

Notice of Change to Controlled Documents #106 /05 Sep 2012

Summary of Change

NOC#	Ch., Sec., SOP	Summary	Revision#
106	SOP-GEN-012A New SOP	Management of Change process described and procedures established.	13

Approvals	Approvals

NOC #106

SOP-GEN-012A Management of Change New SOP

Topic: Management of Change process described and procedures established. New SOP below:

SOP-GEN-012A Management of Change	
1.0	<u>Purpose and Description</u>
2.0	<u>Types of Changes</u>
3.0	<u>TDI-Brooks Management Chart</u>
4.0	<u>The Process of Change Management</u>
5.0	<u>Evaluation of Change</u>

6.0	Approval Process
7.0	Implementation and Documentation
8.0	Close-Out
9.0	Example Change Management Matrix
10.0	Change Record Form

Revision/ Review Log

Revision Date	Approved by	Reviewed by	Revision Details/ Proposal Notes
7 February 2006 Revision #10	Dr. Jim Brooks Dr. Bernie Bernard	HSE Manager: Russell Putt Port Captain: Capt. Pat Fallwell	
10 July 2010 Revision #11	Dr. Jim Brooks Dr. Bernie Bernard	HSE Manager: Russell Putt Port Captain: Capt. Pat Fallwell	
15 October 2010 Revision #12	Dr. Jim Brooks Dr. Bernie Bernard	HSE Manager: Russell Putt Port Captain: Capt. Pat Fallwell	Changed to electronic format
05 September 2012 Revision #13	Dr. Jim Brooks	Dr. Jim Brooks Dr. Bernie Bernard Dr. James Howell	Moved from HSE to SMM as a new SOP

1.0 Purpose and Description

Often after undertaking an operation, the scope needs to be reevaluated and changed due to unforeseen events. The TDI-Brooks Management of Change process evaluates any potential changes in operations, procedures, equipment, facilities, permits, laws and regulations, and personnel to ensure that changes are managed effectively and with no unacceptable HSE risks.

The TDI-Brooks Management of Change Form is designed to guide the management team through a series of questions to consider all areas impacted by any proposed change, evaluate any new or increased risks and plan ways to mitigate those risks.

There are three forms used specifically for a Management of Change, all of which can be located on the ship web pages, SMM Forms Only page. The minimum required forms are:

- Management of Change Meeting sign in sheet
- Management of Change Form
- Management of Change – Risk Analysis

1.2 Types of Changes

The types of changes relevant to this policy include the following:

