

## CONTACT ENERGY

# GENERATION SAFETY RULES

**Including Guidance Notes on the Application of the Rules**

## CONTACT ENERGY

### GENERATION SAFETY RULES

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## FOREWORD

Contact Energy Generation Safety Rules are provided to ensure that personnel working on Plant and Apparatus to which these Safety Rules apply are safeguarded from hazards arising from the electro-mechanical Systems.

These Rules have been produced as part of a suite of documents supporting Contact's HSE Policy. Under the Contact Energy HSE Policy, the General Manager Operations, is responsible for implementing the HSE Management System to ensure the commitments made in the Policy are being met. The Philosophy and Principles section within this document have been approved by Contact Energy as the basis for the Rules. The Principles form part of the Rules and together with the Philosophy provides information on the application of the Rules.

The Safety Rules, which are mandatory, are made up of General Provisions, Basic Safety Rules, Procedures for Safety Documents and Keys, Responsibilities of Persons, and Definitions. They are supported by Local Management Instructions and procedures relating to particular activities.

It is the duty of all Persons who may be concerned with the control of, and preparation, and carrying out of work or testing on, the electro-mechanical Systems to which these Rules apply, to make themselves thoroughly familiar with those aspects of the Safety Rules and support documents appropriate to their particular activities. In addition to any specific responsibilities and requirements in the Rules, all Persons have a duty to be familiar with and obey laws relating to their work.

The applicable Legal Requirements include, but are not limited to, the relevant parts of the following legal provisions:

- Health and Safety at Work Act 2015
- Electricity Act 1992

Subsequent amendments, together with any other Statutory Requirements in the form of Acts and Regulations enforced from time to time, also apply.

## NOTES ON THESE RULES

To help Persons apply and interpret the Safety Rules consistently, Contact Energy has provided guidance notes. They follow the applicable Safety Rule and are set in this colour. However, no attempt is made to draw attention to requirements which are self-evident.

The last section of this booklet contains additional guidance notes that provide specific guidance on completing Safety Documents. In addition to these notes, Safety Documents will normally be compiled and managed using Nisoft Eclipse, but should an occasion occur where safety documents must be prepared manually, then a similar standard of completion shall be maintained.

Throughout the Safety Rules, the following terms will apply:

**SHALL** - Absolute requirement; no discretion allowed.

**SHALL, WHERE PRACTICABLE** - In these Rules, the qualification 'where practicable' is used only in connection with the immobilising and locking of Isolating Devices. If it is possible to do it, then it must be done.

# GENERATION SAFETY RULES



**SHALL, WHERE REASONABLY PRACTICABLE** - If the cost and effort are grossly disproportionate to the reduction in risk, then a judgement must be made as to what is reasonable.

## DEFINITIONS

### A Apparatus

All equipment forming part of the System, in which electrical conductors are used, supported, or of which they may form a part, and for which Contact Energy has a maintenance responsibility.

### Approved

Accepted for use by the Location Manager.

For approval of procedures and Nominations, the location manager may choose to delegate these responsibilities.

**Authorised Persons** - see **Persons**

### C Card Safe

A device of an Approved type for the display and secure retention of a Safety Document and the associated Key Safe Key.

### Caution Notice

A notice in Approved form conveying a warning against interference.

**Control Person** - see **Persons**

**Control Key** - see **Keys**

### D Danger

A risk to health or a risk of bodily injury.

### Danger Notice

An Approved notice reading 'Danger'.

**Drain Earth** - see **Earthing Device**

### E Earthed

Connected to earth by means of an **Earthing Device**.

### Earthing Device

An Approved means of providing a connection between a conductor and earth, being one of the following:

### Portable Earth

An Earthing Device any part of which is not permanently positioned.

### Primary Earth

An Earthing Device applied at a position defined in a Safety Document.

### Drain Earth

An Earthing Device applied to protect against induced voltages.

## **Metal-clad Switchgear Movable Earth**

A Portable Earth applied to metal-clad switch-gear spouts before a Permit for Work is issued which can be removed and replaced one phase at a time during the process of work being done under the Permit for Work.

## **Earthing Schedule**

A schedule indicating the Drain Earth requirements for each stage of the work or testing.

## **G General Safety**

The provision of safe access to and from the place of work, a safe place of work, safe methods of work and the use of correct work equipment and personal protective equipment.

## **H High Voltage (HV)**

A voltage exceeding 1000 volts.

## **I Isolated**

Disconnected from associated Plant and/or Apparatus by an Isolating Device(s) in the isolating position, adequate physical separation, or sufficient gap.

## **Isolating Device**

A device for rendering Plant and Apparatus Isolated.

## **K Keys, being one of the following:**

### **Control Key**

A key capable of operating the control lock of a Key Safe.

### **Safety Key**

A unique key capable of operating a lock which will cause an Isolating Device, Earthing Device, vent or drain to be Locked.

### **Key Safe Key**

A unique key capable of operating a lock on a Key Safe, other than the control lock.

### **Nominated Supervisor Key (NS Key)**

A common key capable of operating a Nominated Supervisor lock that is used to secure a Card Safe retained Safety Document and Key Safe Key. Nominated Supervisors have a collective responsibility for keeping Nominated Supervisor keys in safe custody.

### **Nominated Competent Person key (NCP key)**

A unique key capable of operating a Nominated Competent Person lock (NCP Lock) that is used to secure a Card Safe retained Safety Document and Key Safe Key. The Nominated Competent Person shall retain this key in safe custody.

### **Key Safe**

A device for the secure retention of keys.

## **L Limited Work Certificate - see Safety Documents**

**Live**

Electrically charged.

**Location**

Any place at which work or testing under Contact Energy Generation Safety Rules is carried out.

**Locked**

A condition of Plant and/or Apparatus that cannot be altered without the operation of a locking device which is of a standard approved by the Location Manager.

**Low Voltage (LV)**

A voltage not exceeding 1000 volts.

**M      Metal-clad Switchgear Movable Earths - see Earthing Devices****Minimum Approach Distance**

The distance from the nearest High Voltage exposed conductor not Earthed, or from an insulator supporting a High Voltage conductor which must be maintained to avoid Danger.

**N      Nominated Competent Person - see Persons****Nominated Supervisors - see Persons****P      Permit for Work - see Safety Documents****Personal Supervision - see Supervision****Persons**

Being one of the following:

**Nominated Competent Person (NCP)**

A Person who has sufficient technical knowledge and/or experience to enable them to avoid Danger, who has been nominated by the Location Manager to undertake responsibilities appropriate to their knowledge and/or experience which may include receipt, transfer and clearance of specified Safety Documents.

**Authorised Person (AP)**

A Person who has been nominated by the Location Manager to carry out duties specified in writing.

**Senior Authorised Person (SAP)**

An Authorised Person nominated by the Location Manager to carry out duties specified in writing, including the preparation, issue, transfer and cancellation of specified Safety Documents.

**Control Person (CP)**

A Person who has been nominated by the Location Manager to be responsible for agreeing to the release of Plant and Apparatus for work or testing, and in circumstances defined in these Rules and/or Local Management Instructions, for controlling and co-ordinating safety activities necessary to achieve Safety from the System.



or

An individual nominated to carry out a similar function for Companies whose System(s) interact with Contact Energy's System.

### **Selected Person (SP)**

A Person qualified by technical knowledge and experience and nominated by the Location Manager to carry out tests and examinations and make recommendations regarding additional special precautions to be taken to safeguard Persons.

### **Nominated Supervisor (NS)**

A Nominated Competent Person who has been authorised in writing by the Location Manager to set Working Parties to work or test and to supervise certain Safety Rules procedures associated with Card Safes.

### **Person**

An individual who shall work under the supervision of a Nominated Competent Person as a work party member.

### **Plant**

Fixed and movable items, other than **Apparatus**, which Contact Energy is responsible for maintaining.

**Portable Earth** - see **Earthing Device**

**Primary Earth** - see **Earthing Device**

### **Purged**

A condition of Plant and/or Apparatus from which any dangerous contents have been removed (scavenged).

## **S**

### **Safety Documents**

Documents that are used to describe safety precautions taken to enable work on Plant and/or Apparatus to be carried out in a safe manner. Documents will be one of the following:

#### **Limited Work Certificate (LWC)**

Defines the limits within which work or testing may be carried out, and which specifies necessary precautions.

#### **Permit for Work (PFW)**

Specifies the Plant and/or Apparatus to be worked on, the work to be carried out and the actions which have been taken to achieve Safety from the System.

#### **Permit for Work Restoration of System Hazard (PFW-ROSH)**

Specifies the Plant and/or Apparatus to be restored, the work to be carried out and the actions which have been taken to achieve Safety from the System.

#### **Sanction for Test (SFT)**

Specifies the Plant and/or Apparatus to be tested, the conditions under which the testing

is to be carried out and confirming actions which have been taken to achieve Safety from the System.

## **Safety from the System (SFTS)**

That condition which safeguards **Persons** working on or testing **Plant** and/or **Apparatus** from the **System Dangers**.

**Safety Key** - see **Keys**

**Sanction for Test** - see **Safety Documents**

**Selected Person** - see **Persons**

**Senior Authorised Person** - see **Persons**

**Supervision**, being one of the following:

## **Supervision**

Supervision by a Person who is continuously available at the Location where work or testing is in progress and who attends the work area as necessary to ensure that work is safe.

## **Personal Supervision**

Supervision where the supervisor is with the Person being supervised at all times during the course of the work or testing.

## **Switching**

The operation of circuit breakers, disconnectors/isolators or other methods of making or breaking an electrical circuit, and/or the application and removal of Primary Earths and fuses.

## **System**

Plant and Apparatus which are used separately or in combination for Contact Energy's Generation processes.

## **System Danger**

System hazards that could cause a risk to health, or a risk of bodily injury.

## **T**

## **Transfer Record**

A document of a format shown in these Rules used to record the transfer of a personally retained Limited Work Certificate, Permit for Work or a Sanction for Test.

## **V Vented**

Having an outlet open to the atmosphere, arranged so that pressure can equalise to atmospheric pressure.

### **Verbal Instruction**

Safety precautions which are issued verbally. Verbal Instructions for work or testing shall be issued in conjunction with an Approved procedure.

The intent of enforcing the use of an approved procedure for the issue of a verbal instruction is reliant on the approved procedure containing the detailed instructions and precautions that need to be taken to ensure that safety from the system is maintained during the course of the work.

If an approved procedure is not available, then a work order with a detailed task description can be accepted for use instead of the approved procedure by the Senior Authorised Person. The task description should include clear instructions on the limits of the work to be done and clear instructions on the limits of the work area. To ensure visibility of enacting this exception, at the time of issuing a verbal instruction both the Senior Authorised person and the Nominated Competent person shall initial, sign and date the work order card.

It is intended that this exception shall only be in acted for low risk tasks or inspections and that the preference is to use a limited work certificate.

## **W Working Party**

Persons working under the Supervision of a Nominated Competent Person, including a Nominated Competent Person working alone.

## PHILOSOPHY AND PRINCIPLES OF THE SAFETY RULES

### 1. PHILOSOPHY

#### 1.1 **Electro-mechanical Systems are safe to operate if following correct procedures and using correct equipment**

Contact Energy Generation's electrical and mechanical items of Plant and Apparatus are interconnected to form electro-mechanical Systems. These Systems, because of their electrical and mechanical characteristics, contain inherent Dangers. However, they are designed so that when they are in their normal operating mode, they may be operated without Danger if routine procedures and suitable equipment are correctly used.

#### 1.2 **The Safety Rules are needed for work other than normal operations**

When work other than normal operation has to be carried out affecting the Plant and Apparatus and it is necessary to change from the normal operating mode or depart from routine operating procedures, it is necessary to specify rules to achieve safety from the System Dangers.

#### 1.3 **The Safety Rules should specify actions and practices**

The Rules should briefly and clearly specify actions which must be implemented and identify those practices which should be followed, to establish conditions ensuring that Persons working on the Plant and Apparatus will be safeguarded from the System Dangers.

#### 1.4 **Whenever work is carried out affecting Plant and Apparatus which is part of the System, two types of Danger may arise:**

- a) System Dangers arising from the design and function of the Plant and Apparatus. This philosophy requires that the Rules, when implemented, will achieve the safety of Persons at work from these System Dangers before and during the course of work.
- b) General Danger arising from the environment at and in the vicinity of the work point, and not associated with the System. General Dangers may arise whenever work is done, for example, from methods of work or means of access. These Rules do not specify how to establish safety from General Dangers, but they allocate responsibility for achieving safety from it.

