COMPETENT AUTHORITY PORTAL (‘CAP’)

INDUSTRY USER GUIDANCE FOR SAFETY CASES

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Glossary
1 INTRODUCTION

Energy Portal

The UK Energy Portal is a secure e-commerce system that will allow Duty Holders to make relevant submissions and notifications online in order to obtain the necessary regulatory authorisations to operate on the UKCS.

Competent Authority (CA) Portal

EU Directive (2013/30/EU) on the safety of offshore oil and gas operations requires Member States to set up a Competent Authority (‘CA’) to oversee Industry compliance with the Directive and to undertake certain related functions such as accepting and/or assessing relevant submissions and inspecting relevant notifications. The CA functions are delivered by the Department for Business, Energy and Industrial Strategy (‘BEIS’) and the Health and Safety Executive (‘HSE’) working in partnership. The partnership formed for this purpose by BEIS and HSE is formally known as the Offshore Safety Directive Regulator (‘OSDR’). OSDR agreed to develop an online portal, similar in nature to existing environmental Portal systems, for the submission of documents by the Industry and for the CA to carry out its functions as required under the Directive.

The guidance will provide information on the basic functions for Industry users in relation to Safety Case and any associated submissions.

Basic Portal Controls

Once logged in to the CA Portal it is important that when navigating through the system, the user should use the links and tabs provided in the screen. Please do NOT use the browser ‘Back’ & ‘Forward’ buttons as this may result in the user losing the Portal session.

Access to the CA Portal is available through the following link:

https://itportal.beis.gov.uk/eng/fox/cap/CAP_LOGIN/login

When logging into the CA Portal the user will be automatically directed to the Workbasket screen (Figure 1.2). This screen displays all outstanding actions that are relevant to the user and that may require action.
Access to available Portal applications are displayed in the left-hand side menu of the Workbasket screen (Figure 1.3).
2 REGISTRATION

New Duty Holders (Operators or Owners)

If a Company (Duty Holder) does not have a CA Portal account, an authorised Company representative will need to e-mail details of the Duty Holder (Operator or Owner) to the Energy Portal Service Desk mailbox ukop@ogauthority.co.uk who will then arrange for the Duty Holder company group to be added to the CA Portal. As many Duty Holders using the CA Portal are currently active in the UKCS it is unlikely that a new company account will be necessary.

If a new company account is required then the company details as registered at Companies House will need to be supplied to UKOP. For companies that are registered overseas, the company number and name of the Parent Registry will need to be supplied.

Managing Team & User Access

For each Duty Holder holding a CA Portal account there are distinct access privileges which can be allocated to individual users. These can be summarised as follows:

<table>
<thead>
<tr>
<th>Role</th>
<th>Privilege Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Team Co-ordinator</td>
<td>Users with this privilege administer access to this team and can add/remove users as required. The Team Co-ordinator can also allocate access rights to specific users using the tick boxes provided. This role should be restricted to users directly employed by the Duty Holder and should not be granted to users working for contractors on behalf of the Duty Holder.</td>
</tr>
<tr>
<td>OPEP Applicant</td>
<td>Users in this role can create and edit Oil Pollution Emergency Plan (OPEP) applications for any installation/field owned by the Responsible Person.</td>
</tr>
<tr>
<td>OPEP Viewer</td>
<td>Users with this role have view access only to OPEP applications for any installation/field owned by the Responsible Person.</td>
</tr>
<tr>
<td>OPEP Notification Recipient</td>
<td>Users in this role receive notifications on the outcome of all OPEP submissions for installations/fields owned by the Responsible Person.</td>
</tr>
<tr>
<td>Safety Case Submitter</td>
<td>Users in this role can create and edit Safety Case submissions for any installation/field owned by the Duty Holder.</td>
</tr>
<tr>
<td>Safety Case Viewer</td>
<td>Users in this role can view Safety Case submissions for any installation/field owned by the Duty Holder.</td>
</tr>
<tr>
<td>Existing Safety Case Submitter</td>
<td>Users in this role can upload existing Safety Cases for any installation/field owned by the Duty Holder.</td>
</tr>
<tr>
<td>Safety Case Asset Transferrer</td>
<td>Users in this role can start and reply to asset transfers where the existing Safety Case will be transferred to/from the Duty Holder.</td>
</tr>
<tr>
<td>Safety Case Notification Recipient</td>
<td>Users in this role receive notifications on the outcome of all Safety Case submissions for installations/fields owned by the Duty Holder.</td>
</tr>
</tbody>
</table>

