
- Event Sustainability Objectives and how to achieve them.

### **Planning: Actions to Address Risks & Opportunities**

Planning actions to address risks and opportunities are contained in the Company Manual (CM) section 6.1,

- When planning for the Event Sustainability Management System, NCPL has considered the issues referred to in 4.1 and the requirements referred to in 4.2 and determine the risks and opportunities that need to be addressed to ensure the Event Sustainability Management System can achieve its intended outcomes and prevent, or reduce, undesired effects and
- Achieve continual improvement.
- When carrying out planning activities, NCPL has ensured operational adherence to, and the enhancement of, the governing principles of sustainable development relating to Event Management.

NCPL has incorporated risk-based thinking into our organization's culture. This includes the establishment of risk management procedures and processes to ensure the effective risk and opportunity management principles are undertaken throughout the lifecycle of our operations, processes, Event Management System, products, services, and activities by:

- Providing sufficient resources to carry out risk and opportunity management activities.
- Assigning responsibilities and authorities for risk and opportunity management activities.
- Reviewing information and results from audits and risk and opportunity management activities.

NCPL has considered the risks and opportunities arising from our EMS and its processes, our operations and supply chain and takes action to ensure that our EMS meets its intended outcomes, reduces undesired effects, and achieves continual improvement.

The NCPL risk management framework is contained in the Company Manual and Procedures.

### **Issue identification and Evaluation**

- NCPL has established, implemented, and maintained an Event Management Plan to identify its sustainable development issues and to evaluate their significance associated with its event-related activities, products, and services within the defined scope of the management system.

The identification of issues has where applicable, encompasses the following:

- Activities at significant risk of causing harm to communities, when large crowds are gathered, such as crowd management, entering or exiting, anti-social behavior, medical emergencies, impact of noise and unacceptable sound levels, emergency evacuation, use of illegal drugs, as specified in the Event Management Plan.
- Environmental-resource utilization, materials choice, resource conservation, emissions reduction, biodiversity and nature preservation, releases to land, water, and air.
- Social – labor standards, health and safety, civil liberties, social justice, local community, indigenous rights, cultural issues, accessibility, equity, heritage, and religious sensitivities.

- Economic – return on investment, local economy, market capacity, shareholders value, innovation, direct and indirect economic impact, market presence, economic performance, risk, fair trade, and profit sharing.
- In addition to those sustainable development issues that NCPL can control, it has also considered issues that it can influence.
- The criteria used for the evaluation of significance has been documented and includes consideration of feedback from interested parties, and the identification of new emerging issues.
- The outputs of the procedure are documented, kept up to date and shared with relevant interested parties.

### **Legal and other requirements**

- NCPL has established, implemented, maintained, and revised periodically a procedure to identify, and have access to, current and emerging legal and other requirements, to which the organization subscribes.
- In countries where the law or its implementation does not provide for minimum environmental, social, or economic safeguards, the organization should aspire to achieve international best practice were deemed to not conflict with national law.
- NCPL has ensured that the applicable legal requirements and other requirements to which it subscribes are considered and complied with in establishing, implementing, and maintaining its management system.

### **Event Sustainability Objectives and How to Achieve Them**

NCPL has established event sustainability objectives at relevant functions and levels. These are contained in the Company Manual section 6.2 and relevant Procedures.

*Reference: Event Planning and Supply Chain Management.*

### **NCPL's Supporting Role**

**NCPLs' supporting role for the requirements of the EMS are defined in the Company Manual section 7.0 and relevant procedures and include:**

- The provision of resources.
- Competency needs.

- Awareness.
- Communications, both internal and external.
- Documented information.
- Creating and updating.
- Control of documented information.

## Resources

NCPL is responsible for providing the resources needed for the establishment, implementation, maintenance, and continual improvement of the Event Sustainability Management System. Resources shall include staffing, competency, training, infrastructure, technology, and finance.

## Competence

NCPL has determined the necessary competence of person(s) doing work under its control that affects its event sustainability performance; and ensures that these persons are competent based on appropriate education, training, or experience.

NCPL reviews and updates training and development programs periodically to ensure essential competencies and associated training needs are identified and provided.

## Awareness

Persons doing work under the organization's control are made aware of:

- The sustainable development policy.
- Their contribution to the effectiveness of the Event Sustainability Management System, including the benefits of improved event sustainability performance.
- The implications of not conforming with the Event Sustainability Management System requirements.

## Communication

NCPL understands that defined channels of communications are required for the success of the EMS and clear procedures are in place to identify the process of communication, both internally and externally as contained in the Company Manual.

Documented information is not restricted to hard copy and appears in electronic format, email and web based, in accordance with the table below.

