### Amendment Record

<table>
<thead>
<tr>
<th>Date of Issue</th>
<th>Version</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>12 / 07 / 2010</td>
<td>1</td>
<td>Former CML document cml-8.13-pr-492 revision 4 Document includes revision of definitions, process, endorsement and approval to confirm with MTM integrated management principles.</td>
</tr>
<tr>
<td>14 / 2 / 2011</td>
<td>2</td>
<td>Revised to reflect organisational change Revision of definition of Minor Change</td>
</tr>
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</table>
1. **Purpose**

The purpose of this procedure is to set out the process for management of change and the key steps to be taken to ensure that changes are managed appropriately and in compliance with Victorian Rail Safety legislation.

2. **Scope**

The scope of this procedure applies to all changes that potentially have a rail safety or operational impact on the MTM safety management system and/or MTM’s conditions of accreditation.

For example, these changes may include:

- Changes to the rail network infrastructure, including associated equipment, buildings, platforms, overhead power supply, signalling, communications systems, etc.
- Changing the form or function of a material.
- Introduction of new passenger or maintenance rail vehicles, or modifications to the existing fleet and associated equipment.
- Changes to, or the introduction of a new safeworking system, rule or procedure.
- Changes to, or the introduction of new design, construction or maintenance standard or procedure.
- Changes to the master timetable.
- New or changes to existing procedures or processes.
- Adoption of, or changes to rail safety worker health and fitness standards.
- Changes imposed by an external source that may impact on MTM safety management systems.
- Changes to safety critical staff and organisation structure.

Changes may present themselves as:

- Planned changes brought about by business or strategic plans.
- Unavoidable, unplanned or unintended changes, including “creeping” or “incremental” change, where the impact at any time may seem minor but which over a period can significantly increase risk.
- Temporary changes (e.g., trials).
- Emergency or urgent changes which may be required within a short timeframe.

3. **Abbreviations and Acronyms**

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
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<tbody>
<tr>
<td>AM&amp;E</td>
<td>Asset Management and Engineering</td>
</tr>
<tr>
<td>AVA</td>
<td>Application for Variation to Accreditation</td>
</tr>
<tr>
<td>CF</td>
<td>Change Facilitator</td>
</tr>
<tr>
<td>COO</td>
<td>Chief Operating Officer</td>
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<tr>
<td>EC</td>
<td>Engineering Change</td>
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<tr>
<td>GM</td>
<td>General Manager</td>
</tr>
<tr>
<td>ICT</td>
<td>Information &amp; Communication Technology</td>
</tr>
<tr>
<td>MTM</td>
<td>Metro Trains Melbourne Pty. Ltd.</td>
</tr>
<tr>
<td>MoC</td>
<td>Management of Change</td>
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4. Definitions

Application for Variation to Accreditation (AVA)

Change

A change in MTM service delivery, rolling stock and infrastructure assets, ICT systems or business processes that potentially have a safety or operational impact on the MTM safety management system and/or MTM's conditions of accreditation.

A change can originate from within MTM or from external parties. It can also include changes external to the organisation that have the potential to impact on MTM.

There are three categories of change for which this process applies. These are:

a) Minor: changes that do not impact outside the division that is facilitating the change and has no adverse impact on MTM's risk profile or Rail Safety Accreditation.

b) Major: changes that pose a potential safety risk to the operating railway during implementation, however the resulting change has only a minor affect on the safety management system, no change to the principal risk register and does not impact on MTM's rail accreditation. Any change that impact on more than one MTM division is a major change.

c) Significant: changes that have an impact on rail operations and the safety management system or principal risk register and potential to impact on MTM's rail accreditation

Change Facilitator (CF)

A MTM representative (such as a project manager) appointed by the relevant line manager responsible for undertaking the management of change process.
The Part-A document is an interactive tool designed to capture relevant information concerning the impact of a change and how the change is intended to be managed during the implementation of the Change.

As defined in the Engineering Change Procedure (Ref. L1-ASY-PRO-001)

The implementation of a systematic and structured process to ensure that all risks associated with the change are identified, assessed, communicated and monitored and they are eliminated or if not possible to be eliminated they are reduced SFAIRP before the change is implemented.