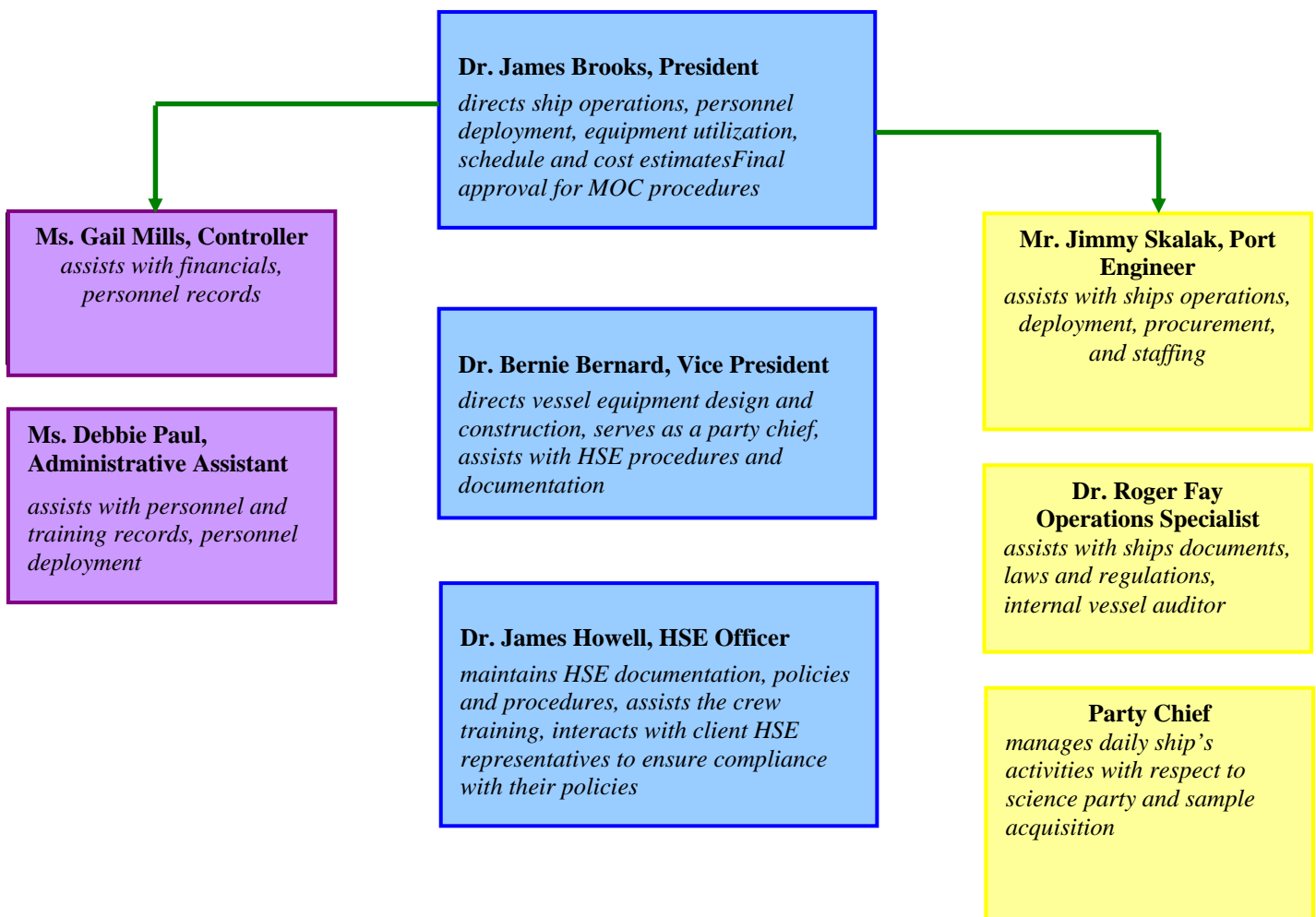
- Procedural
- Operational

- Equipment (modifications, deletions, or additions)
- New hazards identified (including hazardous materials)
- Laws, regulations, or permits
- Costs or schedule

3.0 TDI-Brooks Management Chart

The section on Approval Process describes the primary individuals who would be involved in any significant changes during active operations in the field.

The following chart describes the primary individuals who would be involved in any change of policies or procedures at the TDI-Brooks corporate level.



4.0 The Management of Change (MOC) Process

All personnel are expected to identify any changes required within their area of expertise and responsibility and communicate them to their supervisor or other manager. Need for change may be identified from incident, near miss, Safety Meeting, JSA Review, Observation Card or discussion among crew and reported to Party Chief.

Party Chief will discuss the proposed change with affected department heads/personnel. (Lab, Deck Manager, Deckmen, Engineer, Captain) If Party Chief feels the change is needed, he will advise client rep and consult with TDI Brooks upper management.

Once the group agrees that a Management of Change should be considered, the following steps need to happen:

1. MOC Meeting will be conducted by parties authorized to make MOC decisions and will include representatives from affected departments.
2. The MOC Record will be filled out and signed by persons authorized by their company to make those decisions.
3. If required, TDI-Brooks upper management and possibly the client upper management ashore will be notified and must approve the change. (see Section 7.0 "Approval Process")

Once change has been approved by all required parties, a copy of the MOC form will be sent to Dr. Jim Brooks for posting on the CM, and the following steps will take place:

1. New or revised JSA will be conducted if the change increases existing level of risk or requires a significant change in procedures. A JSA creation or modification resulting from an MOC is to be entered into NS5 Quality and Compliance module as a meeting, and the record number written on the MOC form.
2. If personnel require additional training, it will be conducted and documented on the MOC form.
3. The change will be communicated to all affected parties and the method of communication documented on the MOC form.
4. Any additional regulatory forms will be completed and submitted to the appropriate agency and documented on the MOC form.
5. Special Permits for work will be issued as needed, entered into NS5 and the work order number written on the MOC form.
6. If change is temporary, a date must be set for expiration or renewal/ review.
7. Then the change may be implemented.
8. If temporary, the change will revert to the original procedure at the appointed time.
9. If permanent, any SOP, JSA or section of the SMM that may be affected must be edited to reflect the change.