Role of the Team Co-ordinator

The designated Team Co-ordinator(s) within each Organisation can add new users to the CA Portal Team or remove users as and when required. To add new users the Team Co-ordinator should select ‘CAP Dashboard’ from the left-hand side menu of the Workbasket screen (Figure 2.1)
The user will then be directed to the CAP Dashboard and should then select ‘Manage CAP Teams’ (Figure 2.2)

Search OPEPs
Select this option if you need to:
- Search for and view an OPEP
- Export OPEP Data
- Withdraw an OPEP
- Amend an existing OPEP
- Create a Communications and Interface Plan against an existing OPEP
- Amend an existing Communications and Interface Plan
- Start a 5 year review
- Start a Minor Change

Search Safety Cases
Select this option if you need to:
- Search for and view a Safety Case
- Work on an existing Safety Case
- Export Safety Case Data
- Withdraw a Safety Case
- Make a material change to an accepted Safety Case
- Submit a 5 year thorough review summary report

Manage CAP Teams
Select this option if you need to:
- Allow an organisation to use CAP
- Modify an Organisation’s Team

Once selected the Team Co-ordinator will be directed to the ‘CAP Teams’ screen. To access the team management screen the user should begin to type the name of the Organisation that requires updating and select from the options displayed. Once the Organisation Group has been identified the user should select ‘Manage Team’ (Figure 2.3)
**CAP Teams**

**Manage an organisation’s team**

Here you can create a new team for an organisation, or modify an existing organisations team for their access to CAP.

Simply choose the organisation group you wish to administer and click "Manage Team"

Only the organisations that you have permission to administer will be available.

Once selected the Team Co-ordinator will be directed to the team management screen and will see a list of users and allocated privileges. In the screenshot below the Team Co-ordinator is currently the sole member of the CAP Team. (Figure 2.4)

To add new users to the CAP Team select ‘Add someone to this team’

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Once the above details have been added the Team Co-ordinator should select ‘Add Person’ (Figure 2.5).

![Select Person](image)

**Figure 2.5**

If the user selected does not have a Portal account a yellow ‘warning triangle’ will be displayed. Hovering over this icon will display the warning message ‘Contact does not yet have a login account’. (Figure 2.6)

If the warning triangle is displayed the Team Co-ordinator should e-mail ukop@ogauthority.co.uk and request that an account offer be sent out to the user. The Team Co-ordinator will be able to allocate permissions and save the changes with the warning triangle displayed.

The individual roles are described more fully in the table above and hovering over the ⚠ icon.

![Editing CAP Organisation Team](image)

**Figure 2.6**
To remove a User from the CAP Team the Co-ordinator can simply uncheck all of the allocated roles and select ‘Save Team’.
3. CREATING A NEW SAFETY CASE

It should be noted that the ‘new’ Safety Case function should only be selected for an installation that does not have an accepted operational safety case.

Preparing a New Safety Case Submission

To start a new Safety Case submission the user should select ‘CAP Dashboard’ from the left-hand side menu of the Workbasket screen. (Figure 3.1)

Figure 3.1

The user will then be directed to the CAP Dashboard (Figure 3.2). From here the user will be able to select ‘Start a new Safety Case’ to create the new submission.

Figure 3.2

Selecting ‘Start a new Safety Case’ will direct the user to a new page to ‘Create a new Safety Case’ where the user will be able to select the required Safety Case type (Figure 3.3).
The same page ('Create a new Safety Case' page) will allow the user to select the Duty Holder (appointed Installation Operator of a Production Installation as per Regulation 5 or 6 of the Offshore Petroleum Licensing (Offshore Safety Directive) Regulations 2015 or the Owner of a Non-Production Installation) (Figure 3.4).

The responsibility rests with the user to ensure that the correct legal entity is selected. Selecting an incorrect legal entity will invalidate the Safety Case.

