

1. SCOPE

This procedure details the controls to be adopted for **Safety Documents, Keys** and associated items where the ScottishPower Safety Rules (Electrical and Mechanical) 4th Edition cannot be applied because one or more of the requirements of clearance or cancellation cannot be met.

The procedures are only to be used when authorised by the responsible persons noted in Appendix 2 and after all reasonably practicable steps have been taken to contact the holder of the **Safety Document** and/or retrieve lost **Safety Documents, Keys** and any other items issued to the recipient of the **Safety Document**. This procedure also covers the requirement to defeat interlocking arrangements on **Plant** or **Apparatus**, and it deals with other exceptional items relating to **Safety from the System**.

2. ISSUE RECORD

This is a [Reference](#) document. The current version is held on the EN Document Library.

It is your responsibility to ensure you work to the current version.

Issue Date	Issue No	Author	Amendment Details
Dec 2010	3	Phil Currie	Cosmetic Update
May 2021	4	Paul Williams	Reviewed and updated. Reduced some requirements for additional Senior Authorised Person involved to be S-1 authorised. Expanded guidance for removal of Safety Lock with no record of application.

3. ISSUE AUTHORITY

Author	Owner	Issue Authority
Paul Williams Operational Safety Engineer	Dave Naylor Operational Assurance Manager	Frank Monaghan EN Health and Safety Director

4. REVIEW

This is a Reference document which has a 5 year retention period after which a reminder will be issued to review and extend retention or archive.

5. DISTRIBUTION

This document is part of the Management Safety Procedures maintained by Document Control but does not have a maintained distribution list.

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7. DEFINITIONS

Terms printed in bold type are as defined in the ScottishPower Safety Rules (Electrical and Mechanical) 4th Edition.

Terms printed in italics are as defined in the Definitions document (OPSAF-11-002) of the Management Safety Procedures.

8. PROCEDURES

The Declaration Form (Appendix 1) shall be completed whenever one of these procedures is implemented.

The completed Declaration Form and all associated documents shall be retained along with other **Safety Documents** and for the same retention period. In the event that a lost **Safety Document** is later found, it shall be marked cancelled and retained with the Declaration Form and the appropriate **Control Person** notified.

9. LOST SAFETY DOCUMENT

In the event of a **Safety Document** being lost and all reasonable attempts by the recipient to find it have failed, the matter shall be reported to a **Senior Authorised Person**. The **Senior Authorised Person** after agreement with an additional (S-1) **Senior Authorised Person**, shall attach a Declaration Form to the flimsy copy of the **Safety Document** and the recipient shall clear the **Safety Document** by signing the appropriate section of the Declaration Form and the recipient shall be deemed to have cleared the **Safety Document**.

The **Senior Authorised Person** shall cancel the **Safety Document** by signing the appropriate section of the Declaration Form and shall notify the **Control Person** of his actions including the fact that the original **Safety Document** is missing. The **Control Person** shall record these details in the appropriate log.

If further work is to be carried out a **Senior Authorised Person** shall issue a new **Safety Document**.

10. RECIPIENT OF SAFETY DOCUMENT MISSING

If operational requirements dictate that a **Safety Document** has to be cleared and cancelled and the recipient is not available for clearance and all reasonable attempts to locate them has failed a **Senior Authorised Person** shall fulfil the requirements of Clearance and Cancellation of the **Safety Document**. The **Senior Authorised Person** shall first agree with an additional (S-1) **Senior Authorised Person** the need for this course of action and shall, having complied with the requirements under the Clearance section of the relevant **Safety Document**, complete a Declaration Form and the recipient shall be deemed to have cleared the **Safety Document**.

The **Senior Authorised Person** shall then sign both the Clearance and Cancellation sections of the flimsy copy of the **Safety Document** suitably endorsing the Clearance section "In the absence of the document holder(Insert the name of the **Person** to whom the **Safety Document** was issued) I am responsible for clearing this document". The Declaration Form shall be attached to the flimsy copy of the **Safety Document**. The **Control Person** shall be advised and shall record the details in the appropriate log.

If the recipient is only expected to be missing for a short period, e.g. overnight, the **Senior Authorised Person** shall make suitable provision for preventing access to the **Plant** or **Apparatus** covered by the **Safety Document**. This could be by posting a **Person** at the **Location** or changing the access lock to a unique lock.

For longer term absence of the recipient every effort shall be made to inform them of the position and this may include informing their supervisor(s) and leaving written notification at their home.