MoC is a process for predicting, assessing and managing the impacts of any type of change on an organisation and the safety of its activities.

A formal written advice to Director of Transport Safety Victoria of certain decisions or changes made by MTM, (as defined in the Rail Safety Regulations 2006) that are within the MTM conditions of accreditation.

Designing, commissioning, constructing, manufacturing, erecting, installing, operating, maintaining, repairing, modifying, decommissioning or managing rail infrastructure

Designing, commissioning, constructing, manufacturing, operating, maintaining, repairing or modifying rolling stock.

The system and arrangements established and maintained by MTM to ensure the safe management of rail operations. An SMS is a requirement of rail safety accreditation.

A level of residual risk that is tolerable and cannot be eliminated or reduced further without the expenditure of costs and effort that are grossly disproportionate in relation to the benefits gained.

The first step in the management of change process is to identify the change. A MTM representative shall undertake the role of Change Facilitator in order for the management of change process to progress. This will generally be a MTM representative responsible for implementing the change or a MTM representative
tasked with managing the interface for an external change.

5.2 The Change Facilitator shall gather sufficient information so that a change impact assessment can be performed. This shall include identifying and describing:

a) The scope of the change including a description of the physical changes (infrastructure/rolling stock) if any.
b) Internal and external parties impacted.
c) Legislative requirements such as environmental, heritage and local government.
d) Business impacts.
e) Budget and resources.
f) Roles and responsibilities.
g) Interfaces.
h) Preliminary Hazard Analysis

Ideally, the change impact assessment should be performed during the development stage of a Change. This should generally be upon the completion of preliminary design and/or finalisation of the scope of the Change.

5.3 Once sufficient information has been gathered for the change impact assessment, the Change Facilitator shall complete a Change Impact Assessment Tool (Part-A). Implementation of the Change shall not commence until the Part-A has been approved.

The Part-A shall be reviewed by the change facilitator’s line manager to ensure completeness and that sufficient information is provided for the impacted parties.

A completed Part-A is intended to give confidence to the impacted parties that the change shall be managed appropriately and in accordance with the principles of this procedure.

5.4 The Change Facilitator shall assess the Change to determine whether the Change is considered to be Minor, Major or Significant as defined in the three categories of change in this document. This will determine the level of documentation required to complete the Management of Change process for the Change:

a) Minor changes are to be controlled according to the principles of this procedure and approved by the line manager of the area implementing the change. A copy of the completed Part-A is to be forwarded to the Accreditation & Network Change Manager of SQE within 5 days of its approval.
b) Major changes are to be controlled according to the principles of this procedure. The final change documentation shall include confirmation that the management of change processes have been appropriately implemented and any other supporting documentation as requested by SQE.
c) Significant changes are to be controlled according to the principles of this procedure and final documentation (e.g., Safety Management System Assessment Template) shall be endorsed by the GM SQE.
Any Significant Change shall be documented using the SMS Assessment Template and include the following minimum details:

a) A full description of the change, including the scope of change
b) Details of the change management process adopted
c) Roles and Responsibilities of all persons involved in the change
d) Change Register, including any details of changes to the MTM SMS.
e) Risk assessments
f) Issues register or other similar document demonstrating how safety issues raised were addressed
g) Documentation on any communications and consultation processes, including any training requirements.
h) Monitoring and review processes.
i) Design review and approval documents.
j) Divisional/departmental change approvals (e.g. Engineering Change Control).
k) Handover and acceptance documents.
l) Information on residual risks.
m) Director of Public Transport approval for rolling stock changes.
n) Bank notifications for rolling stock changes.
o) Approved AVA or notification acknowledgement.

If it is unclear what category the change falls in, the Change Facilitator should consult with the MTM SQE division.

**Major and Significant Changes**

5.5 The Change Facilitator shall forward the Part-A to the impacted parties identified in the Part-A for consultation, and the Accreditation & Network Change Manager for assessment against rail safety accreditation. The Change Facilitator shall revise the Part-A to reflect the feedback received from the impacted parties.