NCPL has determined the need for internal and external communications relevant to the event sustainability management system.

***Reference: Communication Plan with Internal/External Stakeholders/Others.***

## **Documented Information**

All information requirements related to the relevant Event Management System, and the achievement of the organizational objectives, such as risks, roles, processes, stakeholders, and decision making, have been identified and addressed in the Company Manual.

## **Control of Documented Information**

NCPL procedures for document and data control are aimed at preventing the risk of unintended use of obsolete documentation information and are contained in the Company Manual section 7.14

Documented information required by the Event Sustainability Management System and by this International Standard is controlled in accordance with Company Manual Procedures.

## **Operational Planning and Control**

**Requirements for Operational Planning and Control are defined in the Company manual section 8.0 and relevant procedures and include:**

- Operational Planning and Control.
- Dealing with modified activities, products, or services.
- Supply chain management.

## **Operational Planning and Control**

EMS procedures and controls are implemented by all applicable teams and departments using the appropriate Event Management processes.

NCPL ensures that all operational activities, including product and service outputs, meet the applicable safety requirements and regulatory standards as contained in the Company Manual section 8.0 and relevant Procedures.

## Dealing With Modified Activities, Products, Or Services

Where new or modified activities, products, or services, or changing operational circumstances are encountered, issues, objectives, targets, and plan(s) are reviewed and amended where relevant to ensure that the best overall solution is delivered adhering to NCPLs statement of purpose and values and sustainable development policy.

## Supply Chain Management

- NCPL has established the relevance of each of the objectives, targets, and plan(s) to individual suppliers, and includes sufficient and relevant information in tender or other documentation to enable its suppliers to demonstrate their capability to support the objectives. When requesting tenders or equivalent documents NCPL makes assessments based on the supplier's ability to meet or contribute towards objectives, targets, cost-effectiveness, and quality.
- If NCPL does not go through a tender process, it justifies the process and shows how they consider sustainable development issues when choosing suppliers.

## Performance Evaluation

### Requirements for Performance Evaluation are Defined in the Company Manual Section 9.0 and Relevant Procedures and Include

- Performance against governing principles of sustainable development.
- Monitoring, measurement, analysis, and evaluation.
- Internal Audit.
- Management Review

NCPL has established, implemented, and maintained a process for monitoring, measuring and evaluation of the performance of the EMS to improve its effectiveness, as contained in the Company Manual section 9.0

## Performance Against Governing Principles of Sustainable Development

NCPL has established its approach to evaluating current and target performance against its statement of purpose and values and the governing principles of sustainable development relating to Event Management as contained in the Event Policy document and procedures.

## **Monitoring, Measurement, Analysis, And Evaluation**

The requirements for monitoring, measuring, analysis and evaluation are contained in the company manual section 9.1and relevant procedures.

## **Internal Audit**

An internal audit is a systematic method to check organizational processes and requirements of the IMS as well as those detailed in the EMS 20121 standard.

The internal audit ensures that the processes in place are effective, and the procedures are being adhered to.

The NCPL's internal audit program is contained in the Company Manual and relevant Procedures.

## **Management Review**

- The aim of the review is for Top Management to assess the performance of the Event Management System,
- To ensure it has been effective and suitable for the needs of the business.
- On completion of the management review meeting, NCPL's top managers, and support decide what is needed to continuously improve the EMS and satisfy the standard.
- NCPL records the meeting minutes within documented information.
- This information is communicated to the relevant interested parties and where applicable worker representatives.

The NCPL Management Review program is contained in the Company Manual and Procedures.

For the Event Sustainability Management System to continue to conform to this International Standard, NCPL ensures, through Management Review, that it remains aligned with its governing principles of Sustainable Development relating to Event Management.

The NCPL's management review program is contained in the Company Manual and relevant Procedures.



## Improvement

**Requirements for the Continual Improvement of The EMS are Defined in the Company Manual Section 10.0 and Relevant Procedures and Include:**

- Nonconformity and Corrective actions.
- Continual Improvement.

### Nonconformity and Preventive, Corrective Action

NCPL has implemented procedures for reacting, controlling, correcting, and preventing nonconformities, as contained in the Company Manual section 10 and relevant procedures.

The procedure defines the controls for reporting and establishing the root-cause of all types of accident, incident or near miss that may occur on our premises and the implementation of preventive and corrective actions. Any staff member who is involved in an accident, near miss or any dangerous incident must report the occurrence.

### Continual Improvement

NCPL has established processes to continually improve the suitability, adequacy, and effectiveness of its Event Sustainability Management System.

### Event Sustainability Management System Chart



## **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**