On selecting the Duty Holder the user will be able to prepare the Safety Case by selecting the ‘Prepare Safety Case’ tab (Figure 3.5)
On selecting ‘Prepare Safety Case’ the user will be taken to a new page to select the regulations under which the safety case is being made (Figure 3.6)

- The Offshore Installations (Safety Case) regulations 2005
- The Offshore Installations (Offshore Safety Directive) (Safety Case etc.) Regulations 2015

Figure 3.6

On selecting the specific regulation under which the safety case is made the user will be able to progress to the next screen to upload the safety case by selecting the ‘Submission Form’ (Figure 3.7)

Figure 3.7

Selecting the ‘Submission Form’ will take the user to the ‘Safety Case Submission’ page where the user will be able to input mandatory contact details for the safety case. It should be noted that the system automatically populates the company registration number and the company house registration address (Figure 3.8)
On completion of the ‘Contact Details’ the user will be able to input the ‘COIN Reference’ number if known (Figure 3.9). Please note that this is not a mandatory field.

On completion of the ‘Contact Details’ and the optional ‘COIN Reference’ number, the user will be able to select the installation(s) covered by the safety case.

It should be noted that the system allows a global search using ‘Installation Search’ function, and it is the responsibility of the user to ensure the correct installation covered by the safety case is selected (e.g. Figure 3.10). The system allows the user to select additional or multiple installations covered by the same safety case by using the ‘Installation Search’ function. **It should also be noted that once an installation is selected for a safety case, it will not be available to select again.**
The user will be required to enter the ‘Number of beds’ figure (Figure 3.11).

On completing the contact details, installation details, number of beds information the user will be able to progress to next page to upload the safety case by selecting the ‘Documents’ tab (Figure 3.12).

Selecting the ‘Documents’ tab will take the user to the ‘Safety Case Submission Form’ page where the user will be able to upload the safety case (Figure 3.13).
The upload functionality will allow the user to upload one document or multiple documents (Figure 3.14).

It is important that the user define / title the document(s) (Figure 3.15 and 3.16) in line with OSDR common document identifier example given below:

Single document:
- Installation Name – Safety Case

Multiple documents:
- Installation Name – Safety Case – Covering letter
- Installation Name – Safety Case – Part 1 – Introduction
- Installation Name – Safety Case – Part 2 – XXXX XXXXX
- Installation Name – Safety Case – Part 3 – XXXX XXXXX and so on…. 
On uploading the Safety Case the user will be able to submit the safety case to OSDR using the ‘Submit’ tab (Figure 3.17).
Selecting submit safety case tab will take the user to new page submit the safety case (Figure 3.18).

![Figure 3.18](image1.jpg)

The user will be required to agree to the declaration before being able to submit the safety case (Figure 3.19).

![Figure 3.19](image2.jpg)

On agreeing to the declaration, the user will be able to submit the Safety Case (Figure 3.20).

![Figure 3.20](image3.jpg)
On submitting the safety case, the user should receive an acknowledgement confirming that the safety case has been submitted to OSDR with the relevant reference number (Figure 3.21).

Following submission of the safety case, the user will be able to access the submission in ‘read only’ format from their workbasket (Figure 3.22).

3.1 Withdrawing a Safety Case Submission

There is functionality for the user to withdraw a Safety Case submission by using the ‘Withdraw Submission’ tab in the Workbasket screen (Figure 3.23). It is not advisable to trigger this action unless the Duty Holder is absolutely sure that the safety case needs to be withdrawn. This action would normally be initiated following discussion with IMT focal point.

Triggering the ‘Withdraw Submission’ would take the user to a new page where the user would need to give a reason for withdrawal (Figure 3.24).
The user would need to confirm they definitely wish to withdraw the submission (Figure 3.25). Selecting the ‘OK’ tab will remove the safety case from the workbasket and will no longer be processed. The user has the option to cancel the action if they wish to retain the submission.