10. The TDI-Brooks representative on board will evaluate the effectiveness of the change, note any lessons learned on the MOC form and communicate the lessons learned to those involved and TDI-Brooks management.

5.0 Management of Change Form

All Management of Change decisions are documented on our Management of Change Form, which includes the following 5 sections:

- **Identification** of the need for a change and the type of change (permanent, temporary, or emergency).
- **Evaluation** of the change to include the potential consequences, risk assessments, and mitigation measures.
- **Approval** of changes by the proper level within TDI-Brooks and client and final mitigations procedures.
- **Implementation and documentation** of changes includes communication to employees, any additional training and procedures and written documentation and sign off by appropriate TDI-Brooks and client representatives.
- **Close Out** is used to verify that the change has been implemented properly and that lessons learned have been communicated.

Changes may be classified as one or more of the following:

- **Permanent**- This change is expected to be in place indefinitely. Changes at this level will require revision in our practices and procedures and need management review and approval
- **Temporary**- This change is expected to be in place for a specified period only. Temporary changes extending beyond the specified activity and duration require re-evaluation and approval.
- **Urgent**- This change must be made quickly to take advantage of a limited opportunity or reduce the impact of adverse events. Urgent changes are not associated with an incident, but rather require quick action to capture the expected benefits of the change or to avoid significant negative consequences (such as costs, schedules, or other business reasons). Urgent changes can be cancelled at any time with a return to the original condition.
- **Emergency**- This change must be undertaken urgently to avoid, mitigate, or control an incident. This type of change can be approved and implemented by the appropriate management level on site to avoid, mitigate, or control an incident. (Site level managers include Party Chief, HSE Manager, Captain and Chief Engineer).
- **Minor**- This change has an inherent low risk and is not expected to have a significant impact on operations or personnel. This type of change should have minor impact on cost and schedule issues and have no contractual or regulatory implications.

6.0 Evaluation of Change

The two basic tools for evaluating a change include:

- **Hazard/Risk Assessment-** This will be undertaken when the proposed change is expected to increase the level of risk or if the change affects an activity with medium to high level of risk.
- **JSAs-** anything but a minor change will trigger a re-evaluation of applicable JSAs.

7.0 Approval Process

The approval levels of any changes include approval within TDI-Brooks International using the following as a guideline.

Minor changes- vessel management (*Party Chief, HSE Officer on board, Master, Chief Engineer*)

Urgent changes- vessel management in conjunction with senior TDI-Brooks Managers (*Dr. Jim Brooks and/ or Bernie Bernard*)

Emergency changes- vessel management (*Party Chief, HSE Officer on board, Master, Chief Engineer*) followed by documentation and communication with senior TDI-Brooks managers.

Permanent changes- senior TDI-Brooks managers.

Temporary changes-- vessel management in conjunction with senior TDI-Brooks Managers

Clients may need to be notified of or approve certain changes depending on the contract. Refer to the project execution plan.

8.0 Close-out

The close-out step in the Change Management process is to verify that the change has been implemented properly and to communicate lessons learned.

The Close-out step of the CM process is to verify the following:

- All documentation of the change has been completed and any procedures or policies affected by the change have been properly reviewed and changed.
- For temporary changes, the duration of change is clearly stated and observed. Once the duration has expired, the procedures or equipment will be returned to their original condition or approval will be obtained to extend the duration of the change.

- Lessons learned from the change should be communicated to the appropriate levels within the TDI-Brooks management.
- Did it accomplish what was intended?
- If special precautions are needed to maintain safe operations while a temporary change is in effect, what is being done to periodically review the effectiveness of these precautions?