Immediately the recipient is available they shall sign the Clearance section of the **Safety Document** and countersign the Clearance section of the flimsy copy.

If the missing recipient is not employed by Energy Networks and they will not be available, a written confirmation from a Senior Officer of their employer shall be obtained to the effect that the recipient shall be/has been notified of the position and that they shall not return to carry out further work under the relevant **Safety Document**.

11. DEFEATING INTERLOCKS

The decision to immobilise or defeat interlocks shall be taken only in circumstances where the **Control Person(s)** identify or agree with on site personnel that the actions are justified.

The decision to immobilise or defeat interlocks on **Plant** or **Apparatus** shall only be taken following agreement by a minimum of two (S-1) **Senior Authorised Persons**.

The staff involved in making the decision shall have adequate knowledge of the **System** concerned and produce a Method Statement detailing the reasons for the actions and the methods that will be used to defeat the interlock, this will include any controls required to ensure that **Safety from the System** and **General Safety** are maintained both during and on completion of actions. An appropriate Senior Manager shall give consent to the (S-1) **Senior Authorised Person(s)** carrying out the work in accordance with the Method Statement and the Senior Manager's name shall be recorded in Section 5 of Appendix 1.

Both (S-1) **Senior Authorised Persons** present shall confirm the agreed actions in the Method Statement and ensure that they both fully understand, and agree with, the specific action required. A nominated (S-1) **Senior Authorised Person**, or a **Person** acting under their **Personal Supervision** shall complete the actions required to defeat the interlocks. The nominated (S-1) **Senior Authorised Person** shall complete the appropriate section of the Declaration Form which will be attached to the Method Statement. A **Limited Work Certificate** shall be issued to cover this work.

Where an interlock has been defeated arrangements shall be made to record the abnormal condition of the **Plant** or **Apparatus** and action taken at the earliest opportunity to have the interlock restored to its normal serviceable condition. The **Control Person** shall be advised and shall record the details in the appropriate log.

12. LOST SAFETY KEY FOR SAFETY LOCK

Where the **Safety Key** for a **Safety Lock** has been lost and all reasonable attempts to find it have failed, the **Person** having lost the **Safety Key** shall acknowledge the loss by completing the appropriate section of the Declaration Form and the **Senior Authorised Person**, after agreement with an (S-1) **Senior Authorised Person**, shall confirm with the **Control Person**, the need to defeat the lock for which the **Safety Key** is missing, provided no other **Safety Documents** are in force.

After all relevant **Safety Documents** have been cleared and cancelled a **Senior Authorised Person** can defeat the lock for which the **Safety Key** is missing and shall then withdraw that **Safety Lock** from service.

If further work is to be carried out a new **Safety Document** shall be issued along with a new **Safety Key**.

13. SAFETY LOCK APPLIED WITH NO RECORD OF APPLICATION

Where a **Safety Lock** has been found applied to **Plant** or **Apparatus** and there is no record of its application or the **Person** who applied it and all reasonable attempts to identify it have been carried out:

Low Voltage System.

The entire length of the **LV** circuit shall be patrolled to ascertain if any work or testing is being completed. If no sign of work or testing is visible and no further information indicates work or testing may be taking place, the **LV Authorised Person** shall complete the Declaration Form and with the consent of a **Senior Authorised Person** the **Safety Lock** can then be removed by the **LV Authorised Person**. This shall be recorded on the **SAFL** and the Declaration Form attached to the **SAFL**.

High Voltage System.

A **Senior Authorised Person** shall complete the appropriate section of the Declaration Form and an (S-1) **Senior Authorised Person** following agreement and completion of the Declaration Form, shall confirm with the **Control Person**, the need to remove the **Safety Lock**. The **Control Person** shall record the details in the appropriate log.

14. LOST KEY SAFE KEY

If the recipient of the **Safety Document** has lost the **Key Safe Key** and all reasonable attempts to find it have failed, they shall report the matter to the **Senior Authorised Person**. The **Person** having lost the **Key Safe Key** shall acknowledge the loss by completing the appropriate section of the Declaration Form and the **Senior Authorised Person**, after agreement with an additional (S-1) **Senior Authorised Person**, shall confirm with the **Control Person**, the need to defeat the lock for which the **Key Safe Key** is missing, provided no other **Safety Documents** are in force.