3.2 Safety Case Returned to Duty Holder by OSDR

OSDR may following receipt of the safety case and an initial review decide to return the safety case to the Duty Holder to address short comings before the safety case can be accepted for processing. If OSDR return the safety case to the Duty Holder, the user should receive a system generated e-mail indicating there is an action outstanding and they should log-in to the CA Portal to address the action. The safety case returned by OSDR will be in the users’ workbasket indicating that the safety case submission has been returned (Figure 3.26).
By selecting 'Continue preparing submission', the user will be taken to the original safety case that has been returned by OSDR. The user will be able to check why the safety case has been returned by selecting the 'Submission Form' from the menu on the left hand side (Figure 3.27).

The user will be able to make relevant amendments as necessary and submit the safety case again (Figures 3.28, 3.29 and 3.30) following through the steps described above in Section 3 (Creating a New Safety Case).
3.3 Managing Non-Acceptance Issues (NAI)

Where NAI’s are raised by OSDR, the user should receive a system generated e-mail indicating there is an action outstanding and they should log-in to the CA Portal to address the action. The NAI’s raised by OSDR will be in the users Workbasket indicating that the NAI’s need to be responded to (Figure 3.31).

It should be noted that each NAI will have its own reference number and will be managed independently by the OSDR (Figure 3.32).
By selecting ‘Respond to NAI’, the user will be able to check the nature of the NAI from the NAI summary and download any NAI documentation issued by OSDR (Figure 3.33).

The user will be able to respond to the NAI following considering the nature of the issue raised by OSDR by selecting the ‘Respond’ tab (Figure 3.34).

Depending on the nature of the NAI the user will be able to either respond using the free text box ‘Comment Text’ or by uploading a response document to the NAI (Figure 3.35). Please note the NAIIs are independently managed and the response should be in relation the NAI (and should not be a document that has a response to all other NAIIs).
Once the user responds to the NAI, their workbasket will be refreshed and the NAIs will no longer display the NAI (Figure 3.36).

Should OSDR determine that the response to the NAI is not satisfactory, OSDR may re-issue the NAI by raising an unsatisfactory response letter. The workflow process for this will mirror the initial NAI.

Note: Should OSDR determine that an NAI initiated does not need to be issued (e.g. the issue has already been raised by another team) the NAI will be rejected internally and the user will not see any trail of the OSDR rejected NAI. The system generates individual NAI reference numbers and it is therefore likely the user will note that the NAI reference numbers will jump out of sequence.

3.4 Acknowledging OSDR Decision

OSDR's decision on the Safety Case will be available in the user’s Workbasket. The user should receive a system generated e-mail indicating there is an action outstanding and they should log-in to the CA Portal to address the action (Figure 3.37).
By selecting ‘Acknowledge Notification’, the user will be able to view the safety case decision letter from OSDR (Figure 3.38).

The user will then be required to acknowledge receipt of the decision letter (Figure 3.39).

On selecting ‘Acknowledge Receipt’ tab, the user will be required to confirm that they read and understood the contents of the decision letter and is authorised to act upon it as necessary (Figure 3.40 and 3.41).
On acknowledging receipt of the decision, the user will then be able to clear the notification by selecting 'Clear' tab in their workbasket (Figure 3.42).
Following acknowledgement of a decision, the user will be able to access the decision on a particular submission using the ‘Search Notifications’ tab available in the Workbasket (Figure 3.43).

![Figure 3.43]

The user will be able to search for a particular decision using the full reference number and ‘view’ the decision (Figure 3.44).

![Figure 3.44]

### 3.5 Controlled Copy of Safety Case

On receipt of a Safety Case acceptance decision, the Duty Holder will be required to upload a controlled copy of the accepted Safety Case incorporating the committed amendments to the Safety Case in response to any NAI’s. The controlled copy can be uploaded by using the ‘Upload Controlled Copy’ tab in the users Workbasket (Figure 3.45).

![Figure 3.45]

Selecting ‘Upload Controlled Copy’ will take the user to a new page where the user will be able to upload copy of the accepted safety case (Figure 3.46).
Once the controlled copy of the safety case has been uploaded, the user will be able to appropriately name the file and complete the upload by selecting ‘Finish Uploading Controlled Copy’ tab (Figure 3.47 and 3.48).