5.6 The SQE Accreditation & Network Change department shall assess the change based on the information contained in the Part-A for rail safety regulatory requirements and shall action these requirements with the assistance of the Change Facilitator.

5.7 Once the impacted parties are satisfied that the Part-A adequately describes the Management of Change process to be followed, the Part-A shall be endorsed by the relevant general managers of those parties.

5.8 The Part-A for major changes shall be endorsed by the general managers of the internal parties impacted by the change and approved by the general manager of the division generating the Part-A. A copy of the approved Part-A is to be forward to the Accreditation & Network Change Manager of SQE.

The Part-A for significant changes shall be approved by the COO, following endorsement by the appropriate general managers. A copy of the approved Part-A is to be forward to the Accreditation & Network Change Manager of SQE.
5.9 Once the Change has been endorsed and approved, implementation of the Change may begin. The change management process should be in accordance with the key principles as described in Section 6 of this document.

**Implementation of the Change**

5.10 The Change Facilitator shall ensure that other divisional/departmental procedures (e.g., Engineering Change procedure) identified as being required in order to implement the Change are undertaken.

5.11 Prior to commissioning of the change the Change Facilitator shall ensure that sufficient documentation recording the management of change process is complete and reviewed/endorsed in accordance with the change category (minor, major or significant) identified in the Part-A associated with the change.

5.12 Once the Change has been implemented the Change shall be reviewed and assessed to determine the Change has been implemented according to the requirements of this document as follows:

a) Minor changes – review requirements determined by the division facilitating the change.

b) Major changes – to be reviewed by the GM of the division facilitating the change.

b) Significant changes – to be reviewed by the SQE Systems Assurance department.

5.13 The SQE Division shall audit compliance with the Management of Change process in accordance with the audit schedule.

6. **Key Principles**

The key principals of an effective change management process are:

6.1 The context of the change is fully identified and described, including the identification of stakeholders and the allocation of roles and responsibilities of persons/parties involved in the change.

6.2 Communication and consultation with both internal and external parties, including rail safety workers and contractors is an important consideration throughout the lifecycle of the Change. Health and safety legislation, particularly the Occupational Health & Safety Act 2004, places clear duties on MTM when proposing changes that may affect the health or safety of employees to consult with employees directly affected by the change. In addition, other parties, including external interfacing parties, who are, or might be affected by the change, should be consulted.

6.3 The Change Facilitator shall coordinate the activities required to implement the change with the various internal impacted parties. This includes ensuring that the
internal impacted parties take the necessary ownership of the change and complete required internal procedures and processes toward implementing the change.

Some examples of this include:

- Arranging for appropriate training of employees.
- Arranging maintenance schedules
- Accepting assets
- Revising local work procedures
- Identifying and managing contractual requirements

6.4 Interface management is an important aspect of the change management process to identify any interfaces and their potential risks to the safety of rail operations. Particular attention should be given to the following two types of interfaces:

a) Interfaces between parties involved in or impacted by the change
b) Interfaces with external parties

6.5 Environmental, heritage and town planning issues are to be considered during the development stage of the change. The change facilitator shall undertake an assessment of any impacts as a result of the change activities, including but not limited to:

a) Environmental
b) Heritage
c) Noise
d) Pollution, waste & contamination
e) Flora & Fauna
f) Hazardous materials (e.g. Asbestos)
g) Erosion
h) Biodiversity
i) Night works
j) Community impacts
k) Town planning/zoning requirements
l) Traffic management

6.6 A Hazard and risk assessment process shall be conducted to identify all credible incidents that could occur resulting from the change, identification of hazards, evaluation of risks and potential controls. The risk assessment should utilise MTM’s approved risk control process and associated risk matrix. However in some cases another process may be applicable. For example where the change is predominantly on another railway joint risk assessment could utilise the other railway’s procedure. The Change Facilitator shall document the reasoning behind using an alternative process.

