



M&C-M Guide



GUI-NZ-4.5.1-02

Permit to Work Assessment

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Purpose

This work instruction sets the required criteria for an assessor to conduct desktop and field assessments of a permit to work issuer completing bp permits, certificates, and associated documents and following the permit to work authorisation procedure. The field assessment can also be used when buddy permitters are being trained.

Relevant OMS element(s)

**OMS 4.5 - Control of work; and
OMS 2.2 People and competence**

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1. Scope

The requirement specified in this Guide applies equally to BP employees and Contractors engaged in the ANZ M&C-M businesses. This Guide applies to all assessments required to deem a candidate competent as a permit issuer, for bp New Zealand (Mobility, Customer & Midstream).

1.1. Out of Scope (if necessary)

This Guide does not cover businesses outside of MC&M, e.g. Castrol, Airbp.

2. Methodology

The CoW process is a critical component of workplace safety within bp, ensuring that all high-risk activities are carried out safely and systematically. This permit to work assessment guide outlines the permit to work process for evaluating the effectiveness and compliance of bp buddy permitters under training, as well as existing bp permit issuers.

2.1. Desktop Assessments

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| 1. | Conducting a desk top assessment | <p>A candidate must achieve competency before they can undertake and issue work permits and certificates unsupervised.</p> <p>To conduct a desktop assessment, it is essential to complete the following process:</p> <ul style="list-style-type: none"> • Inform the candidate of the expectation of the desktop assessment and the requirement to submit four completed work permit sets. • Review each of the permit sets including the work permit, certificates and associated documents. <p>For each permit set, document the correct items and areas for improvement.</p> <p>Provide an overall summary of the permit sets with key areas to address.</p> |
| 2. | Assessment verification | The assessor will verify competence in the process and set criteria, by reviewing each of the submitted work permit sets. |
| 3. | Post assessment feedback to the candidate | Where possible candidates will be provided the written feedback for each permit set and the overall summary. The candidates will be given the opportunity to discuss the feedback if they have any questions. |

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| 4. | Managing a not yet satisfactory assessment | <p>The candidate will be given the opportunity to achieve competence via:</p> <p>Demonstrating improvement at their filed assessment; and/or</p> <p>Submitting additional permits after their field assessment.</p> <p>The deficiencies identified must be provided to the candidate and how these can be addressed.</p> |
| 5. | Completion of PTW administration requirements | <p>The assessor is to ensure feedback is provided to bp Control of works specialist-contractor management ian.heath@bp.com for each submitted work permit along with an overall summary of the assessment before an issuing authority (IA) can be issued.</p> |

2.2. Field Assessments

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| 1. | Conducting a field assessment | <p>A candidate must achieve competency before they can undertake, and issue work permits and certificates unsupervised. To conduct a field assessment, it is essential to complete the following process:</p> <p>Suitable areas of the site to conduct the paperwork element has been confirmed.</p> <p>Where required appropriate traffic management will be in place including barriers, spotters including appropriate PPE.</p> <p>Ensure that the candidate has the correct documentation to carry out the assessment. Eg: permit to work, associated certificates, work clearance certificates as required, etc.</p> <p>Assessor is to explain the assessment process to the candidate and the criteria for the PTW assessment. Candidate must sign the acknowledgment of assessment document (Annex A).</p> |
| 2. | Assessment verification | <p>The assessor will verify competence in the process and set criteria, which is set out in Annex B. The assessor will observe the permit issuer performs each task and assess whether compliance has been met for that permit issued.</p> |
| 3. | Post assessment to the permit issuer | <p>The permit issuer will be given the opportunity to comment and discuss their performance prior to receiving feedback from the assessor. On completion of the assessment, the assessor will complete the assessment outcome field and provide their assessment recommendation(s).</p> |