#### 1.5 **Procedures are divided into stages**

To carry out work affecting Plant and Apparatus within a System, the procedure to be observed may be divided into the following stages:

- a) Making available the Plant and Apparatus required for the work.
- b) Establishing the conditions to safeguard personnel from the System Dangers.
- c) Executing the work required.
- d) Clearing the Plant and Apparatus on completion or termination of the work.
- e) Restoring the Plant and Apparatus to their normal conditions within the System.

## 1.6 Persons are assigned responsibilities

To achieve safety within the stages specified above, these Rules require that defined Persons be given responsibilities for:

- a) Establishing safe conditions for personnel to work on the Plant and Apparatus by either:
  - Checking that safe conditions have been established for work on Plant and Apparatus which has been Isolated from the System, or
  - Identifying the appropriate procedures to be applied when work has to be done on Plant and Apparatus which remains energised.
- b) Authorising, in writing, the commencement of work.
- c) Receiving the written authority to commence work, thereafter to supervise safety during the course of the work and to clear the written authority when the work is terminated.
- d) Cancelling the written authority on termination of the work.

## 1.7 Scope of these Safety Rules

The Rules for achieving the safety of personnel at work from the System Dangers during the stages above (in 1.5) are limited to specifying:

- a) The actions necessary to ensure safety.
- b) The responsibilities of Persons for ensuring safety.

The rules for achieving safety from general Dangers arising whenever work is performed are limited to identifying the Persons responsible.

## 1.8 Further information

The Rules are supported by Generation Guidance documents, approved procedures and, if appropriate, Local Management Instructions. These assist with interpretation and specify procedures for implementing the Rules effectively, efficiently and consistently.

# 2. PRINCIPLES

## 2.1 To fulfil the requirements of the philosophy, the following principles have been adopted in formulating the Rules:

- a) The Rules are concerned only with achieving safety for Persons.
- b) When work is to be carried out on High Voltage Apparatus, the primary means of achieving safety is by isolating and then earthing the System, except when working on or testing Live Apparatus. For these exceptions, the means of achieving safety is by the application of approved procedures.
- c) In the case of Low Voltage Apparatus, the primary means of achieving safety is by isolation from the System, if reasonably practicable. If isolation is not reasonably practicable, safety is achieved by the application of approved procedures.
- d) When work is to be carried out on mechanical Plant, the primary means of achieving safety is by isolation from the System followed by draining, venting and purging as appropriate, except when the work requires the Plant to be energised. For these exceptions the means of achieving safety is by the application of approved procedures.

- e) The fundamental means of protecting personnel at work is by applying and maintaining the primary means of achieving safety specified in 3.1 (b), (c) and (d), supported by the following:

- (i) Contents of the Plant and/or HV Apparatus shall be adjusted to a level which avoids Danger. Where drains could give rise to Danger, they shall be Locked in the appropriate position.

Work may be carried out without the Plant and Apparatus being completely emptied of its contents if Safety from the System can be achieved by adjusting the level of the contents. Examples include work on the upper headers of a boiler or heat recovery steam generator (HRSG) where it may be uneconomical to dispose of the whole contents of the boiler.

- (ii) Where Danger could arise from pressurisation, the Plant and/or HV Apparatus shall be vented to atmospheric pressure. Where vents could give rise to Danger, they shall be Locked in the appropriate position.

When Plant and/or Apparatus is to be vented before work or testing commences, the venting shall be carried out in a controlled manner to ensure that:

- a. there is no Danger to Persons from any emission from the vent
- b. the venting process is completed, and atmospheric pressure is established internally in the Plant and/or Apparatus.

- (iii) Where internal access is required, the Plant and/or HV Apparatus shall be purged if the residue of contents could cause Danger.

Toxic or other hazards which arise only from the work activity should be dealt with by the Nominated Competent Person

When Plant and/or Apparatus is to be purged, the purging shall be carried out in a controlled manner to ensure that:

- a. There is no Danger to Persons from any emission during the purging process.
- b. The purging process is completed, and normal atmospheric conditions exist internally in the Plant and/or Apparatus.
- c. Precautions shall be taken to maintain the established safe conditions during the work or testing.

- (iv) Where Danger could arise from the release of stored energy, action(s) shall be taken to contain or dissipate this energy safely.

- (v) Appropriate actions shall, where practicable, be taken to maintain the effectiveness of the primary means of achieving safety, for example locking off Isolating Devices.

- (vi) A Caution Notice shall be attached to all points of isolation.

- f) The nomination of Persons to carry out defined requirements under the Rules will be the subject of a formal procedure to assess competence.

- g) The application of the Rules shall ensure that a safe situation exists across all boundaries and operational interfaces, irrespective of whether they are totally or partially within the jurisdiction of Contact Energy.

- h) To achieve Safety from the System, that is, from Dangers which may arise from the design functions of the Plant and Apparatus, each of the five stages referred to in the philosophy (in 1.5 above) will involve one or more of the following functions:

**I. Co-ordination**

Before work commences, co-ordination includes giving instructions on implementing safety precautions and consenting to the issue of a Safety Document. After work is completed, it includes acknowledging the cancellation of the Safety Document and instructing the restoration of the Plant and Apparatus to service.

**II. Making Safe/Restoration of Plant and Apparatus**

Before work commences, 'making safe' includes taking action to make Plant and Apparatus safe for work and issuing a Safety Document. After work is completed and the Safety Document is cancelled, this includes taking action to restore the Plant and Apparatus to service.

**III. Work**

Work includes receiving the Safety Document, executing the required work to its completion or termination and, after the work area has been cleared, clearing the Safety Document.

The three functions above cover separate responsibilities, which are distinct from each other and are treated distinctively in the Rules.

- 2.2 The Rules do not state the number of Persons necessary to discharge the three functions. However, in order to maintain the safeguards inherent in the Rules, the Person(s) involved in the 'Coordination' and 'Making Safe/Restoration of Plant and Apparatus' functions shall be different from the Person(s) involved in the 'Work' function, except in Approved circumstances.**

## SAFETY RULES

### GENERAL PROVISIONS

#### 1. GENERAL SAFETY

In addition to establishing Safety from the System, General Safety must be maintained at all times at and in the vicinity of the place of work. Nominated Supervisors must ensure that General Safety is established prior to work or testing. During the course of work, Nominated Competent Persons and Work Parties must maintain General Safety and ensure that other work areas are not adversely affected by their activities. General Safety responsibilities follow normal delegation rules, procedures and guidance.

It is the responsibility of the Nominated Supervisor to ensure that safety precautions are taken to establish General Safety at and in the vicinity of the workplace before work commences. This responsibility will be discharged as a part of a normal Setting to Work process. As in the normal process of work management, hazard identification and risk assessment processes should be used as appropriate by Nominated Supervisors in determining the safety precautions required to establish General Safety.

As with a number of situations that arise within the implementation of the Safety Rules, an appropriately trained, competent and nominated Person may perform both the functions of a Nominated Supervisor and a Nominated Competent Person for a particular task.

In all cases where work on the System is to take place, a setting to work process and an establishment of General Safety before work commences shall be carried out by a Nominated Supervisor. Nominated Supervisors will need to satisfy themselves that General Safety has been achieved, if necessary, by personal inspection.

In general, it is expected that Contact Energy Staff will fulfil the role of a Nominated Supervisor, but a Contractor who has been appropriately trained and deemed competent can be nominated for the role of Nominated Supervisor.



## 2. ADDITIONAL SAFETY RULES, CODES OF PRACTICE AND PROCEDURES

These safety Rules and the requirements of any supporting documents are mandatory. Rules and requirements issued by other Authorities in control of their own locations are also mandatory.

### **Safety Rules**

All persons responsible for initiating, planning and supervising work should be properly instructed on which additional Rules apply at a location. For example, Persons working on Contact Energy equipment installed in a switchyard owned by Transpower shall be familiar with, competent in, and comply with the relevant Transpower Safety Rules.

### **Safety Rules Codes of Practice**

The Safety Rules are supported by the Safety Rules Codes of Practice which set down the recommended methods of achieving Safety from the System.

The Codes are issued under the authority of the General Manager of Operations, and are firm instructions, not advice.

## 3. SPECIAL INSTRUCTIONS

If work or testing on Plant and Apparatus cannot follow these rules for any reason, an Approved procedure must be used.

In circumstances when it is impossible to apply the Rules or when there are technical and commercial reasons for not applying the Rules, if Safety from the System can be achieved by alternative approved procedures, then the alternatives can be used. Such approved procedures can be of a standing nature or for a one-off occasion. Approved procedures should be reviewed periodically to ensure their continuing validity.

An example where the Rules cannot be applied is when working on live, high voltage, light current, electronic equipment installed as part of a System, where it would be inappropriate to apply Primary Earths to exposed High Voltage conductors, despite the requirements of Rule A3. In these cases, approved procedures should be issued to specify how to achieve and maintain Safety from the System.

Another example where the Rules cannot be applied is when the normal Safety Document and Key procedures cannot be completed because of the unavoidable absence of the Nominated Competent Person receiving the Safety Document. In this circumstance, there should be an approved procedure detailing how the document can be cancelled or transferred, while maintaining Safety from the System and safeguarding the absent Nominated Competent Person. That is, alternative arrangements would need to be made to complete the responsibilities of the Person who is absent.

A register of all approved general provision 3 (GP3s) procedures shall be held centrally by the Safety Rules Assurance team (SRAT). Governance of all GP3s will be also be managed by the SRAT who can advise on the writing of GP3s, provide GP3 templates, etc.

## 4. OBJECTIONS ON SAFETY GROUNDS

Any objections on the part of the Person receiving instructions in the application of these rules shall be raised with the Person issuing the instructions. Any such objection shall then be dealt with in an Approved manner.

An Approved procedure for dealing with objections to Safety Rule instructions is provided in the Safety Rules Procedure DMS10000002403 'Objection on Safety Grounds'.

All Persons issuing instructions should check for objections on the grounds of safety from the Person receiving the instruction and attempt to resolve the objection. Failure to agree should then cause the formal procedure to be invoked. If the work can be rescheduled or split so that work not affected by the objections can be started, this should be done while further consideration is given to the objections.

## PART A

# THE BASIC SAFETY RULES

### A1 APPLICATION OF RULES

- A1.1** Persons working on or testing Plant and Apparatus are protected from Danger when Safety from the System is achieved. Safety from the System shall be achieved by the fulfilment and maintenance of the safety precautions, procedures and responsibilities specified in these Rules.

These Rules are designed to achieve Safety from the System and protect Persons working on the system from system dangers.

These rules do not apply to work on Plant and Apparatus that has been excluded from the system (as defined in each site's approved system exclusion procedure), but the fundamental principles of the rules could be used to develop safe methods of work for Plant and Apparatus that is excluded from the system.

Since Plant and Apparatus excluded from the system may have similar levels of dangers, care should be taken to ensure that alternative safe systems of work are provided and implemented if the Safety Rules are not to be applied.

- A1.2** Plant and Apparatus shall be added to and removed from the System only in accordance with an Approved procedure, which will also determine when these Safety Rules shall apply.

The Contact Energy Generation Safety Rules Procedure 'Addition or Removal of Plant and Apparatus To or From the System' (DMS 10000002404) recognises the point in time at which new Plant and/or Apparatus is brought under the Rules or redundant Plant and/or Apparatus is removed from the Rules.

Emphasis should be placed on the notification of all Persons (Staff and Contractors) of the changed status of the new Plant and Apparatus. Immediately before the Safety Rules are to be applied to new equipment, all duplicate and spare keys to locks and interlocks should be withdrawn and destroyed or maintained in safe custody.

In the case of de-commissioning and demolition of Plant and Apparatus, a step-by-step approach must be adopted to identify clearly the:

- a) Plant and Apparatus concerned
- b) Permanent points of disconnection from the system
- c) Removal of residual hazards.

Boundaries encompassing a safe work area around the Plant and Apparatus that has been removed from the System and is no longer subject to the Safety Rules should, where reasonably practicable, be clearly identified and marked.

Temporary removal of disconnected Plant and Apparatus from the normal service position to workshops or designated work areas may be considered as removal from the System for that period. In such circumstances, the requirements of the Safety Rules do not apply to the

# GENERATION SAFETY RULES



Plant and Apparatus in the workshop or work area. Approved procedures are still required that provide safe methods of work and assign responsibility for safety from hazards such as stored energy, toxic residuals and energy used for test purposes. To comply with this Rule, it will be necessary to have an approved procedure for the temporary removal of Plant and Apparatus.