After all relevant **Safety Documents** have been cleared and cancelled a **Senior Authorised Person** can defeat the lock for which the **Key Safe Key** is missing and shall then withdraw that **Key Safe** from service. The **Control Person** shall be advised and shall record the details in the appropriate log.

If further work is to be carried out a new **Safety Document** shall be issued along with a new **Key Safe Key**.

15. LOST KEY SAFE

If the holder of a **Key Safe** has lost the safe and all reasonable attempts to find it have failed, they shall report the matter to the **Senior Authorised Person**.

The **Person** having lost the **Key Safe** shall acknowledge the loss by completing the appropriate section of the Declaration Form and the **Senior Authorised Person**, after agreement with an additional (S-1) **Senior Authorised Person**, shall confirm with the **Control Person**, the need to defeat the appropriate **Safety Locks**. After the **Safety Document** has been cleared and cancelled, a **Senior Authorised Person** can defeat the appropriate **Safety Locks**. The **Control Person** shall be advised and shall record the details in the appropriate log.

16. LOST DRAIN EARTH

If the recipient of the **Safety Document** has lost a **Drain Earth** and all reasonable attempts to recover it have failed they shall report the matter when clearing the **Safety Document** to a **Senior Authorised Person**, who shall then gain agreement on the intended course of action from an additional (S-1) **Senior Authorised Person**. The recipient shall then acknowledge the loss by completing the appropriate section of the Declaration Form.

In the case of an overhead line, unless the **Location** of the missing **Drain Earth** can be determined by other means, the circuit shall be patrolled to ensure that no **Drain Earth** has been left on the line. The **Person** responsible for the search patrol shall then complete the appropriate section of the Declaration Form confirming this situation.

The **Senior Authorised Person** may then cancel the **Safety Document** notifying the relevant **Control Person** that a **Drain Earth** has been lost and the actions taken, so that they may initiate any necessary precautions to be taken prior to re-energising the circuit.

If the lost **Drain Earth** has been recorded on an **Earthing Schedule**, then, when cancelling the **Earthing Schedule** the **Senior Authorised Person** shall modify the cancellation statement to detail the lost **Drain Earth** as an exception. The **Control Person** shall be advised and shall record the details in the appropriate log.

17. LOST EARTHING SCHEDULE

If the recipient of the **Safety Document** has lost the **Earthing Schedule** and all reasonable attempts to find it have failed, the matter shall be reported to a **Senior Authorised Person**, after agreement with an additional (S-1) **Senior Authorised Person**. The recipient shall then acknowledge the loss by completing the appropriate section of the Declaration Form.

If the **Safety Document** is being cancelled the **Senior Authorised Person** shall cancel the **Earthing Schedule** by signing the copy.

If further work is to be carried out under the **Safety Document** the **Senior Authorised Person** shall issue another **Earthing Schedule** worded exactly as the original. The copy of the original **Earthing Schedule** may then be destroyed.

The **Control Person** shall be notified and shall record the details in the appropriate log.

18. LOST CIRCUIT IDENTIFICATION FLAG

If the recipient of the **Safety Document** has lost a **Circuit Identification** flag and all reasonable attempts to find it have failed, the matter shall be reported when clearing the **Safety Document**, to a **Senior Authorised Person**, after agreement with an additional (S-1) **Senior Authorised Person**. The recipient shall then acknowledge the loss by completing the appropriate section of the Declaration Form.

Unless the **Location** of the missing flag is known the circuit shall be patrolled to ensure that the flag is not located in one of the sockets. The **Person** responsible for the search shall then complete the appropriate section of the Declaration Form confirming this situation.

The **Senior Authorised Person** may then cancel the **Safety Document** notifying the relevant **Control Person** that a **Circuit Identification** flag has been lost and the actions taken.

The **Control Person** shall be notified and shall record the above actions in the appropriate log.

19. LOST CIRCUIT IDENTIFICATION WRISTLET

If the recipient of the **Safety Document** has lost a **Circuit Identification** wristlet and all reasonable attempts to find it have failed, the matter shall be reported when clearing the **Safety Document**, to a **Senior Authorised Person**, after agreement with an additional (S-1) **Senior Authorised Person**. The recipient shall then acknowledge the loss by completing the appropriate section of the Declaration Form. The **Senior Authorised Person** shall notify the **Control Person** of the loss so that they may record the details in the appropriate log.

If a **Circuit Identification** wristlet is lost before work is completed a (S-1) **Senior Authorised Person** shall be informed, a Declaration Form completed and a replacement **Circuit Identification** wristlet issued.