Legislation requires evidence for the identification of hazards, risk assessment, and for the elimination or reduction of hazards ‘so far as is reasonably practicable’ (SFAIRP). Further, when conducting an assessment, hazards shall be considered cumulatively as well as individually. (Ref: RSA 2006 s50 & 51)
When undertaking risk assessments, the emphasis is usually on what is new or different; including an assessment of the impacts the change will have on current activities, operational interfaces and the SMS. The risk assessment process shall be used to inform the decision making process to ensure the change is managed and implemented safely.

The methodology of risk assessment used shall be appropriate and proportionate to the degree of risk potentially introduced by the change.

The methodology shall also be appropriate for supporting the decision-making process associated with determining the application of control measures for controlling risk associated with the change.

6.7 Determine the extent of change. The various stages and associated activities with the change will determine the level of detail required in the plan.

6.8 It is important to document the steps followed in implementing the Management of Change process. The extent of the documentation maintained will depend on the degree of complexity presented by the change. The activities carried out and the records kept should be sufficient to provide a basis for controlling the risk and evidence that the risk has been controlled. Minor and low-risk changes will carry out only a small number of safety-related activities, and the records required of these will be small. High-risk and complex projects will produce more safety records.


6.10 It will be necessary to conduct a review of the key elements of the SMS to incorporate the necessary amendments, additions and deletions brought about by the change. This review shall be recorded in change documentation.

Key elements of the SMS include the principal risk register, safety interface agreements, emergency management plans, and level 2, 3, or 4 documents as required.

6.11 Monitoring and review arrangements are to be implemented during key stages of the change; including strategies for post implementation evaluation to ensure desired outcomes have been achieved and any lessons are documented.

6.12 Emergency or urgent changes may be required within a short timeframe. MTM SMS procedures and delegations provide for how these changes are to be appropriately managed and controlled.
7. DECISIONS AND CHANGES INVOLVING THE DIRECTOR OF PUBLIC TRANSPORT SAFETY

7.1 Notifications

MTM is obliged to notify the Director of Public Transport Safety in writing of the following decisions or changes within the specified timeframe: (Ref: RSR r46A)

<table>
<thead>
<tr>
<th>Decision or change</th>
<th>When notification is to be given</th>
</tr>
</thead>
<tbody>
<tr>
<td>A decision to design or construct, or to commission the design or construction of, rolling stock or new railway track</td>
<td>As soon as is reasonably practicable after the decision is made but before the event to which the decision relates takes place.</td>
</tr>
<tr>
<td>A decision to introduce a new safe working system rule or procedure relating to the conduct of MTM railway operations.</td>
<td>As soon as is reasonably practicable after the decision is made.</td>
</tr>
<tr>
<td>A decision to introduce into service rolling stock of a type not previously operated, or re-introduce into service rolling stock not currently operated by MTM.</td>
<td>At least 28 days before the date it is intended to bring the change into operation.</td>
</tr>
<tr>
<td>A decision to adopt a new safety standard for the design of rail infrastructure or rolling stock.</td>
<td>At least 28 days before the date it is intended to bring the change into operation.</td>
</tr>
<tr>
<td>A change to a safety critical element of existing rolling stock</td>
<td>At least 28 days before the date it is intended to bring the change into operation.</td>
</tr>
<tr>
<td>A change to one or more of the classes of rail infrastructure used in MTM’s accredited operations.</td>
<td>At least 28 days before the date it is intended to bring the change into operation.</td>
</tr>
<tr>
<td>A change to a safety standard for the design of MTM rail infrastructure or rolling stock.</td>
<td>At least 28 days before the date it is intended to bring the change into operation.</td>
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</table>
### Decision or change

| **Decision or change**                                                                 | **When notification is to be given**                                   |
|========================================================================================|-----------------------------------------------------------------------|
| A change to the frequency or procedures for the inspection or maintenance of MTM railway infrastructure or rolling stock. | At least 28 days before the date it is intended to bring the change into operation. |
| A change to any safe working system rule or procedure relating to the conduct of MTM railway operations. | At least 28 days before the date it is intended to bring the change into operation. |

This advice shall be forwarded to the Director of Transport Safety Victoria at the conclusion of the project/change development stage when formal approval and funding is received for a project to proceed to detailed design for the purposes of construction, or approval is received to effect any other change.