A register of all approved Safety Rules Inclusion certificates (SRIC) or Safety Rules Exclusion certificates (SREC) shall be held centrally by the Safety Rules Assurance team (SRAT). Governance of all SRICs and SRECs will be managed by the SRAT, which can advise on the writing of inclusion or exclusion certificates and provide templates, etc.

## A2 APPROACH TO EXPOSED HIGH VOLTAGE CONDUCTORS/INSULATORS

**A2.1** Persons shall not allow any part of their body to approach exposed conductors designed for and operated at High Voltage, or insulators supporting such conductors, within the Minimum Approach Distances specified in A2.3 unless the conductors have been Isolated and Danger has been excluded.

This rule states that no persons shall approach exposed live high voltage conductors within the minimum approach distance that have not been earthed or another method of excluding danger applied.

**A2.2** When exposed conductors are Isolated but could be subject to High Voltage, the only objects permitted to approach them, or insulators supporting them, within the Minimum Approach Distances specified in A2.3, shall be Approved voltage measuring devices or Earthing Devices.

This rule enables the use of approved devices for voltage measuring and the use of approved Earthing Devices on Apparatus which is isolated but not yet earthed. It is still a requirement for Persons (rule A2.1), that no part of their body can approach within the minimum distance whilst using the approved voltage measuring devices or applying the approved earthing devices.

**A2.3** Minimum Approach Distances

Normal Design Voltage kV	Minimum Approach Distance 'X' from exposed HV conductors not earthed (meters)
± 350 (DC)	2.8
± 270 (DC)	2.3
± 135 (DC)	2.2
220 (AC)	2.2
110 (AC)	1.5
66 (AC)	1.0
50 (AC)	0.75
33 (AC)	0.60
22 (AC)	0.45
11 (AC)	0.30
6.6 (AC)	0.25
1 (AC)	0.15

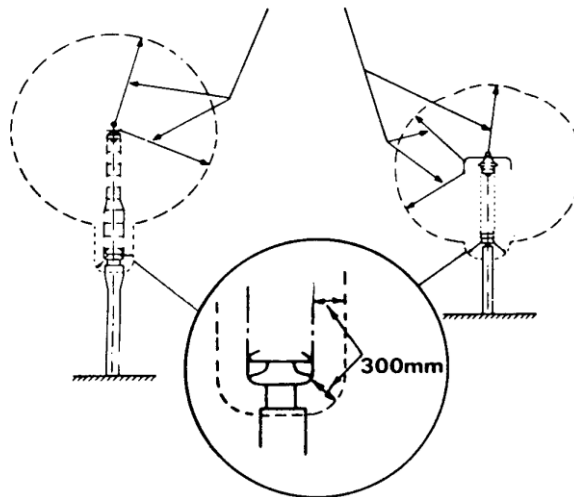
A distance of 300mm shall also be maintained from that portion of the insulators supporting exposed High Voltage conductors which is outside the appropriate Minimum Approach Distance from the conductors.

The specified Minimum Approach Distances in these Rules are the minimum distances to be observed between exposed High Voltage conductors and any part of a Person's body, including hand-held tools or other equipment being used. The exception is when the hand-held tools or other equipment being used is an approved voltage measuring device or earthing device. In this case it is only the body and parts of the Person's body that must maintain the minimum required distances.

At each site, there shall be sufficient information available in the form of drawings, etc. to enable distances between exposed High Voltage conductors and proposed work areas to be determined.

## **Typical post insulator illustrating minimum approach distance from exposed high voltage conductors not earthed**

### **Minimum approach distance X**



## A3 SAFETY PRECAUTIONS FOR WORK ON OR ADJACENT TO PLANT AND HIGH VOLTAGE APPARATUS

**A3.1** When work is to be carried out on or adjacent to Plant and/or HV Apparatus and the means of achieving Safety from the System is by limiting the work or the work area, instructions clearly defining the limits shall be given. When it is considered necessary to confirm instructions in writing, a Limited Work Certificate shall be issued.

The expected preference is to confirm instructions in writing. Note that verbal Instructions should only be used with an approved procedure.

**A3.2** When limiting the work or the work area is insufficient to achieve Safety from the System, it shall be achieved by applying the following precautions and issuing a Permit for Work before work commences:

- a) The Plant and/or HV Apparatus shall be released from service by the Control Person.
- b) The Plant and/or HV Apparatus shall be Isolated. When Isolating Devices are used they shall, where practicable, be immobilised and Locked.
- c) For work on HV Apparatus, Primary Earths shall be applied within the isolated zone and, where reasonably practicable, immobilised and Locked. A Caution Notice shall be attached to all primary earths.

Rules b) and c) illustrate the use of terms 'shall', 'where practicable' and 'where reasonably practicable' indicating the severity of the obligation to comply with requirements in the Rules.

- d) When Danger from induced voltages could arise during the course of the work, Drain Earths shall be applied and their application recorded in an earthing schedule. The number of Drain Earths issued shall be recorded on the Permit for Work.

An Approved Procedure will detail the location of the drain earths, and their application and location will be recorded on an Earthing Schedule.

- e) Any precautions required during the course of work to maintain Safety from the System shall be specified on the Permit for Work.

**A3.3** Limited testing, as detailed in code of practice "SR-CP22 limited testing under a permit for Work", is allowed under a Permit for Work, provided that Safety from the System is maintained.

Only testing as stated in the code of practice is allowed under a permit for work. Introduced hazards such as voltage injection are general hazard and as such, it is the Nominated Competent Persons responsibility to ensure that the appropriate measures are taken to protect persons working on or near the test from danger.



**A3.4** When work is to be carried out on Plant and/or HV Apparatus and it is necessary to restore a System hazard(s) for certain work, a Permit for Work with Restoration of System Hazards (PFW-ROSH) shall be used. Where a PFW-ROSH is used, an Approved Procedure, specifying the requirements necessary to maintain Safety from the System, shall be provided and observed.

A Permit for Work with Restoration of System Hazard (ROSH) is intended to allow the safe restoration of isolated supplies and their associated hazards when restoration of these Hazards is essential to complete the work. Examples of such work include fitting panels to a circulating water bandscreens, running on new crane ropes, balancing a fan or starting a jacking oil pump to allow the shaft to be rotated during coupling alignments.

Approved Restoration of System Hazard procedures require a high standard of preparation and must state the way in which the Persons concerned will be safeguarded from Danger during the period the system Hazards are restored. Nominated Competent Persons shall adhere to these procedures at all times during the work.

The system hazard supplies which may be restored must be isolated before the Permit for Work with Restoration of System Hazard is issued, and the associated Safety Keys handed to the recipient.

A Permit for Work with Restoration of System Hazard cannot be a card safe retained document.

It is not intended that a Permit for Work with Restoration of System Hazard be used for proving tests on Plant and Apparatus following maintenance. Such tests should be carried out in accordance with normal operating procedures after cancellation of the Safety Document or, where applicable, in accordance with Rule A4.

In general, a Permit for Work with Restoration of System Hazard is used for enabling the continuation of work on Plant (mechanical). A Sanction for Test is used for Electrical testing of High Voltage Apparatus to manage isolations or if the injection test voltage exceeds 1000 volts and limited work certificates are used for the testing of low voltage Apparatus.

**A3.5** When a PFW-ROSH is in place, no other Safety Documents shall be in force that exposes the working party(s) to Dangers resulting from the restoration of the System hazard(s).

A Permit for Work with Restoration of System Hazard cannot be issued if any point of isolation which can be restored, is listed as a point of isolation or stated as the Plant/Apparatus identification on any other safety document with the status of issued or surrendered. These safety documents must first be cancelled before the Permit for Work with Restoration of System Hazard can be issued.

If a surrendered safety document does not list the point of isolation which can be restored as a point of isolation or stated as the Plant/Apparatus identification, then this safety document in a surrendered state can be considered as not in force.

## A4 SAFETY PRECAUTIONS FOR TESTING PLANT AND HIGH VOLTAGE APPARATUS

Some testing of Plant and Apparatus is more appropriately dealt with as an operational matter and should not involve the application of the Safety Rules. Operational testing should be covered by approved procedures and applies when the Plant and Apparatus is in its normal mode, is not Isolated, and is under the control of the operational staff. Examples are floating of safety valves, boiler hydraulic testing, over speed testing of turbines and routine testing of water level alarms on boilers or testing of similar alarms and indicators.

**A4.1** When testing is to be carried out on Plant and/or HV Apparatus and the means of achieving Safety from the System is by limiting the testing, instructions clearly defining the limits shall be given. When it is considered necessary to confirm instructions in writing, a Limited Work Certificate shall be issued.

**A4.2** When limiting the testing is insufficient to achieve Safety from the System, it shall be achieved by applying the following precautions and issuing a Sanction for Test before testing is allowed to commence:

- a) The Plant and/or HV Apparatus on which the testing is to take place and the nature of the testing shall be defined on the Sanction for Test.
- b) The Plant and/or HV Apparatus shall be Isolated. When Isolating Devices are used to achieve Safety from the System they shall, where practicable, be immobilised and Locked. Essential supplies which are necessary for the testing to take place and which may be restored shall be defined on a Sanction for Test.

Points of Isolation or earths which may be restored for the testing must initially be Isolated, immobilised and Locked before the Sanction for Test can be issued. The keys to enable the restoration (de-Isolation or removal of earths) for the purpose of testing will be handed to the recipient of the Sanction for Test and not placed in the Key Safe. When testing supplies or earths are restored (or removed), the recipient must maintain Safety from the System as per the approved procedure, for example, by withdrawing staff as appropriate and by providing barriers. It is not intended that testing supplies for testing purposes would be at grid system High Voltages.

- c) For testing on HV Apparatus, Primary Earths shall be applied within the Isolated zone and shall, where reasonably practicable, be immobilised and Locked. A Caution Notice shall be attached to all primary earths.
- d) Primary Earths applied within the Isolated System, which may be removed to facilitate testing provided Safety from the System is maintained, shall be identified on the Sanction for Test.

**A4.3** When Danger from induced voltages could arise during the course of testing, Drain Earths shall be applied. An earthing schedule issued with the Sanction for Test shall be used to record the application and removal of any applied Drain Earths.

The application and location of each drain earth will be recorded on an Earthing Schedule.

**A4.4** Minor work that is essential to the completion of testing may be carried out under the terms of a Sanction for Test, provided that Safety from the System is maintained.

**A4.5** When a Sanction for Test is in place, no other Safety Documents shall be in force that exposes the Working Party(s) to Dangers resulting from the application of the test.

A Sanction for Test cannot be issued if a point of isolation or earth which can be restored (or removed) for testing is listed as a point of isolation, earth or stated as the Plant/Apparatus identification on any other safety document with the status of issued or surrendered.

These safety documents must first be cancelled before the Sanction for Test can be issued.

If a surrendered safety document does not list the point of isolation or earth which can be restored (removed) as a point of isolation, earth or stated as the Plant/Apparatus identification, then this safety document in a surrendered status can be considered as not in force.

**A4.6** The Authorised Person receiving the Sanction for Test shall:

- a) Personally instruct the removal and re-application of the identified safety precautions which may be varied for testing purposes.
- b) Be responsible for maintaining Safety from the System when safety precautions are varied for testing purposes.
- c) Provide Personal Supervision during the testing and be responsible for all matters of safety concerned with the test.

## A5 SAFETY PRECAUTIONS FOR WORK OR TESTING ON LOW VOLTAGE (LV) APPARATUS

**A5.1** When work or testing is to be carried out on LV Apparatus, precautions shall be taken to achieve Safety from the System.

**A5.2** Where reasonably practicable, the LV Apparatus shall be Isolated. When Isolating Devices are used, they shall, where reasonably practicable, be immobilised and Locked.

Where it is not reasonably practicable to isolate and where Danger may arise, work or testing on or near Live LV Apparatus is only allowed provided these three conditions are satisfied:

- a) It is unreasonable in all the circumstances for it to be dead.
- b) It is reasonable in all the circumstances for a Person to be at work on or near it while it is Live.
- c) Suitable precautions are taken to prevent injury.

The obligation to immobilise and lock Isolating Devices is still strong, but by the use of the words 'where reasonably practicable', some allowance is made for situations where the cost and effort are grossly disproportionate to the reduction in risk.

**A5.3** The work on or testing of LV Apparatus shall be carried out under a Permit for work when the LV apparatus will remain Isolated throughout the duration of the work or testing.

**A5.4** In the case of LV Apparatus greater than 250V, where it is not reasonably practicable to isolate it, or if, during the course of work or testing, it will be necessary to remove isolations, the work or testing shall be done under a Limited Work Certificate which shall specify the method of dealing with the hazards.

