

## 1. SCOPE

This document details the procedure for considering the withdrawal of authorisation from a **Person** following an 'Operational Incident' on the **System**. The procedure shall be applied at all **System** voltages and to any **Authorised Person**, whether a member of Energy Networks staff, a contractor or third party.

## 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	2	R M Edwards	General update and change to the application of this document for switching incidents.
Feb 2019	3	D Naylor	Operational Incident definition expanded to include Safety Rule breach. <b>HV Switching</b> error response clarified. Authorisation suspension clarified. Process re-aligned to new authorisation database. Cooling-off period and appeal process added.

## 3. ISSUE AUTHORITY

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## 4. REVIEW

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

## DISTRIBUTION

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

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## 6. DEFINITIONS

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

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

For the purposes of this document, an 'Operational Incident' shall be defined as - any incident involving work or testing on or adjacent to the **System** that results in a suspected Safety Rule breach, the infringement of **Safety Distance**, electrical flashover, or any **Switching** incident on the **System**, e.g. energising an **Earthed** section of the **System**, incorrect operation of switchgear, protection, etc.

## 7. INTRODUCTION

Following any 'Operational Incident' on the **System**, an immediate response is required as the **Person(s)** involved may be traumatised and not sufficiently composed for carrying out further operational duties. In the first instance the "immediate response" should be a discussion (e.g. telephone conversation) between the appropriate Line Manager, the senior **Control Person** on duty and the **Person(s)** involved in the incident. A number of outcomes are possible from this initial discussion namely:

- 7.1 All parties agree that work can continue and there is no requirement to suspend/withdraw the **Person(s)** authorisation. This decision should be recorded within the Control Room and does not preclude further investigation taking place at a later date.
- 7.2 Assistance is required on site or further on site discussion/investigation is required by the Line Manager. In this event activities will be suspended until assistance has arrived on site and the **Control Person** has been contacted.
- 7.3 The incident is so significant that it warrants the withdrawal of authorisation from **Person(s)**, without prejudice, such as to prevent that **Person(s)** working/operating on the **System** and hence removes the potential of another 'Operational Incident'.

Note: **HV Switching** errors are considered to be serious incidents. The **HV Switching** authorisation of the Field Staff involved will normally be suspended and only returned upon satisfactory completion of a reassessment interview conducted by the Control Room Manager and Operational Assurance Manager or their delegates.

The application of the procedure in every circumstance should ensure that there is no suggestion of blame being allocated by such action and allows initial investigations to establish the circumstances and decide whether an Inquiry is needed.

## 8. WITHDRAWAL / SUSPENSION PROCEDURE

### 8.1 Where it is agreed (as in 7.3 above) that the withdrawal/suspension of authorisation(s) is appropriate the following procedure will apply

Immediately following an 'Operational Incident' as in 7.3 above, all **Person(s)** directly involved in the work/operation shall, subject to the paragraph directly below, cease all operational duties. The appropriate Line Manager or H&S Manager or their nominees (e.g. out of hours the Duty Manager or S-1 **Senior Authorised Person**) will determine whether it is appropriate at that point either to physically withdraw the entire Certificate of Authorisation of the **Person(s)** involved, or to inform the **Person(s)** that certain authorisation categories are to be treated as having been temporarily suspended. The **Control Person** shall be advised of the authorisation changes.

The only work/operation that may be carried out at this time by the **Person(s)** involved is such reasonable action as may be required to render the immediate situation safe and secure. After the discussion required in section 8, this may include **Switching** to restore inadvertently interrupted customer supplies.

The details in relation to the incident and any resultant withdrawal or suspension of authorisation shall be recorded in the authorisation database as soon as is reasonably practicable after the incident. Other suitably **Authorised Person(s)** shall be instructed to complete the work/operation.

### 8.2 Initial Investigation

An initial investigation will be undertaken by the appropriate Line Manager and the H&S Manager or their nominees to establish the circumstances surrounding the incident.

At this stage, if considered appropriate, the Line Manager and the H&S Manager or their nominees, may rescind the withdrawal or suspension of authorisation(s). It is however recommended that in any event authorisations should not be restored before the next calendar day following the incident.

In consultation with the appropriate Business Unit Manager/Director, the appropriate Line Manager or the H&S Manager or their nominees shall decide whether or not a formal Inquiry is required.

In addition, for **HV Switching** errors, see the "Note" in Section 7.3 above.

### 8.3 Formal Inquiry

When the initial investigation determines that it is necessary, a Panel of Inquiry shall be set up in accordance with the latest issue of the Group Health & Safety 'Incident Management Framework' document number UKHS-GSP-SMS-3027.

Following initial interviews with the **Person(s)** concerned, the Panel Chairman shall consult with the Business Unit Manager/Director or the H&S Manager or their nominees and shall agree which of the following available course(s) of action shall be implemented:

- (i) **The Authorised Person(s)** shall have the withdrawal or suspension of their authorisation(s) confirmed.
- (ii) **The Authorised Person(s)** shall have limited authorisation restored.
- (iii) **The Authorised Person(s)** shall have their full original authorisation(s) restored.

The above actions shall be carried out without prejudice to the further investigations, conclusions and recommendations of the Panel of Inquiry and, subject to agreement between the appropriate Line Manager, the Panel Chairman and the Business Unit Manager/Director or the H&S Manager or their nominees, may be varied during the course of the investigations of the Panel of Inquiry or upon its conclusions and recommendations.

Where it is decided that the withdrawal or suspension of authorisation shall remain in force, or limited authorisation only shall be restored, then the H&S Manager or their nominee shall make changes to the **Person(s)** record(s) in the authorisation database as appropriate, and shall make appropriate entries in the 'History' fields within the database. Where limited authorisation is to be issued, the **Person(s)** line manager shall download an updated certificate from the authorisation database.

Following the conclusion of the Panel of Inquiry, the Panel Chairman, in consultation with the Business Unit Manager/Director or the H&S Manager or their nominees, may recommend that:

- Re-training and examination is required before an individual's authorisation can be restored after a suitable cooling-off period.
- Certain categories of authorisation be suspended/amended before the individual's authorisation is restored after a suitable cooling-off period.
- The authorisation be restored unchanged.
- Any other appropriate measure be implemented.

## 9. APPEALS PROCESS

If, following an Inquiry, an **Authorised Person** has been subject to the removal of some or all authorisation categories then they have the right to appeal this decision.

The appeal shall be directed to the Operational Assurance Manager and shall be reviewed by a member of the Operational Assurance team and a suitable business manager who have not been directly involved in the original Inquiry.

The outcome from the appeal shall be final and will be formally shared with the individual.