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| | | Based on the results of the assessment, the assessor will deem the permit issuer satisfactory or not yet satisfactory. The permit issuer will be provided with the outcome and appropriate feedback by the assessor. |
| 4. | Managing a not yet satisfactory assessment | <p>The permit issuer will be given the opportunity to re-attempt the assessment that yielded not yet satisfactory. These will be based on the assessment outcome document (Annex C). The assessor must explain to the candidate about the options for further assessments including:</p> <p>Re-doing the relevant sections of the assessment that were deemed not yet satisfactory onsite (time permitted).</p> <p>Submitting additional permits as a permit issuer.</p> <p>Submitting additional buddy permit(s).</p> <p>The assessor will re-assess the permit receiver and once satisfied that the recommendation(s) for improvements have been addressed, the permit issuer will be signed off as satisfactory. When a candidate is not deemed satisfactory, the assessor will be responsible for the final evaluation and outcome. This is to maintain consistency and avoid conflict of interest.</p> |
| 5. | Completion of PTW administration requirements | The assessor is to ensure feedback is provided to bp Control of works specialist-contractor management ian.heath@bp.com for each submitted work permit along with an overall summary of the assessment before an issuing authority (IA) can be issued. |

2.3. Completion of administration requirement

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| 1. | Preparing and issuing a permit to work | The candidate must demonstrate the following steps during the preparation and issuing phases. The assessor must use the assessment verification guide: Annexe B. |
| 2. | Scope of work | <p>The scope of work is the agreed area where the work is to be performed. It sets out the requirement for the work and how it will be achieved within a given time frame. The candidate will be assessed in verifying the contractors safe work method statements (SWMS) / risk assessment, emergency response plans, and task and environmental risks have been correctly identified and have captured the following:</p> <p>Task, site, and process related hazards.</p> <p>SWMS / Risk assessments must be "site and job specific" and include consideration of risk. They should cover site, process, SIMOP's and Environmental hazards, as well as Emergency considerations.</p> <p>High-risk hazards including traffic management. The potential release of a product, and SIMOPS.</p> <p>Identifies areas of the worksite that require gas testing: These would include such areas as pits, drains, sumps, hazardous zones, etc.</p> <p>Candidate must be assessed in their knowledge of the requirements for calibration, bump test, continuous gas testing (where required).</p> <p>Determine permit requirements for work in hazardous zones.</p> <p>Correctly reviews contractor's SWMS / risk assessments isolation plans, traffic management plan, emergency rescue Plans, etc.</p> <p>Plans and verify actions in the event of a site emergency.</p> <p>Reviewing documents and licenses for work activities as applicable to the work procedure and, permit to work requirement.</p> <p>Identify control measures to ensure the works can be undertaken safely including traffic management requirements appropriate for site conditions.</p> |
| 3. | Permit preparation | <p>The preparation phase includes all associated documentation required to issue the permit including:</p> <p>Accurately preparing and completing the work permit for the work activity.</p> <p>Accurately preparing the associated certificate(s) for the work activity.</p> |
| 4. | Permit issue discussion with contractors | The purpose of this discussion is to exchange critical safety information and ensure the permit receiver is engaged and focused on the approved tasks. The assessor must observe the candidate setting the expectations |