The **Senior Authorised Person** may then cancel the **Safety Document** notifying the relevant **Control Person** that a **Circuit Identification** wristlet has been lost and the actions taken.

The **Control Person** shall be advised and shall record the details in the appropriate log.

20. LOST SELECTED PERSON'S REPORT

If the recipient of the **Safety Document** has lost a **Selected Person's** Report and all reasonable attempts to find it have failed, the matter shall be reported to a **Senior Authorised Person**, after agreement with an additional (S-1) **Senior Authorised Person**. The recipient shall then acknowledge the loss by completing the appropriate section of the Declaration Form. The **Senior Authorised Person** shall notify the **Control Person** of the loss so that they may record the details in the appropriate log. If necessary, a **Senior Authorised Person** shall issue a replacement **Selected Person's** Report. The **Control Person** shall be advised and shall record the details in the appropriate log.

APPENDIX 1 - DECLARATION FORM

Type of **Safety Document** concerned: No.

1 Lost or Missing Items or Action to be taken (tick as appropriate)

SAFETY DOCUMENT		DRAIN EARTH(S)	
RECIPIENT OF SAFETY DOCUMENT		KEY SAFE KEY	
CIRCUIT IDENTIFICATION FLAG		KEY SAFE	
CIRCUIT IDENTIFICATION WRISTLET		SAFETY KEY (for Safety Lock)	
SELECTED PERSON'S REPORT		REMOVAL OF SAFETY LOCK FOUND WITH NO RECORD OF APPLICATION	
EARTHING SCHEDULE		DEFEATING OF AN INTERLOCK	

I acknowledge that the ticked item(s) above are either lost or missing, or it has been considered necessary to carry out the action.

Print Name Authorisation No.

Signed Time Date

[being the **Person** reporting the initial loss or need for action under the terms of this procedure]

2 Search Patrol

I confirm that a search patrol has been carried out on the circuit involving the above ***Safety Document / *LV circuit** and that there are ***No Persons** working or testing on **Apparatus / * No Drain Earths / * No Circuit Identification** flags left on or / ***Circuit Identification** location unknown. The **Control Person(s)**.....have been informed.

*delete as appropriate

Print Name Authorisation No.

Signed Time Date

[being the **Person** responsible for the search patrol]

3 Clearance of Safety Document

I certify that all **Persons** working/testing under the **Safety Document** detailed above have been withdrawn from and warned not to continue working/testing on the **Plant/Apparatus** in Section 1 of the **Safety Document**. All gear, tools, **Drain Earths** and loose materials have been removed and guards and access doors have been replaced and that in the case of a **Sanction for Test** the condition of the **Plant/Apparatus** is as received except for:

.....
.....

Print Name Authorisation No.

Signed Time Date

[being the **Person** responsible for clearing the **Safety Document**]

4 Cancellation of Safety Document

I certify that all items issued under the Issue section of the **Safety Document** detailed above have been accounted for and the **Control Person(s)**:

..... and

have been informed of the cancellation and any restrictions on returning the **Plant/Apparatus** to service.

Sanction for Test only: The **Plant/Apparatus** detailed in Section 1 of the **Sanction for Test** is returned to the control of:

..... **Control Person(s)**

in the condition detailed in the Clearance section above.

Print Name Authorisation No.

Signed Time Date

[being the **Senior Authorised Person** responsible for cancelling the **Safety Document**]

5 Defeating of an Interlock

I confirm that the agreed method statement attached will be utilised during the defeating of the interlock of the **Plant** or **Apparatus** and this has the consent of a Senior Manager.

Print Name Authorisation No.

Signed Time Date

[being the 1st (S-1) **Senior Authorised Person**]

Consenting Senior Manager (Print Name)

6. Other action to be taken further to section 12 – 15 and 17 – 19 of OPSAF-11-016

Action to Be taken.....

.....

I confirm that the above actions can be carried out with my approval:

Print Name Authorisation No.

Signed Time Date

[being the 1st (S-1) **Senior Authorised Person**] **with** **Control Person(s)** consent.

7 Confirmation of Actions to be Taken

I confirm that the above actions will be carried out with my approval:

Print Name Authorisation No.

