| Level 2 Assurance: Terms of References (ToR) | | | | | |
|---|---|---|---|---|---|
| Audit Title: | **Change Management** | | | | |
| Audit Date: | Days | Month | Year | Auditee: | |
| Audit location: | | | | Audit Coordinator: | |
| Documents to be reviewed: | • SP-2120<br>• MOPO<br>• Records<br>• CP-206<br>• PR-2345 | | | Scope: | **To verify that:**<br>The effectiveness of the MoC system and associated verification, applicable to mandatory scope of application. |
| Contractor Representative: | | | | Audit Team: | • …………………………<br>• …………………………<br>• …………………………<br>• ………………………… |

| Compliance mandatory: ☐ Yes ☐ No | personal Targeted ☐ Yes ☐ No |
|---|---|

**Select Location(discipline):**
☐ Operations ☐ Contractor ☐------------- ☐ Commissioning ☐ Maintenance ☐ Exploration
☐ Project ☐ Well services ☐-------------- ☐ North ☐ South ☐ Infrastructure
☐ Gas ☐ Engineering ☐-------------- ☐ Logistic ☐------------ ☐ -----------------

**Personnel Selected for Interview:**
☐ Contract Holder ☐ Contract Site Rep. ☐ Contract Manager ☐ Cont. Rep. ☐ Journey Manager ☐ IVMS focal point ☐ Authorizing Person ☐ Drivers, ☐ Vehicle maintenance technicians and management.

| # | Audit Topic | Status | Source of evidence |
|---|---|---|---|
| 1. | Change management reference document is in place and relevant staff fully aware of it and conversant with its content. Contractor's change management approved by PDO | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 2. | All Process, organizational and procedural changes are identified i.e. Permanent, Temporary, Recurring and foreseeable emergency and associated secondary changes are captured in appropriate tool (FUMS, EMoC, SAP) | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 3. | Requirements to review the effectiveness of MOC system in place and documented | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 4. | Change Identification process in place and employees are empowered to raise concern based on Process condition change, Process control change, Organizational Change, hardware Change | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 5. | Screening assurance process as result of Change identification is comprehensive. Includes details for reviewers, assigns MoC owner/originator and identifies actions parties to implement controls | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 6. | Review for MoC request process in place and assures evaluation of change, risk assessed, the proposal covers both primary and secondary changes with effective controls and actions are documented | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 7. | Approve/Reject process ensures proposed changes are approved for implementation at correct level and rejection justification is notified and documented to originator and other affected parties | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 8. | Competency requirement for MoC roles are define and "MoC" process owner assures individuals involved in MoC. Training mechanism developed and provided accordingly | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |
| 9. | Implementation & Close out process of purposed changes is communicate; Training requirements identified and | ☐Yes ☐No | ☐ Document Inspection ☐ Record Analysis ☐ Process Witnessed ☐ Site Interview |

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|---|---|---|---|
| | secondary changes required by MoC are executed and documented | | |
| 10. | MoC Look back and learning process captured and are communicated to reduce errors, delays, costs impact and HSE issues | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 11. | Emergency change process is justified by Risk, fit to purpose risk assessment in place and approved by respective Operational/Engineering/Technical leadership | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 12. | Role and Responsibilities related to MoC defined in system. Manager appoints MoC owner and implementer. i.e. (Operation manager/project manager/ well engineer manager or Asset manager) | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 13. | Asset MoC assurance plan Established, endorsed by asset manager, and captured in asset KPIs including review on effectiveness of MoC process across asset. | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 14. | Matrix of Permitted Operations (MOPO) is in place, up-to-date, relevant to business, displayed appropriately and relevant staff are aware of it and understand it. | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 15. | All change notifications have clearly identified originator on the Change Proposal request form. | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 16. | Asset MoC process performance KPIs established and reviewed by Operation manager (MoC's approval durations, MoC in place more > 12 months , failure of MoC barriers , Average days MoC approval to close out, Number/Duration of active alarms/trips),etc. | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 17. | Change notifications register is in place and all change notifications registered prior to raising and only accepted if submitted with all the required documentation to substantiate the request for changes (drawing, Risk Assessment, cost, action plan, etc.) | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 18. | The proposed change notification reviewed and endorsed by field operations | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 19. | A technical review teams formed to appraise the change notifications to ensure practicable to achieve | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 20. | Change notifications approved by an appointed technical person | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 21. | Changes require to be engineered considered for implementation through approved service providers | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |
| 22. | Changes considered completed when all necessary certification and documentation have been completed and handed over to operations. | □Yes □No | □ Document Inspection □ Record Analysis □ Process Witnessed □ Site Interview |

# Audit Report.

## 1. Summary of Audit

This report presents the findings and recommendations of the Level 2 audit of the management of Change (MoC) carried out on the ---/---- / 201x. The scope of the audit included (Operations/contract/project) and covers PDO, contractors and sub-contractors of the project. This audit was part of the (Directorate (XX)) HSE assurance plan assisted by the corporate HSE. The audit is in support

to the PDO efforts and actions to fully implement and effectively sustain MoC across PDO Operations. The implementation and quality of the MoC system within the operations/Projects was compared with the MoC management documentations (SP-2120, MOPO and other relevant reference).There were evidence of the MoC system implementation across the (XX operations) and there were positive evidence identified as listed below in section 2 of this report. This audit has also identified some areas where material gaps exist which require preventative actions as listed in section 3 of this report. The identified gaps were pertaining to the implementation/quality/availability/records of **tracking / planning / Competency /assurance/review** as evidenced by the findings. In order to ensure that these gaps are closed expeditiously and sustained, close monitoring of the actions by the leadership need to continue.

## 2. The Positive Observations

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| Audit Topic # | Finding | Actions | A. Party | Target date | PIM # |
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| Auditor/Reference Indicator | Date: | Counter Sign Auditee / Representative |
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