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| | | <p>to the permit receiver around the requirements of the work permit.</p> <p>Observation around the following is required:</p> <p>Candidates level of engagement and consultation with the permit receiver.</p> <p>The candidate's knowledge of leading meetings and demonstration of engagement with the permit receiver.</p> <p>The candidate must set the expectations to the permit receiver around the requirements of the work permit. Clarification of the hazards and controls in relation to all potential risks must be assessed.</p> <p>The candidate must demonstrate that they have set the expectations of the permit receiver in controlling the work and advocates the requirement to stop and report unsafe acts.</p> |
| 5. | Monitoring & supervision | <p>Monitoring and supervision of a task are ongoing and should include ensuring the work is being carried out as per the SWMS / risk assessment and work permit. It also needs to identify additional and unidentified hazards. Should the work scope environment or hazards change then the task must be stopped.</p> <p>The assessor must observe and assess the candidate on the following:</p> <p>Candidates set out the criteria and expectation of what is required for monitoring and supervision for the required task.</p> |
| 6. | Daily close out & work permit completion. | <p>Sets out the criteria and expectation of what is required for closing out a work permit at the end of the day or job and signing out of site. The candidate must be assessed in closing out the work permit. The permit receiver can sign off with the permit issuer or site representative. The signed off permit shall go back to the initial permit issuer. It is the permit issuers responsibility to ensure they have received a scanned copy for their records.</p> |
| 7. | Knowledge check. | <p>During or prior to assessment, the candidate must demonstrate knowledge of GUI-NZ-4.5.1-01 issuing authority training work authorisation process. This can be achieved by answering the questions in Appendix 2 section 5.</p> <p>The questions can be direct or asked during the work permit issue process, e.g. Can the permit receiver leave site?</p> <p>Could be asked by the assessor when in the permit receivers' role, e.g. I need to head off site for an hour to get my children, is that OK?</p> <p>When can a permit issuer leave site?</p> |

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| | | There is also space for the assessor to note additional questions asked relevant to demonstrate knowledge of the permit to work authorisation process. |
| 8. | Performance & verification evidence. | <p>The evidence required to demonstrate competence as a permit issuer must satisfy all the requirements of the procedure and performance criteria. To be deemed competent the assessor must assess and be confident that the candidate has demonstrated the ability to:</p> <p>Recognize the types of certificates associated with the hazards associated with the scope of work.</p> <p>Ability to interpret contractors SWMS / risk assessments, isolation plan, traffic management plan (TMP), emergency rescue plan and any other supporting documents for the work activity.</p> <p>Demonstrate conducting a bump test on gas testing equipment and identifying the required gas testing for hazardous environments including where the potential for the following may be present:</p> <p>Atmospheric, including flammable, toxic, and oxygen enriched or reduced environments.</p> <p>Ensure correct controls are in place for identified hazards. These include:</p> <ul style="list-style-type: none"> • Energy isolations (mechanical, electrical, and other energy sources, and process isolations). • De-energizing all sources of energy / pressure. • Purging and ventilation of plant. • Lockout/tag out procedures (LOTO). • Knowledge and compliance of: • Permit to work (PRO-4.5-0001-1-01) • The regulatory framework for high-risk work that has been performed. • How to close out a permit correctly. • Relevant hazardous area maps (service station / depot / commercial facility). • Hazards that may be created by other site activities and nearby work (SIMOPS). • Traffic management hazards. • Workplace hazards. |
| 9. | Manage exemptions. | Less than two work permits for the desktop assessment and meet the field assessment requirements: The permit issuer should complete the |

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| | | <p>field assessment and must submit additional work permits (minimum of two) to the required standard to demonstrate understanding of the work permit process.</p> <p>Less than the minimum two permits for the desktop assessment before they expire (plus the grace period of two months): the permit issuer can complete the field assessment, then continue issuing work permits for the desktop assessment before they expire.</p> <p>Less than the minimum two permits for the desktop & field assessments after they expire (plus the grace period of two months): the remainder of the work permits must be buddy work permits and they would be returned to probationary / buddy status. The field assessment can be completed before or after completing the minimum two work permits for the desktop assessment.</p> <p>None of the above: the permit issuer loses their accreditation and start all over again.</p> <p>If the permit issuer wants to extend their expiry date: they need to be able to demonstrate they meet the requirements including the gap training refresher before their accreditation expires, their accreditation will be suspended until they can complete the field assessment.</p> |
| 10. | Appeals | Where the candidates disagree with the assessment outcome, they have the options to request a review of the evidence and request a re-assessment if required. |

3. Roles and Responsibilities

The roles and responsibilities associated with this guide are listed in the following table.