Signed Time Date

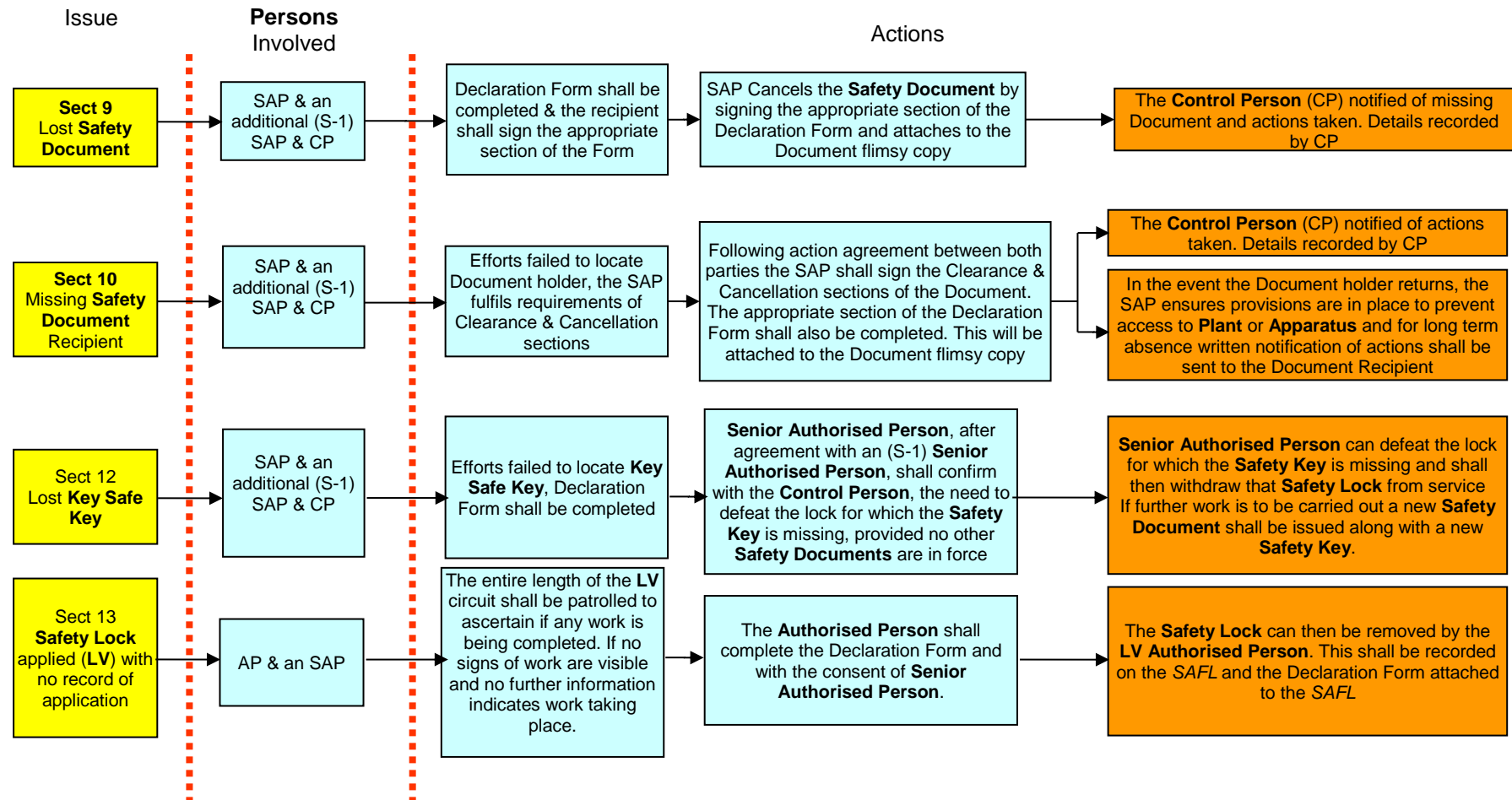
[being a (S-1) **Senior Authorised Person** and in the case of defeating interlocks the 2nd (S-1) **Senior Authorised Person**]