Management of Change Form

Date: _____

Request No. _____

Project: _____

Location: _____

Type of Change

- Permanent Emergency
- Minor Urgent
- Temporary (Removal Date: _____)

Nature of Change

- Operations Equipment Haz. Material
- Personnel Procedures Parameters
- Regulatory/Permits Other

Description of change (Include current process):

	Name (Print)	Signature	Date
Originated By:			
Supervisor Endorsement:			

Purpose or goal of change:

Potential Consequences of Change (Positive and Negative):

Mitigation Steps and Special Precautions:

Training Required: Yes → Describe below No

What other operations, departments or facilities will be affected?

Does change increase risk to personnel, equipment or the environment? Yes No (If Yes, attach copy of MOC Risk Assessment Form)

Comments:

	Name (Print)	Signature	Date:	Title/Company
Proposed By:				
Reviewed By:				

Initiation

Evaluation

Approvals

Reviewed By:				
Endorsed By:				
Approved By:				

Implementation

Change communicated to all parties involved: Initial: | Date: |
 Describe method of communication:

How will change be communicated to next shift of workers?

Documentation changes completed: Initial: | Date: |
 List documents changed:

Training requirements completed: Initial: | Date: |
 List training conducted:

Regulatory/Permit requirements completed: Initial: | Date: |
 Describe requirements:

Temporary change completed: Initial: | Date: |
 Return to Normal Operation - Date: | |

Change Implementation Completed: Initial: | Date: |

Summary of Lesson Learned Completed: Initial: | Date: |
 List lessons learned:
 Did the change accomplish the goal it was meant to?

Lessons Learned communicated to group: Initial: | Date: |

Change Report Summarized in Close-out Documentation: Initial: | Date: |

Approval for Change Report Close-out: Signature: | Date: |

Close-out

Management of Change- Risk Analysis

Date _____

What is the policy or procedure affected by proposed change? _____

Risk Analysis meeting conducted by: _____

Likelihood	Likely	Medium Risk	High Risk	Extreme Risk
	Unlikely	Low Risk	Medium Risk	High Risk
	Highly Unlikely	Insignificant Risk	Low Risk	Medium Risk
		Slightly Harmful	Harmful	Extremely Harmful
Potential Consequences				

Use this chart to answer the questions below.

- Briefly describe the current situation/ procedure.
- What is the current likelihood of injury or harm to personnel, equipment or environment?
Likely Unlikely Highly Unlikely
- What is the potential severity of any harm to personnel, equipment or environment?
Slightly Harmful Harmful Extremely Harmful
- Using the chart and your answers above, what is the current level of risk? _____.
- What is the goal/ purpose of making this change?
- Briefly describe the change.
- List the positions and departments that will be affected. Ensure each department has a representative participating in this meeting.

8. What are some potential hazards associated with this change?

9. How will the hazards be mitigated?

11. After the change and additional mitigations, rate the likelihood of injury or harm to personnel, equipment or environment. Likely Unlikely Highly Unlikely

12. After the change and additional mitigations, rate the potential severity of any harm to personnel, equipment or environment.
 Slightly Harmful Harmful Extremely Harmful

13. Using the chart, what is the new level of risk for this activity? _____

14. Who will evaluate the effectiveness of the change ? (Was the goal accomplished?)

15. When and how will it be evaluated?

16. If change is temporary, when will it cease?

Printed Name	Position	Signature

Management of Change- Meeting Sign in Sheet

Date _____ Topic _____

 TDI Brooks Intl, Inc.	Vessel: _____
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No.	STAFF NAME	SIGNATURE	No.	CREW NAME	SIGNATURE
1.			1.		
2.			2.		
3.			3.		
4.			4.		
5.			5.		
6.			6.		
7.			7.		
8.			8.		
9.			9.		
10.			10.		
11.			11.		
12.			12.		

MEETING MINUTES

Change Proposed:

Safety Issues:

Final decision:

Other:

Client Rep

Party Chief

Printed Names		
Signatures		