Table 1: Roles and Responsibilities

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|--|--|
| Construction Lead-New Zealand | <ul style="list-style-type: none"> • Authorise the issue of this guide • Authorise deviations to this guide |
| New Zealand Control of Works-Contractor Management | <ul style="list-style-type: none"> • Content owner of this guide • Ensure the contents of this guide are current • Communicate any changes or additions to this guide |

4. Terms, Definitions and Abbreviations

Table 2: Terms, Definitions and Abbreviations

| | |
|---|--|
| NZ MC&M | New Zealand (ANZ) Mobility & Convenience, and Midstream |
| Assessor | A person who is knowledgeable in the GUI-NZ-4.5.1-01 issuing authority training – PTW guide. This is an approved trained assessor authorised by bp. |
| Competent person | An individual in a permit issuing role who can demonstrate that they have professional or technical training, knowledge, actual experience, qualifications, and ability to enable them to: Perform duties at the level of responsibility allocated to them. Understand any potential hazards related to work (or equipment) under consideration. Recognise any technical defects or omissions in a task (or equipment) and the adverse implications for health and safety caused by the hazard(s) and / or omission(s); and Be able to specify corrective action(s) to mitigate the hazards. |
| Monitoring | The routine function of regular inspection that is performed by a responsible and competent person. |
| Permit to Work (PTW) | Comprises, the work permit & certificates (signed and closed out), plus any risk assessments, SWMS marked up or clear to be task specific, isolation records, traffic management plans, entry logs, service location reports and all other associated and referenced documents as required. |
| Permit issuer | The person responsible for issuing the work permit to the permit receiver. |
| Simultaneous operations (SIMOPS) | Separate tasks or works that take place at the same time with the potential to impact each other. |

5. Verification Processes associated with this Guide

The key steps outlined in this guide are included in a verification and monitoring program and are part of New Zealand bp's Control of Work (CoW) system. The permit to work assessment guide is utilized in the field to assess buddy permitters during training. It is also used to verify and monitor existing bp permit issuers, both in the field and from a desktop assessment perspective.

6. Associated Documents

Table 1: Required References

| Document Name | Document No | Document Location |
|----------------------------------|--------------------------|---|
| Control of work | <u>PRO-4.5-0001-0-01</u> | Controlled Document Register |
| Permit to work | <u>PRO-4.5-0001-1-01</u> | Controlled Document Register |
| Issuing authority training guide | GUI-NZ-4.5.1-01 | <u>Project admin/Standard forms/Policy & Procedures</u> |

7. External References

This guide was prepared with reference to relevant legislation/regulations including but not limited to, relevant Acts, Regulations, Australian/New Zealand Standards and industry codes and best practices.

8. Version Summary

Table 2: Document Version Summary

| Version | Prepared by | Description of Change | Date | MoC |
|---------|-------------|---|------------|-----|
| 1 | Ian Heath | New permit to work assessment document | 16.06.2021 | |
| 2 | Ian Heath | New M&C-M template used and addition for reference of monitoring template required in element 5.5 | 01/06/2024 | 20 |
| 3 | Ian Heath | Change of document from a work instruction to a guide | 01/04/2025 | |

9. Disclaimer

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End of Document

Annex A - Electronic Form

Acknowledgement of assessment _____

| | | |
|---|-----|----|
| I the candidate understand the assessment process | Yes | No |
|---|-----|----|

| | | |
|--|-----|----|
| I the candidate understand the appeal/review process | Yes | No |
|--|-----|----|

Declaration from candidate:

I declare that; The work submitted is my own work and has not been copied from another person's.

Permit issuers signature.....