*Rule A5.4 requires that a Limited Work Certificate must be issued for all work or testing to be carried out on Live LV Apparatus where the normal operating voltage exceeds 250V and the LV apparatus has not been Isolated or will not remain isolated for the duration of the work or testing. The Limited Work Certificate shall specify any special precautions necessary in order to control the hazard.*

**A5.5** In the case of LV Apparatus less than 250V, where it is not reasonably practicable to isolate it, or if, during the course of work or testing, it will be necessary to remove isolations, the work or testing shall be carried out under

- a) A Limited Work Certificate; or
- b) A verbal instruction in conjunction with an Approved procedure, providing that the safety requirements are defined and their application is within the capability of the Nominated Competent Person who is to carry out the work or testing.

The option of a verbal instruction with the use of an approved procedure can be applied to activities such as routine inspection, testing and minor repairs on instrumentation or lighting systems, where the necessary safety precautions will be applied by the Nominated Competent Person. It is essential that the Nominated Competent Person is thoroughly familiar with the safety requirements, which should be available for reference, for instance as part of the work specification.

## A6 OPERATION OF PLANT AND APPARATUS

The operation of Plant and/or Apparatus to achieve Safety from the System shall never involve pre-arranged signals or the use of time intervals.

This Rule applies only when Plant and Apparatus is being operated towards achieving Safety from the System. It is not intended to prevent normal operation of Plant and Apparatus where the nature of operations sometimes necessitates pre-arranged signals and understandings being used.

## A7 DEMARCATION OF WORK AREAS

The work area shall be defined clearly and, where necessary, protected physically, to safeguard Persons in the work area from System hazards.

The work area must be clearly defined where there are System dangers arising from adjacent areas. In this context, it is not intended that adjacent Plant in its normal operating mode should be considered a danger unless there are particular circumstances causing concern, e.g. the possible infringement of Minimum Approach Distances. Within most plant areas, operating machinery and equipment will be deemed to be safe by virtue of its design. Persons having reason to be in these areas will have been made aware of the dangers of interfering with operating plants during their site induction. It is also important that the work area is so defined that Persons approaching it can recognise its entry and that it is a defined safe work area.

The Codes of Practice give specific advice on the demarcation of safe and dangerous areas in High Voltage switchyards. Demarcation in other situations where safety may be enhanced should be risk assessed.

In the majority of circumstances, it will be sufficient to identify the Plant and Apparatus on the Safety Document. It should be noted, however, that it may be necessary to clearly define those areas with barriers, signage etc., so that the Person carrying out the work cannot mistakenly start work on similar adjacent Plant and Apparatus which may be in service or still contain inherent dangers.

Serious accidents have occurred during work on metal-clad switchgear when the wrong cover has been removed, particularly at the rear of the switchgear resulting in unexpected access to live conductors. During such work, Danger Notices should be posted on live panels adjacent to the work area.

## A8. IDENTIFICATION OF PLANT AND APPARATUS

Work or testing shall only be permitted on Plant and/or Apparatus which is readily identifiable or which has a means of identification fixed to it, and which will remain effective throughout the course of the work or testing.

Nominated Competent Persons shall only allow work to start when they are satisfied that the correct Plant and/or Apparatus has been identified.

Plant and Apparatus shall be readily identifiable. In order that the means of identification shall remain effective throughout the course of the work or testing, it may be necessary to apply temporary identification (labels) to the Plant and/or Apparatus to comply with this Rule.

## PART B

# PROCEDURES FOR SAFETY DOCUMENTS AND KEYS

### B1 GENERAL

**B1.1** Part B of the Rules gives the procedures associated with the Safety Documents and Keys. Safety documents include Permit for Work including Permits for Work -Restoration of System Hazard, Limited Work Certificate and Sanction for Test. See Section B6 for samples of the forms.

Persons involved in these procedures must understand and enact their respective roles correctly. See Part C for roles and responsibilities.

All Persons having roles in the procedures described in Part B of the Rules must be suitably informed of their role, and where necessary, trained in the application of the procedures at their location.

**B1.2** The details of meeting the objectives, responsibilities and requirements of Part B shall be specified in Guidance documents, Approved procedures and Local Management Instructions where required.

**B1.3** For the purposes of enabling more than one Working Party to work under a single appropriate Safety Document, the method of retaining a Safety Document is divided into two categories:

- a) Personally Retained - Safety Documents which shall be retained personally by the recipient who takes over complete charge of the work or testing and any Persons working under the terms of the document. When a personally retained safety document is transferred, the reissue must be done by a Senior Authorised Person.
- b) Card Safe Retained - Safety Documents which are retained by Nominated Supervisors in a Locked Card Safe. Multiple Working Parties may be set to work under a Card Safe retained Safety Document. The Nominated Competent Person maintains their responsibilities under these rules by the application and removal of Nominated Competent Person locks and the completion of the associated Card Safe documentation.

**B1.4** Site Emergency. In the event of an emergency site evacuation all personnel must stop work and report directly to the designated assembly point.

The Senior Authorised Person shall contact the Site Emergency Response Team (SERT) team leader to determine the type of emergency which has occurred to be able to assess if there is any impact on issued Safety Documents. When the evacuation all clear is sounded the Nominated Supervisor and/or Nominated Competent Persons shall stand their work crews down and report to the Senior Authorised Person to get confirmation that it is safe to return to the work area. The Senior Authorised Person will confirm that it is either:

- a) safe to return to the work area, or



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- b) that Safety Documents need to be returned as changes to the plant by Operations may need to be made or changes to Safety Documents need to be made to re-establish safety from the system.

This applies to Safety Documents that are either Personally Held or Cardsafe retained.

## B2 PERMIT FOR WORK

### B2.1 PREPARATION

**B2.1.1** When an Authorised Person is responsible for applying safety precautions prior to the issue of a Permit for Work, a record of the safety precautions taken will be completed and signed.

A number of Authorised Persons may be involved in the application of safety precautions and each will complete and sign a record. The Isolation list from Nisoft Eclipse is the appropriate record for this purpose.

However, if the Senior Authorised Person preparing the Permit for Work acts as the Authorised Person and either personally carries out the safety precautions or personally checks that each safety precaution has been carried out. Then signing section 2 of the Safety Document will be a sufficient record

A non-Authorised Person can physically apply safety precautions under the instructions of an Authorised or Senior Authorised person. For example, it is acceptable for a Person who is not an Authorised Person to be instructed by a Senior Authorised Person to apply mechanical isolations such as closing and locking valves as a part of their normal operational duties. In this situation the Senior Authorised Person signing Section 2 of the Safety Document carries the full responsibility for the accuracy, effectiveness and security of the applied isolations, and should thoroughly satisfy themselves of the effective application of isolations prior to signing Section 2 of the safety document.

**B2.1.2** The Senior Authorised Person will place the appropriate Keys in a Key Safe, which shall be Locked by a Key Safe Key.

**B2.1.3** The Senior Authorised Person shall secure the Key Safe by using the Control Key.

The Senior Authorised Person must always lock the Key Safe with a Control Key. Control Keys for Key safes are common keys, but they are only issued to Senior Authorised Persons.

**B2.1.4** When the Senior Authorised Person considers it necessary, a report shall be obtained from a Selected Person on any additional precautions required to remove or prevent Danger.

The responsibility for specifying the safety precautions to be taken to overcome special hazards rests with the Selected Person. The Selected Person will make recommendations to the Senior Authorised Person who must finally decide the actions to be taken to implement such recommendations.

The Selected Person must understand that they are responsible for the correctness of their recommendations and that they must inform the Senior Authorised Person if they believe they may not be competent to advise on some hazards

**B2.1.5** The Senior Authorised Person shall state any precautions to be taken during the course of work to maintain Safety from the System in Section 2 of the Permit. These should include precautions arising from a Selected Person's report or an Approved Procedure.

It is not sufficient to only state system dangers (hazards); the precautions to be taken to provide safety from the system dangers must also be stated.

Additional precautions may include instructions on the sequence or method of work, the avoidance of hazards from adjacent Plant and Apparatus, the wearing of personal protective equipment or clothing, or the provision of ventilation, where any of these are necessary to maintain Safety from the System. Reference may also be made to Local Management Instructions, but the documents in question must be available to the recipient. It may be necessary to issue copies of these documents with the Permit for Work.

When issuing a Permit for Work with Restoration of System Hazard, an Approved procedure will also be issued. It is sufficient for the Senior Authorised Person when completing Section 2 of the Permit for Work to identify the procedure to be used and to require the precautions defined in that procedure to be taken. If the Senior Authorised Person considers that additional precautions to those specified in the procedure need to be applied, then the additional precautions should also be entered in Section 2 of the Permit for Work.

**B2.1.6** The Senior Authorised Person shall complete Sections 1 and 2 of the Permit for Work, obtaining from the appropriate Authorised Person(s) and/or Control Person(s) the details and confirmation of safety precautions taken.

The preparation and issue responsibilities of the Permit for Work can be completed by two different Senior Authorised Persons, for example on different shifts, but the responsibility for ensuring safety from the system has been achieved is with the Senior Authorised Person who confirms Safety from the System has been achieved, by signing Section 2 of the Permit for Work.

Once a Safety Document has been confirmed, the safety precautions applied may not be removed until the Permit for Work is cancelled even though it may not have been issued. This may be the case where an assurance is used across operational boundaries. The Permit for Work may not be issued, but the safety precautions are assured to the other party.

On completion of Section 2 and if the permit for Work is not to be issued immediately, it is the responsibility of the Senior Authorised Person to maintain safe custody of the Permit for Work, associated documents and keys. Provision should be made at each location for safe custody. Documents and keys held in safe custody must be properly accounted for and handed over at shift changeovers.

**B2.1.7** When Drain Earths are required, the number of Drain Earths to be issued shall be recorded in Section 3 and an associated Earthing Schedule provided.

**B2.1.8** At the time of signing Section 2, the Senior Authorised Person shall enter where applicable, the following details into Section 3 of the document; the Earthing Schedule, and any other items which are to be issued with the Permit for Work.

## B2.2 ISSUE AND RECEIPT

**B2.2.1** The Senior Authorised Person shall complete Section 3 and shall issue the Permit for Work together with the Key Safe Key. Items listed on the Permit for Work including, if required, an Approved procedure for the PFW-ROSH will also be issued.

It is a requirement of the Rules that the recipient of a Safety Document attends a face-to-face briefing with the issuing Senior Authorised person.

Personally retained documents are issued to the Nominated Competent Person who is in charge of the work.

The number of Safety documents that a Nominated Competent Person may hold at any one time is not defined within the rules, but the ability to maintain their responsibilities for general safety and supervision must not be degraded.

Card Safe retained documents once issued to a Nominated Competent Person shall then be secured in a card Safe by a Nominated Supervisor.

**B2.2.2** When a PFW-ROSH is issued, those Keys necessary to meet the terms and conditions of the PFW-ROSH shall be handed over to the recipient or managed as per the Approved Procedure.

The Senior Authorised Person will ensure that only the current and approved versions of the procedure for the Restoration of System Hazards are issued with the safety Document

**B2.2.3** The recipient shall sign Section 4 and take it into safe custody together with the items issued.

This applies to personally retained Safety Documents. For Card Safe retained Safety Documents the Nominated Competent Person will take the document and key safe key to a Nominated Supervisor for securing in a Card Safe

**B2.2.4** A Permit for Work shall be personally retained after issue when:

- a) The work is on exposed HV conductors and Danger from induced voltages could arise during the course of the work.
- b) It is a PFW-ROSH.
- c) A Senior Authorised Person deems the Safety Document is to be personally held.

The recipient of a personally retained Permit for Work shall retain it and the Key Safe Key. Whilst work under the Permit for Work is in progress, further Persons may work under the Permit for Work only after they have reported to the recipient of that Permit for Work. The recipient of the Permit for Work shall be satisfied that they understand the limits of the work and requirements imposed by the Permit for Work before giving permission for them to commence work under their charge within their Working Party. These Persons shall report to the recipient of the Permit for Work the status of their work when it is completed or discontinued.

Recipients of personally retained Safety Documents should retain the Safety Document and attachments securely in their personal possession. When a Working Party is first set to work under a Permit for Work, recipients have a clear responsibility to instruct the Persons working under their charge to comply with any conditions, instructions or limits specified on the Permit for Work.