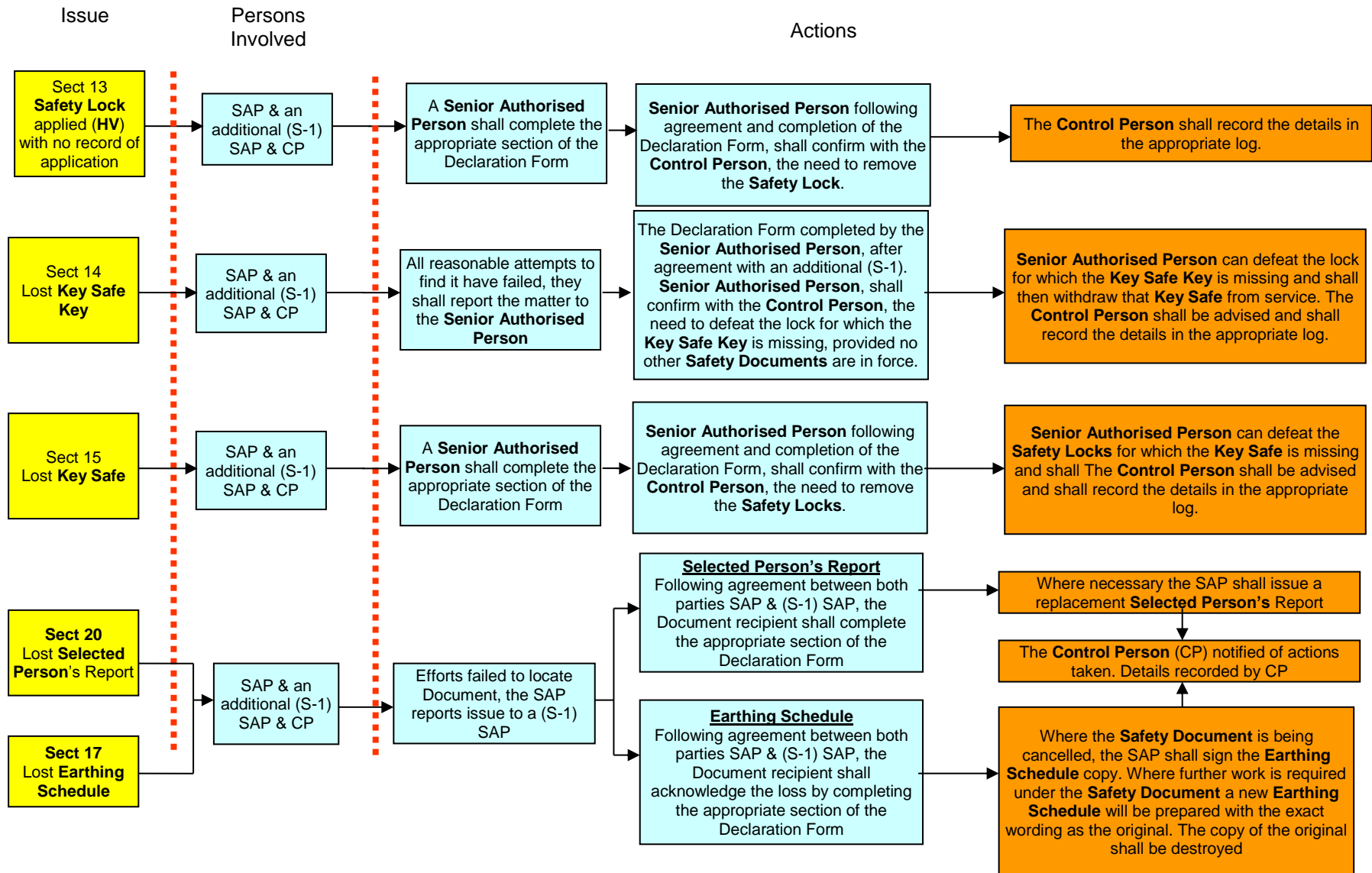
APPENDIX 2 - DELEGATED RESPONSIBILITIES

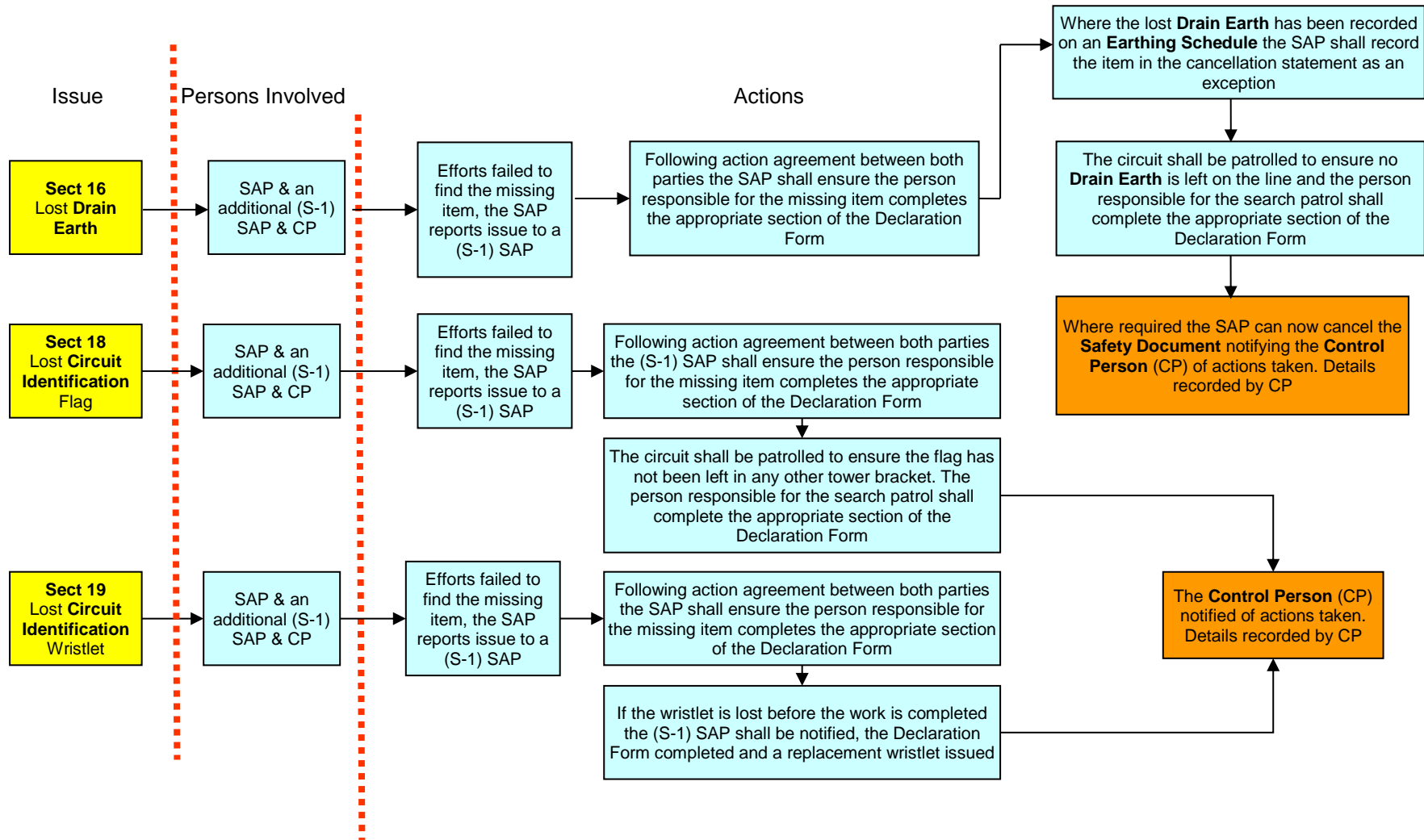
In addition to the **Authorised Person** who initiated the process, the responsible persons who shall approve measures described in this procedure are detailed below:

OCCURRENCE	RESPONSIBLE PERSONS	REMARKS
Lost Safety Document	(S-1) Senior Authorised Person & Control Person	Reference Sect 9
Recipient of Safety Document missing	(S-1) Senior Authorised Person & Control Person	Reference Sect 10
Defeating of an interlock	2 x (S-1) Senior Authorised Persons & Control Person(s) and the consent of a Senior Manager	Reference Sect 11
Lost Safety Key (Safety Lock) or Safety Lock found with no record of application	Senior Authorised Person (S-1 at HV) & Control Person	Reference Sect 12/13
Lost Key Safe Key or Key Safe	(S-1) Senior Authorised Person & Control Person	Reference Sect 14/15
Lost Drain Earth	(S-1) Senior Authorised Person & Control Person	Reference Sect 16
Lost Earthing Schedule	(S-1) Senior Authorised Person & Control Person	Reference Sect 17
Lost Circuit Identification flag	(S-1) Senior Authorised Person & Control Person	Reference Sect 18
Lost Circuit Identification wristlet	(S-1) Senior Authorised Person & Control Person	Reference Sect 19
Lost Selected Person's report	(S-1) Senior Authorised Person & Control Person	Reference Sect 20

APPENDIX 3 - FLOW CHARTS







Defeating Interlocks