Annex B - Field Assessment Verification Guide

| 1. Preparation of Work Permit | | | | |
|-------------------------------|---|---|-----|------------------|
| Elements | Expectation Performance Criteria | S | NYS | Comments/Actions |
| 1.1 | Initial discussion has identified the correct scope of work. | | | |
| 1.2 | Appropriate validity period for the work permit identified. | | | |
| 1.3 | Description of work clearly identified. | | | |
| 1.4 | Tools and equipment permitted for use clear. | | | |
| 1.5 | Hazards identified. | | | |
| 1.6 | Nearby work considered (SIMOPS). | | | |
| 1.7 | Documentation controls identified. | | | |
| 1.8 | Physical controls identified. | | | |
| 1.9 | Work permit and associated certificates correctly completed. | | | |
| 1.10 | SWMS / risk assessment reviewed, and areas for improvement identified and discussed with permit receiver. | | | |
| 1.11 | Isolation plan completed. | | | |
| 1.12 | Emergency planning suitable for task and location | | | |
| 1.13 | Recommissioning/return to service considerations identified. | | | |
| 1.14 | Traffic Management plan completed. | | | |

| 2. Atmospheric Monitoring | | | | |
|---------------------------|---|---|-----|------------------|
| Elements | Expectation Performance Criteria | S | NYS | Comments/Actions |
| 2.1 | Demonstrated bump testing equipment is on site, compliant, has been completed & recorded. | | | |
| 2.2 | Description/ hazard area(s) to be gas tested identified. | | | |
| 2.3 | Atmospheric testing/monitoring requirements suitable for the task. | | | |
| 2.4 | Atmospheric monitoring records completed. | | | |

| 3. Issuing Work Permit | | | | |
|------------------------|--|---|-----|------------------|
| Elements | Expectation Performance Criteria | S | NYS | Comments/Actions |
| 3.1 | Work permit, certificates and other relevant documentation discussed with the permit receiver. | | | |
| 3.2 | Specific hazards (not just sources of energy) and associated control discussed with the permit receiver. | | | |

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| 3.3 | Clear opportunity provided for the permit receiver to challenge and/or contribute to the hazards & controls discussion in relation to all potential risk, i.e. it's not a one-way lecture from the assessor. | | | |
| 3.4 | Required permit issuer, permit receiver & site representative signatures identified and inserted. | | | |
| 3.5 | Daily close out /sign off expectations discussed with permit receiver. | | | |
| 3.6 | Actions required if conditions change discussed. | | | |

4. Closing out Work Permit

| Elements | Expectation Performance Criteria | S | NYS | Comments/Actions |
|----------|--|---|-----|------------------|
| 4.1 | Permit completion and close out requirements discussed & understood. | | | |
| 4.2 | Required signatures for closeout discussed. | | | |
| 4.3 | Permit issuer understands closed out permits to be kept for 3 years. | | | |

5. Knowledge Check Questions

| Elements | Question | S | NYS | Comments/Actions |
|----------|--|---|-----|------------------|
| 5.1 | Can you as the permit receiver leave site while work is occurring? Explain requirements. | | | |
| 5.2 | How long can the work permit be valid for? Explain requirements. | | | |
| 5.3 | If the work permit is valid for more than 1 day and you are not on site what is the process before, during and at the end of each workday? | | | |
| 5.4 | Can the permit issuer leave site? | | | |
| 5.5 | How is the permit monitored by the permit issuer and how is the monitoring template applied? | | | |
| 5.6 | Who can perform the gas testing? | | | |
| 5.7 | Assessor free question. | | | |

Assessment Details

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|---|--|--------------------|--|
| Person assessing full name | | Signature | |
| Permit / buddy permit issuers full name | | Signature | |
| Site address | | Date of assessment | |

Annex C - Assessment Outcome

| Assessment Outcome | | | |
|--|----------------------|--|--|
| Person assessing, full name | | | Signature |
| Permit / buddy permit issuers full name | | | Signature if completing field assessment |
| Field / desktop assessment | Field assessment | | Desktop assessment |
| Site address | | | Date of assessment |
| Overall result | Satisfactory | | Not yet satisfactory (NYS) |
| Recommendation: Permit issuer status after assessment | Permit issuer | | Permit issuer |
| Assessors signature | | | |
| Assessors comments | | | |
| | | | |