**B2.2.5** When a Permit for Work is retained in a Card Safe, the initial Nominated Competent Person and subsequent Nominated Competent Persons may work under the terms of the Safety Document, provided the following conditions are complied with:

- a) Before work commences, the Permit for Work and Key Safe Key shall be secured in the Card Safe by a Nominated Supervisor's lock, which shall remain in position until the Permit for Work is cancelled. The key for the Nominated Supervisor's lock shall be retained in safe custody by the Nominated Supervisor for the duration of the Permit.
- b) Before Work commences, the initial Nominated Competent Person shall be instructed by a Nominated Supervisor who has sufficient knowledge of the work to be done and of the Permit for Work. The Nominated Supervisor shall ensure that the Nominated Competent Person reads and understands the Permit for Work. After which, the Nominated Competent Person shall additionally secure the Permit for Work and the Key Safe Key in the Card Safe by applying a Nominated Competent Person lock and retaining the key in safe custody. The Nominated Competent Person shall then sign a declaration that they have read and understood the limits of the work and the requirements imposed by the Permit for Work. The Nominated Competent Person's lock number shall also be recorded on the declaration form.
- c) Each subsequent Nominated Competent Person in charge of a Working Party shall, before commencing work, be instructed by a Nominated Supervisor who has sufficient knowledge of the work to be done and of the Permit for Work. The Nominated Supervisor shall ensure that the Nominated Competent Person reads and understands the Permit for Work.

Once a card safe retained safety document has been secured in a card safe, the Nominated Supervisor who has sufficient knowledge of the work to be done and the Permit for Work, takes over the responsibilities for setting additional working parties to work under that safety document. In each case the Nominated Supervisor shall ensure the Nominated Competent Person fully understands the work to be done, the limits of the Work/Area and the requirements imposed by the permit before allowing the Nominated Competent Person to sign on to the card safe retained safety document.

A Nominated Supervisor setting subsequent NCPs to work under a card safe retained safety document shall have had a prior discussion with a Senior Authorised Person to ensure that the NS understands the limits of the work/area and the requirements imposed by the safety document. A Location Manager may determine for a particular site that the discussion between the NS and SAP is discretionary rather than mandatory.

If either the Nominated Supervisor or the Nominated Competent Person do not have sufficient knowledge of the work to be done, the limits of the Work/Area and the requirements imposed by the permit, then the Nominated Supervisor and the Nominated Competent Person shall ask the Senior Authorised Person for clarification.

A Nominated Supervisor must verify that the work to be done is covered by the Safety Document. This can be done by cross-referencing Work Order numbers as specified in Section 1 of the Permit for Work. If the Work Order number is not on the Safety Document, then the Nominated Competent Person must not be set to work under that document.

There may be more than one Nominated Supervisor setting to work on the same card Safe retained Safety Document.

- d) Each subsequent Nominated Competent Person shall, before starting work, secure the Card Safe by applying a Nominated Competent Person lock, filling in the declaration form and retaining the key in safe custody. The Nominated Competent Person shall sign the declaration that they have read and understood the limits of the work and the requirements imposed by the Permit for Work.

This declaration is initialled by the Nominated Supervisor who is setting the Nominated Competent Person to work under that Safety Document. This is considered part of the overall Setting to Work process.

- e) On completion of the work, the Nominated Competent Person shall ensure that their Working Party has been instructed to discontinue work and has been withdrawn. If so, they may remove their Nominated Competent Person lock from the Card Safe. Where appropriate, they shall also sign to confirm they have removed all tools, gear and loose material, and replaced all guards and access doors for this particular part of the work, or state any exceptions.

The Nominated Competent Person lock shall be removed at the end of each work period and any exceptions shall be noted on the declaration form. If the work is not complete it is acceptable to use 'WIP' (work in progress) for the exception.

When clearing a card Safe retained document, the Nominated Supervisor will remove the Safety Document from the Card Safe and transfer the exceptions to section 5 of the safety Document. The clearance section is then signed by a Nominated Competent Person.

**B2.2.6** When an Earthing Schedule is provided, the number of Drain Earths issued shall be recorded on the Permit for Work.

An Earthing Schedule should specify where and when Drain Earths are to be applied. The schedule should include the application of Drain Earths by both fixed and portable Earthing Devices as appropriate. A copy should be retained by the Senior Authorised Person for reference. The Earthing Schedule should identify the Apparatus and the work as they are identified on the Permit for Work and should be marked with the associated Permit for Work number.

## **B2.3 TRANSFER**

**B2.3.1** A Personally Retained Permit for Work shall be transferred in the following manner:

- a) Part 1 of the Transfer Record shall be completed by the recipient of the Permit for Work. The Permit shall be surrendered to a Senior Authorised Person for retention in safe custody together with any documents, Keys, and where relevant, items listed on the Permit for Work;
- b) When the transfer procedure is to be enacted, a Senior Authorised Person shall discharge the same responsibilities to the new recipient of the Permit for Work as if the Permit for Work was being issued initially. The new recipient shall then complete the relevant section of Part 2 of the Transfer Record in the presence of the Senior Authorised Person;



- c) The Senior Authorised Person shall complete the relevant section of Part 2 of the Transfer Record confirming completion of the transfer.

## **B2.4 CLEARANCE AND CANCELLATION**

- B2.4.1** When work has been completed or when a Senior Authorised Person requires a Permit for Work to be cancelled, a Nominated Competent Person shall sign Section 5. This Section confirms all Persons working under the Permit have been withdrawn from the Plant and/or Apparatus and warned not to continue working on it. It also clarifies whether the work site has been cleared of all tools, gear, Drain Earths and loose material and whether or not all guards and access doors have been replaced. The Permit for Work, together with any associated Keys, Earthing Schedule, Approved procedure or Selected Person's report shall be handed over to the Senior Authorised Person. Any Drain Earths issued shall be accounted for or handed over.
- B2.4.2** The Senior Authorised Person shall advise the Control Person(s) of the completion of work and of any restrictions on returning the Plant and/or Apparatus to service, and then cancel the Permit for Work by signing Section 6.

## **B3 SANCTION FOR TEST**

The guidance given for the Permit for Work will also apply to the Sanction for Test when the Rules are identical. Additional guidance on the procedures for the Sanction for Test is given below.

### **B3.1 PREPARATION**

- B3.1.1** On completion of the safety precautions taken to achieve Safety from the System and prior to the issue of the Sanction for Test, the Authorised Person responsible shall complete and sign a record of the safety precautions taken.
- B3.1.2** The Senior Authorised Person will place the appropriate Keys in a Key Safe, which shall be Locked by a Key Safe Key.
- B3.1.3** The Senior Authorised Person shall also secure the Key Safe by using the Control Key.
- B3.1.4** When the Senior Authorised Person considers it necessary, a report shall be obtained from a Selected Person on any precautions required to remove or prevent Danger.
- B3.1.5** The Senior Authorised Person shall state any precautions to be taken during the course of testing to maintain Safety from the System in Section 2 of the Sanction for Test.
- B3.1.6** The Senior Authorised Person shall complete Sections 1 and 2 of the Sanction for Test, obtaining from the appropriate Authorised Person(s) and/or Control Person(s) the details and confirmation of safety precautions taken.

The Sanction for Test is to be confirmed and issued by the same Senior Authorised Person.

## B3.2 ISSUE AND RECEIPT

B3.2.1 The Senior Authorised Person shall complete Section 3.

**B3.2.2** When Drain Earths are required, the number of Drain Earths issued shall be recorded on the Sanction for Test and an associated Earthing Schedule provided.

B3.2.3 The Senior Authorised Person shall complete Section 3 and shall issue it together with the Key Safe Key and those items listed in Section 3.

**B3.2.4** Those Keys which allow operation of Plant and/or Apparatus, restoration of testing supplies or changes to safety precautions as defined on the Sanction for Test shall be handed over to the recipient.

**B3.2.5** A Sanction for Test Certificate shall be personally retained and the recipient shall sign Section 4 and take it into safe custody together with the items issued.

A Sanction for Test shall only be personally retained. This type of Safety Document shall not be retained in a Card Safe.

## B3.3 TRANSFER

**B3.3.1** When testing is continued by an Authorised Person other than the initial recipient, the initial recipient transfers the testing to that new Person under the Personal Supervision of a Senior Authorised Person. The Senior Authorised Person shall discharge the responsibilities to the new Person as if the document was being issued initially. Alternatively, the Senior Authorised Person shall clear and cancel the Sanction for Test and issue a new one.

The transfer of a Sanction for Test shall only be done in the presence of the new recipient, the previous recipient and the Senior Authorised Person, otherwise the document must be cancelled.

**B3.3.2** After the recipient has transferred the Sanction for Test together with any documents, Keys and, as appropriate, items listed on the Sanction for Test to the new recipient, Parts 1 and 2 of the Transfer Record shall be signed by the old and new recipients respectively.

**B3.3.3** The Senior Authorised Person shall complete the relevant section of Part 2 of the Transfer Record confirming completion of the transfer.

## B3.4 CLEARANCE AND CANCELLATION

**B3.4.1** When testing has been completed or when a Senior Authorised Person requires the Sanction for Test to be cancelled, an Authorised Person shall sign Section 5 confirming that all Persons testing under the Sanction for Test have been withdrawn from and warned not to continue testing on the Plant and/or Apparatus described in Section 1, certifying whether or not the site of testing has been cleared of all tools, gear, Drain Earths and loose material and whether or not all guards and access doors have been replaced. Also, all exceptions to the condition of the system under test compared to the condition at the time of issue of the Sanction for Test shall be fully specified. The Sanction for Test, appropriate Keys, any Selected Person's report and Earthing Schedule with the correct number of Portable Drain Earths, shall be returned to the Senior Authorised Person.



**B3.4.2** The Senior Authorised Person shall inform the Control Person(s) of the completion of testing, any changes to the condition of the System concerned and any restrictions on returning the Plant and/or Apparatus to service, and then cancel the Sanction for Test by signing the cancellation section (Section 6).

## B4 LIMITED WORK CERTIFICATE

The guidance given for the procedures for the Permit for Work will also apply to the Limited Work Certificate when the Rules are identical.

### B4.1 PREPARATION

- B4.1.1** On completion of any safety precautions which are considered necessary to supplement written instructions for achieving Safety from the System, the Authorised Person(s) responsible shall complete and sign a record of the safety precautions taken.
- B4.1.2** Where appropriate, Keys shall be placed in a Key Safe, which shall be Locked by a Key Safe Key. The Senior Authorised Person shall secure the Key Safe by using the Control Key.
- B4.1.3** The Senior Authorised Person shall define the limits to the work, testing or work area necessary to achieve Safety from the System in Section 2(i), together with the details of any safety precautions which have been applied.
- B4.1.4** When the Senior Authorised Person considers it necessary, a report shall be obtained from a Selected Person on any additional precautions required to remove or prevent Danger.
- B4.1.5** The Senior Authorised Person shall state any precautions to be taken during the course of work or testing to maintain Safety from the System in the further precautions section. These shall include precautions arising from a Selected Person's report.
- B4.1.6** The Senior Authorised Person shall complete Sections 1 and 2, obtaining when appropriate from the Authorised Person(s) the details and confirmation of the safety precautions taken.
- B4.1.7** At the time of signing the precautions section (Section 2), the Senior Authorised Person shall enter the following details in the issue section (Section 3) as appropriate: the Key Safe Key, the Safety Key(s), the Selected Person's report and any other items to be issued with the Limited Work Certificate.

### B4.2 ISSUE AND RECEIPT

- B4.2.1** When the work or testing associated with a Limited Work Certificate could affect operating Plant and/or Apparatus, the Senior Authorised Person shall obtain the Control Person's agreement to the work or testing.
- B4.2.2** A Senior Authorised Person shall sign Section 3 and shall issue the limited Work certificate together with any Keys, Selected Person's report and other associated items.
- B4.2.3** A personally retained Limited Work Certificate shall be issued when:

The work or testing is on or near exposed HV conductors, or

A Senior Authorised Person has deemed the Safety Document is to be personally held.

The recipient of a personally retained Limited Work Certificate shall retain it and the Key Safe Key. Whilst work or testing under the Limited Work Certificate is in progress, further Persons may work under the Limited Work Certificate only after they have reported to the recipient of that Limited Work Certificate. The recipient of the Limited Work Certificate shall be satisfied that they understand the limits of the work or testing and the requirements imposed by the Limited Work Certificate, before giving permission for them to commence

work under their charge and within their Working Party. These Persons shall report to the recipient of the Limited Work Certificate the status of their work when it is completed or discontinued.