### 7.2 Applications for Variation to Rail Accreditation (AVA)

MTM is required to apply for an AVA if changes are intended to be made to its accredited rail operations that can be reasonably expected to:

a) change the nature, character and scope of accredited rail operations;

b) not to be within the competence and capacity for which MTM is accredited; or change the conditions of MTM's accreditation.

Any change requiring an AVA shall not be implemented until approved by the Director of Transport Safety Victoria.

An AVA shall be made on the approved form. The Director of Transport Safety Victoria requirements for the preparation and submission of a variation application are set out in the Public Transport Safety Victoria Accreditation Guideline, Issued September 2006.

It is the responsibility of the GM SQE for overseeing all changes which affect or have the potential to affect conditions of Rail Accreditation or the organisational risk profile and communicating with the Director of Transport Safety Victoria.

### 8. Records and Document Retention

All files created, stored and retained are to be in accordance with the approved MTM record and document retention procedure.
9. REFERENCES

L0-SQE-MSM-002 Safety Management System Manual
L0-CEO-POL-017 (A) Risk Management Policy
Public Transport Safety Victoria Accreditation Guideline
AS/NZS ISO 31000:2009 Risk Management
AS 4292: 2006 Railway Safety Management
L1-SQE-PRO-002 Risk Management Procedure
L0-CEO-POL-005 (A) Environmental and Sustainability Policy
L1-ASY-PRO-001 Engineering Change Control
F344a Change Impact Assessment Tool – Part A
L4-SQE-FOR-028 Records Retention Requirements
Rail Safety Act 2006 (Victoria)
Rail Safety Regulations 2006 (Victoria)
Occupational Health & Safety Act 2004 (Victoria)
Occupational Health & Safety Regulations 2007 (Victoria)
Transport Act 1983 (Victoria)
10. Management of Change Process Flowchart

1. Change Facilitator
   - Change Identified and described
   - Categorised (minor, major, significant)
   - Information gathered for impact assessment
   - PHA conducted (involving key stakeholders)
   - Part-A generated.

2. Line Management
   - Part-A reviewed by Change Facilitator’s manager

3. Change Facilitator
   - Part-A submitted to impacted parties & Accreditation Network Change Manager

4. Impacted Parties
   - Review Part-A and provide comments/feedback

5. Change Facilitator
   - Change Facilitator updates Part-A to reflect feedback from impacted parties

6. Impacted Parties
   - The GM from each impacted party endorses Part-A

7. GM / COO
   - Approves Part-A (original Part-A returned to Change Facilitator, copy to Accreditation & Network Change Manager)

8. Change Facilitator
   - Proceed with divisional change control procedures (e.g., Engineering Change) and implement change as documented in Part-A

9. Impacted Parties
   - Conduct internal change management as required

10. Change Facilitator
    - Follows MoC requirements for:
        1. Consultation & communication
        2. Defining roles & responsibilities
        3. Training & information
        4. Risk management

11. Change Facilitator
    - Completes MoC documentation based on Change category (minor, major, significant)

CHANGE PROCESS COMPLETE

Change reviewed and assessed (see Section 5.12)

M1 Line Management
- Line Management approves the ‘minor’ Change to proceed

M2 Change Facilitator
- Proceed with divisional change control procedures (e.g., Engineering Change) and implement change as documented in Part-A

M3 Change Facilitator
- Completed Change documentation forwarded to Accreditation & Network Change Manager (within 5 days)
- Change implemented according to MoC principles

M4 Line Management
- Change reviewed and assessed

A1 Accreditation
- Accreditation & Network Change Manager determines Rail Safety Accreditation impact

A2 Accreditation
- Accreditation & Network Change Manager initiates Notification/AVA in consultation with the Change Facilitator

Is the Change Major or Significant?

NO

Yes

92x761 - SQE - PRO
159x761 - 001
246x761 - Version 2
349x761 - Effective from: 14 February 2011

PRINTOUT MAY NOT BE UP-TO-DATE; REFER METRO INTRANET FOR THE LATEST VERSION

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