Once a controlled copy of the safety case has been uploaded, the safety case will no longer be visible in the workbasket. The user will be able to view the safety case by using the ‘Search’ function from the CAP Dashboard (Figure 3.49).
Figure 3.49
4 UPLOADING AN EXISTING SAFETY CASE

In order to create a safety case file in the CA Portal for existing installations that have an accepted safety case, the Duty Holder will be required to upload a copy of the last accepted safety case and the decision letter from the Regulator. **This will be a mandatory requirement before the Duty Holder could make any Material Change or Thorough Review submission to the existing safety case.**

‘Upload an existing safety case’ tab can be accessed from CAP Dashboard (Figure 4.1).

Selecting the ‘Upload an existing Safety Case’ tab will take the user to the page where the user will be required to complete the relevant sections (Figure 4.2 and Figure 4.3) as detailed in Chapter 3.
On completing the initial sections, the user will be taken to a new page to complete the safety case ‘Submission Form’. The steps the users need to go through are the same as in Chapter 3 with the exception of the requirement to input the date of the last Thorough Review (Figure 4.4).

![Figure 4.4]

The user will then be able to upload copy of the last accepted safety case and the decision letter from the Regulator (Figure 4.5 and 4.6).

![Figure 4.5]

![Figure 4.6]

The multiple file upload function will allow the user to upload copy of the decision letter from the Regulator.
The user will then be required to go through the declaration page and following submission of the existing safety case, the user should receive an acknowledgement confirming that the safety case has been submitted to OSDR with the relevant reference number (Figure 4.7, 4.8 and 4.9).
5 MAKING A MATERIAL CHANGE TO A SAFETY CASE

In order to make a material change to a safety case, the Duty Holder will be required to create a safety case file in the CA Portal for the installations the safety case covers and follow the steps as described in Chapter 4. This process applies to the SCR2015 transition safety cases as well.

Material change can be initiated by using the CAP Dashboard tab in the workbasket. The user will be required to use the search function using ‘Search Safety Cases’ tab (Figure 5.1).

![Figure 5.1](image)

The user will be able to search for safety cases held by the organisation. The safety cases can be either be searched by using the CA Portal safety file reference number (e.g. PRD/119) or open search for safety cases held by the organisation (Figure 5.2).

![Figure 5.2](image)

The search results will be displayed in the search page (Figure 5.3).
The user will be able to view the existing safety case by using the ‘View Submission’ tab and the user will be able to initiate a material change using the ‘Work on the Safety Case’ tab (Figure 5.4).

Selecting ‘Work on the Safety Case’ tab takes the user to a new page which will give the user the options to work on the safety case. In order to initiate a material change the user will be required to select the ‘Material Change Submission’ tab (Figure 5.5).
On selecting the ‘Material Change Submission’ tab, the user will be taken to a new page to select the regulations under which the material change is being made (Figure 5.6).

The user will be taken to the next page, the ‘Submission Form’. Information in the submission form will be automatically captured from the information provided previously when the new safety case was created or when a safety case file was created by uploading an existing accepted safety case (Figure 5.7).
The user will be able to upload the material change by selecting the ‘Documents’ tab (Figure 5.8 and 5.9).

Selecting ‘Submit Submission’ tab will take the user to new page submit the material change. The user will be required to agree to the declaration before being able to submit the material change (Figure 5.10).
On agreeing to the declaration, the user will be able to submit the safety case (Figure 5.11).

On submitting the material change, the user should receive an acknowledgement confirming that the material change has been submitted to OSDR with the relevant reference number (Figure 5.12)

The steps following the submission of the material change are the same as outlined in Chapter 3.
6 SUBMITTING A THOROUGH REVIEW

Thorough review can be initiated by using the CAP Dashboard tab in the workbasket. The Duty Holder will be required to use the search function using ‘Search Safety Cases’ tab (Figure 6.1).

![CAP Dashboard](image)

**Figure 6.1**

The user will be able to search for safety cases held by its organisation. The safety cases can be either be searched by using the CA Portal safety file reference number (e.g. PRD/119) or open search for safety cases held by the organisation (Figure 6.2).

![Search for a Safety Case](image)

**Figure 6.2**

The search results will be displayed in the search page (Figure 6.3).