**B4.2.4** When a Limited Work Certificate is retained in a Card Safe, subsequent Nominated Competent Persons may carry out work or testing under the terms of the Safety Document provided the following terms are complied with:

- a) Before work or testing commences, the Limited Work Certificate and, if applicable, Key Safe Key shall be secured in the Card Safe by a Nominated Supervisor's lock, which shall remain in position until the Limited Work Certificate is cancelled. The key for the Nominated Supervisor's lock shall be retained in safe custody by the Nominated Supervisor for the duration of the Certificate.
- b) Before work or testing commences the initial Nominated Competent Person shall be instructed by a Nominated Supervisor who has sufficient knowledge of the work or testing to be done and of the limitations of the Limited Work Certificate. The Nominated Supervisor shall ensure that the Nominated Competent Person reads and understands the Limited Work Certificate. After which, the Nominated Competent Person shall additionally secure the Certificate and the Key Safe Key in the Card Safe by applying a Nominated Competent Person lock and retaining the key in safe custody. The Nominated Competent Person shall then sign a declaration that they have read and understood the limits of the work and the requirements imposed by the Limited Work Certificate. The Nominated Competent Person's lock number shall also be recorded on the declaration form.
- c) Each subsequent Nominated Competent Person in charge of a Working Party shall, before commencing work, be instructed by a Nominated Supervisor who has sufficient knowledge of the work to be done and of the Limited Work Certificate. The Nominated Supervisor shall ensure that the Nominated Competent Person reads and understands the Certificate.
- d) Each subsequent Nominated Competent Person shall, before starting work, secure the Card Safe by applying a Nominated Competent Person lock, filling in the declaration form and retaining the key in safe custody. The Nominated Competent Person shall sign the declaration that they have read and understood the limits of the work and the requirements imposed by the Limited Work Certificate.
- e) On completion of the work, the Nominated Competent Person shall, ensure that their Working Party has been instructed to discontinue work and has been withdrawn. If so, they may remove their Nominated Competent Person lock from the Card Safe. Where appropriate, they shall also sign to confirm they have removed all tools, gear and loose material, and replaced all guards and access doors for this particular part of the work, or state any exceptions.

## **B4.3 TRANSFER**

**B4.3.1** A personally retained Limited Work Certificate shall be transferred in the following manner:

- a) Part 1 of the Transfer Record shall be completed by the recipient of the Limited Work Certificate. The Limited Work Certificate shall be surrendered to a Senior Authorised

Person for retention in safe custody together with any documents, Keys, and where relevant, items listed on the Limited Work Certificate.

- b) When the transfer procedure is to be enacted, a Senior Authorised Person shall discharge the same responsibilities to the new recipient of the Limited Work Certificate as if it was being issued initially. The new recipient shall then complete the relevant section of Part 2 of the Transfer Record in the presence of the Senior Authorised Person.
- c) The Senior Authorised Person shall complete the relevant section of Part 2 of the Transfer Record confirming completion of the transfer.

## **B4.4 CLEARANCE AND CANCELLATION**

**B4.4.1** When work or testing has been completed, or when a Senior Authorised Person requires the Limited Work Certificate to be cancelled, a Competent Person shall sign the clearance section (Section 5). This section confirms all Persons working or testing under the Certificate have been withdrawn from the Plant and/or Apparatus and warned not to continue working on or testing it. It also clarifies whether the test site has been cleared of all tools, gear and loose material, and whether all guards and access doors have been replaced. The Certificate together with any Keys, documents or other items issued with it shall be handed over to the Senior Authorised Person.

**B4.4.2** The Senior Authorised Person shall advise the Control Person(s) of the completion of work or testing and of any restrictions on returning the Plant and/or Apparatus to service, and then cancel the Limited Work Certificate by signing Section 6.

## **B5. SAFETY DOCUMENT INSTRUCTIONS**

This section describes general instructions that apply to all Safety Documents, followed by instructions that are specific to individual documents.

### **General**

**B5.1** Work or testing under the authority of a Safety Document shall be limited to that specified in the document and only Safety Documents as defined in these Rules shall be used.

The Nominated Competent Person or Authorised Person in charge of the work or testing must ensure that only activities specified on the Safety Document are carried out.

**B5.2** All Safety Documents shall be prepared, issued and cancelled by a Senior Authorised Person. The transfer of Personally Retained Safety Documents shall also be given Personal Supervision by a Senior Authorised Person.

**B5.3** If a Senior Authorised Person needs to access a Key Safe while a Safety Document is being transferred, the Safety Document must be cancelled before the Key Safe is accessed.

Under no circumstances can a Senior Authorised Person access any safety precautions, Key safe Keys or points of Isolation on a surrendered or issued safety Document.

### **Permit for Work**

**B5.4** A Permit for Work shall be received, cleared and transferred by a Nominated Competent Person.

- B5.5** When a Permit for Work is in force which allows system hazard(s) to be restored, no other Safety Documents shall be in force that exposes the Working Party(s) to Dangers resulting from the restoration of the system hazard(s).

A Permit For Work Restoration of System Hazard cannot be issued if a point of isolation which can be restored, is listed as a point of isolation or as the stated Plant/Apparatus identification on any other safety document with the status of issued or surrendered.

These safety documents must first be cancelled before the Permit for Work Restoration of System Hazard can be issued.

If a surrendered safety document does not list the point of isolation which can be restored, as a point of isolation or as the stated Plant/Apparatus identification, then this safety document can be considered as not in force.

## **Sanction for Test**

- B5.6** A Sanction for Test shall be received, cleared and transferred by an Authorised Person.

- B5.7** When a Sanction for Test is in force on Plant and/or HV Apparatus, no other Safety Documents shall be in force that exposes the Working Party(s) to Dangers resulting from the restoration of the System hazard(s).

A Sanction for Test cannot be issued if a point of isolation which can be removed for the test, is listed as a point of isolation or as the stated Plant/Apparatus identification on any other safety document with the status of issued or surrendered.

These safety documents must first be cancelled before the Sanction for Test can be issued.

If a surrendered safety document does not list the point of isolation which can be removed, as a point of isolation or as the stated Plant/Apparatus identification, then this safety document can be considered as not in force.

## **Limited Work Certificate**

- B5.8** A Limited Work Certificate shall be received, cleared and transferred by a Nominated Competent Person.

# **B6 FORM OF SAFETY DOCUMENTS**

## **Permit for Work**

### **Permit for Work with Restoration of System Hazard (ROSH)**

## **Limited Work Certificate**

## **Sanction for Test**

This section of the Safety Rules Handbook shows examples of each Safety Document.



PERMIT FOR WORK

No.

KEY SAFE

No.\*

## CONTACT ENERGY

### GENERATION SAFETY RULES

1. (i) **PLANT/APPARATUS IDENTIFICATION :**

(ii) WORK ORDER NO:

(iii) WORK TO BE DONE :

2. (i) **PRECAUTIONS TAKEN TO ACHIEVE SAFETY FROM THE SYSTEM:** (State points at which **Plant /Apparatus** has been **Isolated** and specify position(s) of **Earthing Devices** applied. State actions taken to avoid **Danger** by draining, venting, purging and containment or dissipation of stored energy.)

**Caution Notices** have been fitted to all points of isolation.

(ii) **FURTHER PRECAUTIONS TO BE TAKEN DURING THE COURSE OF WORK TO AVOID SYSTEM DERIVED HAZARDS :**

I certify that the precautions in Section 2(i), together with the precautions in Section 2 (ii), are adequate to provide **Safety from the System** in respect of the work in Section 1.

Signed \_\_\_\_\_ Being a **Senior Authorised Person** Time \_\_\_\_\_ Date \_\_\_\_\_

3. **ISSUE:**

(i) **Key Safe Key** (No.)\*

(ii) **Selected Person's Report** (No.)\*

(iii) **Earthing Schedule** (No.)\*

(iv) Other items\*

Signed \_\_\_\_\_ Being the **Senior Authorised Person**  
responsible for the issue of this document Time \_\_\_\_\_ Date \_\_\_\_\_

4. **RECEIPT:** I understand and accept my responsibilities under this document and acknowledge receipt of the items in Section 3

Signed \_\_\_\_\_ Name (Block Letters) \_\_\_\_\_

being a **Nominated Competent Person** in the employ of

Firm/Dept : \_\_\_\_\_ Time \_\_\_\_\_ Date \_\_\_\_\_

\* N/A if not applicable

Time Date

Time Date

[illegible]

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LIMITED WORK CERTIFICATE

No.

KEY SAFE

No.\*

## CONTACT ENERGY

### GENERATION SAFETY RULES

1. (i) **PLANT/APPARATUS** IDENTIFICATION :

(ii) WORK ORDER NO:

(iii) WORK TO BE DONE :

2. (i) LIMITS OF WORK/TESTING OR WORK AREA OR OTHER PRECAUTIONS TAKEN TO ACHIEVE SAFETY FROM THE SYSTEM

**Caution Notices** have been fitted to all points of isolation.

(ii) FURTHER PRECAUTIONS TO BE TAKEN DURING THE COURSE OF WORK TO AVOID SYSTEM DERIVED HAZARDS :

I certify that the precautions in Section 2(i), together with the precautions in Section 2 (ii), are adequate to provide **Safety from the System** in respect of the work in Section 1.

Signed \_\_\_\_\_ Being a **Senior Authorised Person** Time \_\_\_\_\_ Date \_\_\_\_\_

3. ISSUE:

(i) **Key Safe Key** (No.)\*

(ii) **Safety Keys** (No. off)\*

(iii) **Selected Person's Report** (No.)\*

(iv) Other items\*

Agreement of the **Control Person(s)** has been obtained for the work/testing in Section 1.\*  
(Only required if the work/testing could affect operating **Plant** and or **Apparatus**.)

Signed \_\_\_\_\_ Being the **Senior Authorised Person**  
responsible for the issue of this document Time \_\_\_\_\_ Date \_\_\_\_\_

4. RECEIPT: I understand and accept my responsibilities under this document and acknowledge receipt of the items in Section 3

Signed \_\_\_\_\_ Name (Block Letters) \_\_\_\_\_

being a **Nominated Competent Person** in the employ of  
Firm/Dept : \_\_\_\_\_

Time \_\_\_\_\_ Date \_\_\_\_\_

\* N/A if not applicable



Time Date

Time Date

[illegible]



## LIMITED WORK CERTIFICATE WITH RESTORATION OF SYSTEM HAZARD

**KEY SAFE**

No.

No.\*

### CONTACT ENERGY

### GENERATION SAFETY RULES

1. (i) **PLANT/APPARATUS IDENTIFICATION :**

(ii) WORK ORDER NO:

(iii) WORK TO BE DONE :

2. (i) PRECAUTIONS TAKEN TO ACHIEVE SAFETY FROM THE SYSTEM (State points at which **Plant/ Apparatus** has been **Isolated** and specify position(s) of **Earthing Devices** applied. State actions taken to avoid **Danger** by draining, venting, purging and containment or dissipation of stored energy.)

**Caution Notices** have been fitted to all points of isolation.

(ii) PRECAUTIONS WHICH MAY BE RESTORED

(iii) FURTHER PRECAUTIONS TO BE TAKEN DURING THE COURSE OF WORK TO AVOID SYSTEM DERIVED HAZARDS :

I certify that the precautions in Section 2(i), together with the precautions in Section 2 (iii), and the **Approved** Restoration of System Hazard (ROSH) are adequate to provide **Safety from the System** in respect of the work in Section 1.

Signed \_\_\_\_\_ Being a **Senior Authorised Person** Time \_\_\_\_\_ Date \_\_\_\_\_

3. ISSUE:

(i) **Key Safe Key** (No.)\*

(ii) **Approved ROSH Procedure** (No)\*

(iii) **Selected Person's Report** (No.)\*

(iv) Other items\*

Agreement of the **Control Person(s)** has been obtained for the work/testing in Section 1.\*  
(Only required if the work/testing could affect operating **Plant** and or **Apparatus**.)

Signed \_\_\_\_\_ Being the **Senior Authorised Person**  
responsible for the issue of this document Time \_\_\_\_\_ Date \_\_\_\_\_

4. RECEIPT: I understand and accept my responsibilities under this document and acknowledge receipt of the items in Section 3

Signed \_\_\_\_\_ Name (Block Letters) \_\_\_\_\_

being a **Nominated Competent Person** in the employ of

Firm/Dept : \_\_\_\_\_ Time \_\_\_\_\_ Date \_\_\_\_\_

\* N/A if not applicable

Time Date

Time Date

[illegible]



**SANCTION FOR TEST**

No.

**KEY SAFE**

No.\*

## CONTACT ENERGY

### GENERATION SAFETY RULES

1. (i) **PLANT/APPARATUS IDENTIFICATION :**

(ii) WORK ORDER NO:

(iii) WORK TO BE DONE :

2. (i) **PRECAUTIONS TAKEN TO ACHIEVE SAFETY FROM THE SYSTEM** (State points at which **Plant/ Apparatus** has been **Isolated** and specify position(s) of **Earthing Devices** applied. State actions taken to avoid **Danger** by draining, venting, purging and containment or dissipation of stored energy.)

**Caution Notices** have been fitted to all points of isolation.

(ii) **SAFETY PRECAUTIONS WHICH MAY BE CHANGED BY THE RECIPIENT.** State points of isolation, including the position of **Earthing Devices** and sources of test supplies, which may be restored for the purpose of testing

(iii) **FURTHER PRECAUTIONS TO BE TAKEN DURING THE COURSE OF WORK TO AVOID SYSTEM DERIVED HAZARDS :**

3. **ISSUE:**

(i) **Key Safe Key** (No.)\*

(ii) **Safety Keys** (No. off)\*

(iii) **Selected Person's Report** (No.)\*

(iv) Other items\*

Agreement of the **Control Person(s)** has been obtained for the work/testing in Section 1.\*  
(Only required if the work/testing could affect operating **Plant** and or **Apparatus.**)

Signed \_\_\_\_\_ Being the **Senior Authorised Person**  
responsible for the issue of this document Time Date

4. **RECEIPT:** I understand and accept my responsibilities under this document and acknowledge receipt of the items in Section 3

Signed \_\_\_\_\_ Name (Block Letters) \_\_\_\_\_  
being the **Authorised Person** in charge of the testing

Time Date

\* N/A if not applicable

Time Date

Time Date

[illegible]

## PART C RESPONSIBILITIES OF PERSONS

### C1 GENERAL

- C1.1** It is mandatory for all Persons who may be in charge of work or testing on Plant and Apparatus to which these Rules apply, to implement the Rules and the requirements of any supporting documents. Rules and requirements issued by other Authorities in control of their premises are also mandatory.
- C1.2** The responsibilities of Persons under the Safety Rules will depend on the roles they are nominated or authorised for. The nomination or authorisation form shall indicate the extent of the role.
- C1.3** Safety Rules Roles include:
- a) **Nominated Competent Person:** A Person who has been nominated by the Location Manager and is recognised as possessing sufficient knowledge and experience to receive and clear specified documents, manage general safety and provide supervision to aWorking Party.
  - b) **Nominated Supervisor:** A Person who has been nominated by the Location Manager and is recognised as possessing sufficient knowledge and experience to establish general safety requirements prior to work or testing. The Person also has the knowledge and experience to undertake their responsibilities for safe custody of Card-Safe-retained documents.
  - c) **Authorised Person:** A Person who has been authorised by the Location Manager for specific responsibilities, which may include applying and removing safety precautions, maintaining Safety from the System during HV testing, and switching of HV Apparatus under instruction.
  - d) **Senior Authorised Person:** A Person who has been authorised by the Location Manager to ensure adequate precautions are taken to provide Safety from the System whilst work is carried out. This will include preparation, issue, transfer and cancellation of specified Safety Documents.
  - e) **Control Person:** A Person nominated by the Location Manager for coordinating safety precautions on interconnected electrical systems and interconnections with other companies Plant and/or Apparatus etc. (e.g. other power, grid transmission company or utility companies).
  - f) **Selected Person:** A Person qualified by technical knowledge and experience, who is nominated by the Location Manager to carry out tests and examinations and to recommend precautions to be taken to safeguard Persons.

## C2 NOMINATED COMPETENT PERSONS

**C2.1** The responsibilities of Nominated Competent Persons include those specified below. They must ensure that these responsibilities, which form part of the Safety Rules, are implemented. They shall:

**C2.1.1** Comply with these Safety Rules when carrying out work or testing, whether instructions are issued verbally or in writing.

**C2.1.2** Use safe methods of work, safe means of access and personal protective equipment which is provided for their safety.

**C2.1.3** When receiving a Safety Document:

- a) Understand the contents and instructions, and any subsequent actions arising from those instructions. This shall apply also to a Selected Person's report, an Earthing Schedule, any written instruction or Approved procedure regarding the method of work or testing, or an Approved procedure for restoration of a system hazard.
- b) Adhere to, and instruct others under their charge to adhere to, any conditions, instructions or limits specified on a Safety Document during the course of the work. This shall also apply to a Selected Person's report, an Earthing Schedule, any written instruction or Approved procedure regarding the method of work or testing, or an Approved procedure for restoration of a system hazard.
- c) Where a safety document is personally held, retain the Safety Document and Key Safe Key in safe custody and correctly implement any Approved procedure to achieve this.
- d) Where a safety document is to be card safe retained, the initial NCP who is issued the safety document must take the Safety Document and Key Safe Key to a Nominated Supervisor for securing in a card safe.
- e) Provide Supervision when in charge of work or testing. Alternatively, provide Personal Supervision if necessary or as determined by a Senior Authorised Person.
- f) Warn all Persons as quickly as possible to withdraw from Plant and Apparatus until further notice, if Danger is likely or suspected. This situation shall be reported immediately by the Nominated Competent Person to the Person who issued the Safety Document or to another Senior Authorised Person.

**C2.1.4** Inform other Nominated Competent Persons of their presence and intended work when working under a Safety Document held by that Person.

**C2.1.5** Ensure that all additional Persons set to work under a Safety Document, understand the limits of the work and the requirements of the Safety Document before accepting them into the Working Party.

**C2.1.6** Clear a Safety Document only after all Persons working under the Safety Document have been withdrawn and warned not to continue work on the Plant and Apparatus concerned. Where appropriate, they shall ensure that all tools, gear and loose material have been removed, guards and access doors replaced, the work site left tidy and the appropriate exceptions noted in the clearance section of the Safety Document. Where appropriate, they shall also account for or return the correct number of Drain Earths and associated Keys and documents.

**C2.1.7** Ensure the following during a Safety Document transfer:

- a) When surrendering a document, ensure that all Persons working under the Safety Document have been withdrawn and warned not to continue work on the Plant and Apparatus concerned, that all associated Keys, documents and other items are surrendered or accounted for to a Senior Authorised Person, and that Part 1 of the Transfer Record is signed.
- b) When receiving the document, ensure Part 2 of the Transfer Record is signed.

## C3 NOMINATED SUPERVISORS

**C3.1** In addition to responsibilities as Nominated Competent Persons, Nominated Supervisors shall have the responsibilities specified below.

**C3.1.1** Before setting Working Parties to work: implementing the necessary measures to establish General Safety at and in the vicinity of the workplace and instructing Nominated Competent Persons in charge of Working Parties on General Safety provisions which must be maintained throughout the work.

**C3.1.2** When setting further Persons to work or test under a personally retained Safety Document: instructing them to report to the recipient of the Safety Document so that they can join the existing Working Party.

**C3.1.3** Before work or testing commences under a Card Safe retained Safety Document: securing the Card Safe which contains the Safety Document and Key Safe Key with a Nominated Supervisor's lock. Nominated Supervisors have a responsibility for keeping Nominated Supervisor keys in safe custody.

**C3.1.4** When setting Nominated Competent Persons in charge of subsequent Working Parties to work or test under Safety Documents held in Card Safes: ensuring that all Nominated Competent Persons read the relevant Safety Document, sign a declaration that they understand the limits of the work or testing and the requirements imposed by the Safety Document, and apply a Nominated Competent Person lock to the Card Safe. The Nominated Supervisor shall confirm completion of this process by signing the Nominated Competent Person's entry on the declaration form.

A Nominated Supervisor setting subsequent NCPs to work under a card safe retained safety document shall have had a prior discussion with a Senior Authorised Person to ensure that the NS understands the limits of the work/area and the requirements imposed by the safety document. A Location Manager may determine for a particular site that the discussion between the NS and SAP is discretionary rather than mandatory.

If either the Nominated Supervisor or the Nominated Competent Person do not have sufficient knowledge of the work to be done, the limits of the Work/Area and the requirements imposed by the permit, then the Nominated Supervisor and the Nominated Competent Person shall ask the Senior Authorised Person for clarification.

A Nominated Supervisor must verify that the work to be done is covered by the Safety Document. This can be done by cross-referencing Work Order numbers as specified in



Section 1 of the Permit for Work. If the Work Order number is not on the Safety Document, then the Nominated Competent Person must not be set to work under that document.

## C4 AUTHORISED PERSONS

**C4.1** Authorised Persons shall have some or all of the following responsibilities based on the limits imposed by their authorisation.

**C4.1.1** When authorised to apply Safety Precautions:

- a) Implementing these correctly under instruction from a Senior Authorised Person, reporting back and signing a record when completed.
- b) Carrying out the operating instructions of the Control Person in the case of a High Voltage System with more than one point of High Voltage supply.
- c) Meeting the applicable requirements of Part B of these rules.

**C4.1.2** When receiving a Sanction for Test:

- a) Meeting the applicable requirements of Part B of these Rules.
- b) Being present during the testing and being responsible for all matters of safety concerned with the test.
- c) Giving instructions for the removal and re-application of those safety precautions, which may be varied, whilst at the same time maintaining Safety from the System.
- d) Implementing procedures to ensure Safety from the System and from the test equipment as dictated by the test programme, and if necessary, consulting with Control Persons of other Systems to agree any actions which may be required to maintain Safety from the System.

## C5 SENIOR AUTHORISED PERSONS

**C5.1** In addition to responsibilities as Authorised Persons, Senior Authorised Persons shall have some or all of the following responsibilities within the limits imposed by their authorisation.

**C5.1.1** Implementing correctly any specified procedures for releasing Plant and Apparatus for work or testing, and for ensuring that all safety precautions which achieve Safety from the System are completed. These procedures shall include the process of:

- a) Obtaining the agreement of the Control Person to the release of Plant and Apparatus.
- b) Confirming through the Control Person(s) that safety precautions at remote Locations are complete.
- c) Meeting the requirements of Part B of these Rules.
- d) Checking with the Control Person(s) to confirm that the safety precautions which have been taken are adequate for the work or testing to be done when a Safety Document is to be issued on a High Voltage System with more than one point of High Voltage supply (excluding possible back feeds from instrument or metering transformers).
- e) Instructing Authorised Persons to carry out the necessary operations to establish safety precautions which achieve Safety from the System.

## **C5.1.2** Prior to the issue of a Safety Document, where appropriate:

- a) Deciding whether Drain Earths are required and, if so, ensuring that the correct number of Drain Earths are issued together with an Earthing Schedule.
- b) Deciding whether Plant and Apparatus shall be Vented, Purged and their contents adjusted to a level which avoids Danger, and any action to be taken to contain or dissipate stored energy.
- c) Deciding whether to call upon a Selected Person to provide a report specifying any precautions to be taken and deciding the action to be taken to implement any recommendations made.
- d) Deciding under what conditions the safety precautions applied are to be removed during the course of work or testing and, where appropriate, specifying the manner in which they may be removed and re-applied such that Safety from the System is maintained.
- e) Ensuring that Safety from the System has been achieved or will be achieved when the requirements of the Safety Document are completely implemented.
- f) Implementing the necessary procedures to ensure that the safety precautions established to achieve Safety from the System are maintained during the period that the Safety Document will be in force.
- g) Ensuring safe custody of a Safety Document and associated Keys between preparation and issue.
- h) Deciding whether Personal Supervision is required.
- i) Deciding if the Safety document will be Personally or Card Safe retained.

## **C5.1.3** When issuing, or reissuing a Safety Document after transfer:

- a) Ensuring that the contents of the Safety Document, Earthing Schedule and any Selected Person's report or Approved procedure for the restoration of a system hazard to be issued with the Safety Document are fully explained to the recipient. Confirming that the recipient understands those contents.
- b) Issuing the Safety Document together with, as appropriate, any Keys, Selected Person's report, Earthing Schedule, Drain Earths, Approved procedure and deciding whether the work to be done shall be given Personal Supervision by the recipient.

## **C5.1.4** When providing Personal Supervision of the transfer of a Safety Document, discharging the same responsibilities to the new recipient as if the Safety Document was being issued initially.

## **C5.1.5** When cancelling a Safety Document:

- a) Confirming the requirements of the clearance section of the Safety Document have been correctly implemented.
- b) Checking that all the items issued with the Safety Document have been returned or accounted for.
- c) Confirming the operational state of the Plant and Apparatus.

- d) Informing the Control Person of the completion of work or testing and details of any restrictions on returning the Plant and/or Apparatus to service. In the case of a Sanction for Test, also specifying any changes to the condition of the System concerned, where applicable.