![Search Results](image)

**Figure 6.3**
The user will be able to view the installation safety case history by using the ‘View Submission’ tab and the user will be able to prepare the thorough review using the ‘Work on the Safety Case’ tab (Figure 6.4).

Selecting ‘Work on the Safety Case’ tab takes the user to a new page which will give the user the options to work on the safety case. In order to prepare the thorough review the user will be required to select the ‘Thorough Review of Safety Case’ tab (Figure 6.5).
On selecting the ‘Thorough Review of Safety Case’ tab, the user will be taken to a new page to select the regulations under which the thorough review is being prepared (Figure 6.6)

The user will be taken to the next page, the ‘Submission Form’. Information in the submission form will be automatically captured from the information provided previously when the safety case was created or when a safety case file was created by uploading an existing accepted safety case with the exception of the requirement to input the date when the thorough review was completed (Figure 6.7).
The user will be able to upload the thorough review by selecting the ‘Documents’ tab (Figure 6.8 and 6.9)

Selecting ‘Submit Submission’ tab will take the user to new page submit the thorough review. The user will be required to agree to the declaration before being able to submit the thorough review (Figure 6.10).
On agreeing to the declaration, the user will be able to submit the thorough review (Figure 6.11).

On submitting the thorough review, the user should receive an acknowledgement confirming that the thorough review has been submitted to OSDR with the relevant reference number (Figure 6.12).
7 SEARCH FUNCTION

The user will be able to use the search function ‘Search Safety Cases’ tab in the CAP Dashboard to search for safety cases (Figure 7.1).

![CAP Dashboard](image)

**Figure 7.1**

The user will be able to search for safety cases held by the organisation. The safety case can either be searched by using the CA Portal safety file reference number (e.g. PRD/111) or open search for safety cases held by the organisation (Figure 7.2).

![Search for a Safety Case](image)

**Figure 7.2**

The search results will be displayed in the search page (Figure 7.3).

![Search Results](image)

**Figure 7.3**
The user will be able to view the existing safety case by using the 'View Submission' tab and the user will be able to work on the safety case using the 'Work on the Safety Case' tab (Figure 7.4).

Selecting 'Work on the Safety Case' tab takes the user to a new page which will give the user the options to work on the safety case. The user will be able to initiate and submit material change, thorough review, revision or dismantlement safety case (Figure 7.5) and follow through steps identified in Chapters 3, 5 and 6.
Figure 7.5

Selecting ‘View Submission’ tab result in a pop-up window listing the history of the safety case in the CA Portal and access to regulatory submissions (‘View Submissions’) made through the CA Portal (Figure 7.6).

Figure 7.6
SAFETY CASE FILE REFERENCING

Safety Case for Production Installation

- New Safety Case: SC/PRD/XXX/PRD/x
- Existing Operational Safety Case: SC/PRD/XXX/OP/x
- Material Change: SC/PRD/XXX/MCS/x
- Thorough Review: SC/PRD/XXX/THR/x
- Dismantlement Safety Case: SC/PRD/XXX/DIS/x
- Revision of Safety Case: SC/PRD/XXX/REV/x

SC/PRD/001 – signifies the unique CA Portal reference number for the production installation safety case. This unique reference number will be the same for the life of the safety case.

SC/PRD/001/MCS/1 – the later ‘MCS/1’ identifies the nature of the submission related to SC/PRD/001 (in this case a material change to SC/PRD/001). Any subsequent material change will be sequentially referenced e.g. SC/PRD/001/MCS/2.

Safety Case for Non-Production Installation

- New Safety Case: SC/NPI/XXX/NPI/x
- Existing Operational Safety Case: SC/NPI/XXX/OP/x
- Material Change: SC/NPI/XXX/MCS/x
- Thorough Review: SC/NPI/XXX/THR/x
- Revision of Safety Case: SC/NPI/XXX/REV/x

SC/NPI/001 – signifies the unique CA Portal reference number for the non-production installation safety case. This unique reference number will be the same for the life of the safety case.

SC/NPI/001/MCS/1 – the later ‘MCS/1’ identifies the nature of the submission related to SC/NPI/001 (in this case a material change to SC/NPI/001). Any subsequent material change will be sequentially referenced e.g. SC/NPI/001/MCS/2.