**C5.1.6** When the means of achieving Safety from the System is by limiting the work or testing or the area in which they are to be carried out, deciding to issue a Limited Work Certificate in those situations where verbal instructions may be insufficient.

**C5.1.7** When work or testing is to be done outside the Minimum Approach Distance from exposed High Voltage conductors, deciding whether to issue a Limited Work Certificate because of the close proximity of the limit of the Minimum Approach Distance.

**C5.1.8** For work on or testing of LV Apparatus determining whether this is to be carried out by a Nominated Competent Person under verbal instruction or under a Safety Document.

## C6 CONTROL PERSONS

- C6.1** The responsibilities of **Control Persons** under the Safety Rules are as follows:
- C6.1.1** Agreeing to the release of Plant and Apparatus for the purpose of work or testing.
  - C6.1.2** Agreeing to work or testing under a Limited Work Certificate which could affect in service Plant and/or Apparatus.
  - C6.1.3** Coordinating and instructing High Voltage switching operations, where there is more than one point of High Voltage supply, for the purposes of a Safety Document.
  - C6.1.4** Instructing Authorised Persons to carry out High Voltage switching operations and obtaining confirmation that each instruction has been carried out.
  - C6.1.5** Agreeing, initiating and recording actions necessary to establish and maintain safety precautions on Plant and Apparatus which is interconnected across a control boundary. Including following an Approved Procedure for recording inter-system safety precautions where relevant.
  - C6.1.6** Acknowledging the cancellation of Safety Documents where applicable.

Clear delineation needs to be given for Control Person boundaries.

## C7 SELECTED PERSONS

- C7.1** Selected Persons are responsible for using their appropriate technical knowledge and experience for making a report and recommendations to overcome hazards which may prevent work or testing being performed safely on Plant and Apparatus which has otherwise been made safe.
- C7.2** If, prior to the issue of a Safety Document or during the progress of work, it is considered necessary to carry out a check on Plant and Apparatus or work areas for hazards, the Selected Person shall carry out any tests and examinations they considered necessary. A written report shall be prepared by the Selected Person who will be responsible for ensuring that its recommendations, when implemented, will ensure safe working conditions relating to the hazards.

A Selected Person's report should be made on a standard report form that records the work to be carried out, the measurements made by the Selected Person, the hazards identified and the precautions recommended. The Safety Document must reference the Selected Person report.

## CONTACT ENERGY GENERATION SAFETY RULES CODES OF PRACTICE

### 1 ORIGIN

Safety Rules Codes of Practice set down the recommended methods of achieving the objectives of the Contact Energy Generation Safety Rules to ensure Safety from the System of personnel carrying out work or testing on specified Plant and/or Apparatus.

### 2 ISSUE

The codes of Practice are issued under the authority of the General Manager Operations

### 3 STATUS AND IMPLEMENTATION

These Codes shall, where reasonably practicable, be applied in Contact Energy in accordance with the instruction of the General Manager Operations.

Where 'must' is used in these Codes, it indicates a Safety Rule or statutory requirement, or a requirement that is vital for safety.

Where 'should' is used, the requirement is considered to be sound advice on the achievement of safety but where some judgement may be necessary, or where some additional information or amplification to a procedure will enhance the effectiveness.

### 4 REVISION

Comments on these Codes, or on difficulties applying them, should be brought to the attention of the General Manager Operations through the appropriate management channels.

### 5 LOCATION

The Generation Safety Rules Codes of Practices are located in the Contact Energy Document Management System and can be located in this system when searching using the keyword 'SR'.

Whilst in the Contact Energy Document Management System, the codes of practice can be found by text searching using the key words, safety or SR

## ADDITIONAL GUIDANCE NOTES

### GUIDANCE ON COMPLETING SAFETY DOCUMENTS

#### 1. Abbreviations

Any use of abbreviations must be restricted to those which are specified by the Company.

#### 2. Plant and Apparatus Identification

The Senior Authorised Person preparing the document must ensure, in every case, that there is no inconsistency between the identifications on the document and any that appears on the Plant/Apparatus itself.

Maintenance Management and Defect Reporting systems should avoid the possibility of ambiguity in the identification of Plant and Apparatus by ensuring consistency of the nomenclature used on Plant and Apparatus, relevant Safety Documents, job cards, work instructions and work specifications.

#### 3. Correctness of Entries

Persons completing Safety Documents must take care to meet the precise requirements of each section and indicate that all sections have been given due consideration by entering the full details required, or 'N/A' or 'NIL' as appropriate.

#### 4. Numbering and Recording

Control of numbering is important to ensure unique numbering of any Safety Document at a location, in particular at those locations where Safety Documents may be produced for a number of separate plant areas. Generally, the Safety Document Management system will allocate numbers in this way.

#### 5. Use of Continuation Sheets

If the space available on any Safety Document is insufficient to record the precautions taken, a continuation sheet will be produced which must be attached to the Safety Document and issued with the Safety Document. A copy should be retained with any copy of the Safety Document.

#### 6. Attachment of Keys to Safety Documents

Care must be taken to ensure that Key Safe Keys are attached to Safety Documents in a secure manner and in a position that does not obscure any part of the document which might have to be read and understood. The recommended method of achieving this is to insert the Key Safe Key into a small polythene bag which is then stapled to the Safety Document.

#### 7. Completion by Persons under Training

Where documents are prepared as a training exercise, it should be ensured that they cannot be mistaken for working documents. The final stages of training may allow for a candidate to prepare working Safety Documents under the Personal Supervision of the Senior Authorised Person responsible for training the candidate. It must be emphasised, however, that the responsibility for

completing the relevant section of any document remains with the Senior Authorised Person and only they may sign it.

## **8 Guidance for Specific Documents**

### **8.1 Permit for Work**

#### **Section 1(i) Plant Apparatus Identification**

- The Plant or Apparatus which the Person will be testing or working on must be identified such that the identification on the Safety Document is consistent with the identification on the Plant or Apparatus itself.

#### **Section 1(iii) Work to be done**

- The description must make clear the extent of the work or testing which is permitted in relation to the precautions in Section 2. The description may refer to maintenance, test or job specifications which are a formal part of a location work control procedure.
- The Work to be done may just reference the attached work orders, for example when multiple work orders are attached to an individual Safety Document.

#### **Section 2(i) Precautions taken to achieve Safety from the System**

- Identify all points of isolation and positions of earthing devices together with their state (e.g. open, closed, removed, applied), as appropriate, and whether they are Locked.
- Include actions taken to drain, vent or purge the Plant or Apparatus and contain or dissipate stored energy.
- State any other precautions taken to achieve Safety from the System.

#### **Section 2(ii) Further precautions to be taken during the course of work/testing to avoid System derived hazards**

- Include all in this section any precautions to be taken to avoid System Dangers (hazards) which could not be made safe at the time of issue. The remaining System Dangers (hazards) shall be stated and how they are to be made safe shall also be stated. If adequate measures cannot be determined to make safe the System Dangers (Hazards), then the Safety Document cannot be issued
- Precautions may be specified by reference to a Selected Person's Report which may be issued with the PFW, to a Local Management Instruction, or a procedure which should be readily available to the recipient.
- If stored energy is safely contained but must be released during the work or before the work commences, the precautions to be taken should be specified here, unless such a release is a normal part of the work to be done.

### **8.2 Limited Work Certificate**

#### **Section 1(i) Plant Apparatus Identification**

- The Plant or Apparatus which the Person will be testing or working on must be identified such that the identification on the Safety Document is consistent with the identification on the Plant or Apparatus itself.

#### **Section 1(iii) Work/testing to be done**



- The description must make clear the extent of the work or testing which is permitted in relation to the precautions in Section 2. The description may refer to maintenance, test or job specifications which are a formal part of a location work control procedure.
- The Work to be done may just reference the attached work orders, for example when multiple work orders are attached to an individual Safety Document.

## **Section 2(i) Limits of work/testing or work area or other precautions taken to achieve safety from the System**

- For Plant and HV Apparatus, Identify the limits in which the work or testing can be done and specify the physical limits of the work area required to achieve Safety from the System.
- Identify all points of isolation and positions of earthing devices together with their state (e.g. open, closed, removed, applied), as appropriate, and whether they are Locked.
- Include actions taken to drain, vent or purge the Plant or Apparatus and contain or dissipate stored energy.
- State any other precautions taken to achieve Safety from the System.
- Identify any Safety Keys which are to be made available with the LWC.

## **Section 2(ii) Further precautions to be taken during the course of work/testing to avoid System derived hazards**

- Include all in this section any precautions to be taken to avoid System Dangers (hazards) which could not be made safe at the time of issue. The remaining System Dangers (hazards) shall be stated and how they are to be made safe shall also be stated. If adequate measures cannot be determined to make safe the System Dangers (Hazards), then the Safety Document cannot be issued
- Precautions may be specified by reference to a Selected Person's Report which may be issued with the PFW, to a Local Management Instruction, or a procedure which should be readily available to the recipient.
- If stored energy is safely contained but must be released during the work or before the work commences, the precautions to be taken should be specified here, unless such a release is a normal part of the work to be done.

### **8.3 Permit for Work (with Restoration of System Hazard)**

#### **Section 1(i) Plant Apparatus Identification**

- The Plant or Apparatus which the Person will be testing or working on must be identified such that the identification on the Safety Document is consistent with the identification on the Plant or Apparatus itself.

#### **Section 1(iii) Work to be done**

- The description must make clear the extent of the work or testing which is permitted in relation to the precautions in Section 2. The description may refer to maintenance, test or job specifications which are a formal part of a location work control procedure.
- The Work to be done may just reference the attached work orders, for example when multiple work orders are attached to an individual Safety Document.

#### **Section 2(i) Precautions taken to achieve safety from the System**

- Identify all points of isolation and positions of earthing devices together with their state (e.g. open, closed, removed), as appropriate, and whether they are Locked.



- Include actions taken to drain, vent or purge the Plant or Apparatus and contain or dissipate stored energy.
- State any other precautions taken to achieve Safety from the System.

## **Section 2(ii) Points of isolation to be restored**

- Details of isolations which are to be made available to the recipient to allow the restoration of a system hazard.

## **Section 2(iii) Further precautions to be taken during the course of work/testing to avoid System derived hazards**

- Include all in this section any precautions to be taken to avoid System Dangers (hazards) which could not be made safe at the time of issue. The remaining System Dangers (hazards) shall be stated and how they are to be made safe shall also be stated. If adequate measures cannot be determined to make safe the System Dangers (Hazards), then the Safety Document cannot be issued
- Precautions may be specified by reference to an approved procedure or specified by reference to a Selected Person's Report which may be issued with the Safety Document. Any Local Management Instruction, approved procedure or Selected persons report should be readily available to the recipient.
- Example; If stored energy is safely contained but must be released during the work or before the work commences, the precautions to be taken should be specified here, unless such a release is a normal part of the work to be done.

## **8.4 Sanction for Test**

### **Section 1(i) Plant Apparatus Identification**

- The Plant or Apparatus which the Person will be testing must be identified such that the identification on the Safety Document is consistent with the identification on the Plant or Apparatus itself.

### **Section 1(iii) Testing to be done**

- The description must make clear the extent of the testing which is permitted in relation to the precautions in Section 2. The description may refer to test schedules or job specifications which are a formal part of a work control procedure.
- The testing to be done may just reference the attached work orders, for example when multiple work orders are attached to an individual Safety Document.
- If minor work can be specified at the time of preparation, this should be included.

### **Section 2(i) Precautions taken to achieve safety from the System**

- Identify all points of isolation and positions of earthing devices together with their state (e.g. open, closed, removed), as appropriate, and whether they are Locked.
- Include actions taken to drain, vent or purge the Plant or Apparatus and contain or dissipate stored energy.
- State any other precautions taken to achieve Safety from the System.

### **Section 2(ii) Safety precautions which may be changed by the recipient**

- Identify all points of isolation and earthing devices that may be restored by the recipient together with their state (e.g. open, closed, removed) and whether they are Locked.

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- Note that the keys to allow the removal or restoration of these items will be handed to the Authorised Person at the time of issue of the Sanction for Test.

## Document Control

### HISTORY

Date	Author	Version	Nature of change
1/1/2011	R Nichol	1.0	First Release
1/1/2011	R Nichol	2.0	Original Booklet
1/1/2015	R Nichol	3.0	Guidance notes added and branding
19/6/2023	R Nichol	4.0	Changed format to word and removed branding
12/8/2024	R Nichol	5.0	Added in B1.4 site emergency response