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# National Grid UK Electricity Transmission plc

## NATIONAL SAFETY INSTRUCTION 30 and Guidance

### APPOINTMENT OF PERSONS



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## DOCUMENT HISTORY

| Issue | Date       | Summary of Changes / Reason   | Author(s)   | Approved By (Title)                                |
|-------|------------|---|---|--|
| 1     | April 2014 | Renamed as "National Safety Instruction and Guidance" which now replaces NSI 30 Issue 9. Reviewed and amended as per Key Changes. | NSI Review Group  | ETAM Operations<br>North Manager<br>Mike Dean      |
| 2     | Nov 2014   | Minor modifications to "9 day Rule" process, NSI 26 matrix & grammatical corrections. Reviewed and amended as per Key Changes.    | Paul Matthews   | ETAM Operations<br>North Manager<br>Mike Dean      |
| 3     | April 2016 | Annual review; document amended as detailed below and minor text changes as highlighted in yellow.                                | NSI Review Group  | ETAM Operations<br>North Manager<br>Matt Staley    |
| 4     | Jan 2020   | Frequency review; Major amendments as detailed and explained further in NSI 30 Briefing Pack.                                     | NSI Review Group  | ET Operations<br>Head of Operations<br>Matt Staley |
| 5     | March 2020 | Review required due to organisational changes.  | ET Safety Rules Team  | ET Operations<br>Head of Operations<br>Matt Staley |
| 6     | April 2021 | Reviewed and Reformatted  | Electricity Transmission<br>Operations Safety<br>Rules Team | Head of ET Operations<br>Matt Staley               |
| 7     | Oct 2021   | Reviewed and Reformatted  | Safety Rules Team   | Director of Asset<br>Operations<br>Matt Staley     |

## KEY CHANGES

| Section | Amendments  |
|---------|---|
| Various | Updated in line with Reorganisation role name changes. Team leader is now Operations Manager and Operations Manager is now Head of Substations & Cables or OHL. |
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## APPOINTMENT OF PERSONS

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## 1 Purpose and Scope

The purpose of this document is to apply the principles established by the Safety Rules and provide guidance on National Safety Instruction 30, for the appointment of both **Company** and **Non-Company Personnel** under the National Grid Safety Rules, National Safety Instructions (NSIs) and *Operational Authorities*.

The scope of this document is to *Authorise* individuals against the National Grid Safety Rules, National Safety Instructions and associated documentation only. Other **Approved** processes such as Transmission Procedures (TPs), Asset Management Business Procedures (AMBPs) and Technical Guidance Notes (TGNs) may detail other activities related to *Authorised Personnel*, such as site access / key arrangements, which are not directly **System** safety related roles.

The National Grid Safety Rules identifies the following authorisation levels:-

**Person (P)**  
**Competent Person (CP)**  
**Authorised Person (AP)**  
**Senior Authorised Person (SAP)**  
**Control Person Operation (CPO)**  
**Control Person Safety (CPS)**

### Exceptions

- i. **Person Authorisation** should only be required to be renewed for those individuals who are intending to remain at **Person** status, there is no requirement for **Competent, Authorised** and **Senior Authorised Persons** to retake their **Person Authorisation** as long as they maintain their existing **Competent, Authorised** and **Senior Authorised Persons Authorisation**.
- ii. Where a **Senior Authorised Person Authorisation** is held, by default, they automatically hold that *Authorisation* for **Competent Person** unless specifically stated within this document or designated by an individual's role profile.
- iii. OHL NSI 4 **Senior Authorised Person** does not hold **Authorised Person** status.

## 2 Definitions

Terms printed in bold type are as defined in the Safety Rules.

|  |                              |  |  |
|--|------------------------------|--|--|
| Appointments to National Grid Safety Rules | Being one of the following:- |  |  |
|  | a                            | <i>P</i>   | Carry out duties of a <b>Person</b> as a member of a <b>Working Party</b> who has sufficient technical knowledge or experience to avoid <b>Danger</b> .  |
|  | b                            | <i>CP</i>  | Carry out duties of a <b>Competent Person</b> appointed to specified NSIs and the receipt of oral instructions   |
|  | c                            | <i>AP</i>  | Carry out duties of an <b>Authorised Person</b> , appointed to specified <i>Operational Authorities</i> and NSIs. These duties shall be carried out under the instructions of a <b>Control Person (Operation)</b> or <b>Control Person (Safety)</b>          |
|  | d                            | <i>SAP1</i>  | Carry out duties of a <b>Senior Authorised Person</b> for <b>HV Equipment</b> , and is appointed to specified <i>Operational Authorities</i> and NSIs  |
|  | e                            | <i>SAP2</i>  | Carry out duties of a <b>Senior Authorised Person</b> for <b>LV Equipment</b> , including the assessment of <b>LV work near to HV Equipment</b> outside <b>Safety Distance</b> and is appointed to specified <i>Operational Authorities</i> and NSIs         |
|  | f                            | <i>SAP3</i>  | Carry out duties of a <b>Senior Authorised Person</b> for mechanical <b>Equipment</b> , including the assessment of mechanical work near to <b>HV Equipment</b> and is appointed to specified <i>Operational Authorities</i> and NSIs                        |
|  | g                            | <i>CP(O) 1</i>   | Carry out duties of a <b>Control Person (Operation)</b> for <b>HV Equipment</b> and is appointed to specified <i>Operational Authorities</i> and NSIs  |
|  |                              | <i>CP(O) 1 - Limited</i>   | Carry out limited duties of a <b>Control Person (Operation)</b> for <b>HV Equipment</b> and is appointed to specified restricted <i>Operational Authorities</i> and NSIs   |
|  |                              | <i>CP(O) 1- Restricted</i>   | Under Emergency Resilience conditions or Business Continuity requirements, carry out the nominated restricted duties of a <b>Control Person (Operation)</b> , for <b>HV Equipment</b> and is appointed to specified operational <i>Authorities</i> and NSIs. |
| h  | <i>CP(S) 1</i>               | Carry out duties of a <b>Control Person (Safety)</b> for <b>HV Equipment</b> , and is appointed to specified <i>Operational Authorities</i> and NSIs         |  |
|  | <i>CP(S) 1- Limited</i>      | Carry out limited duties of a <b>Control Person (Safety)</b> for <b>HV Equipment</b> , and is appointed to specified <i>Operational Authorities</i> and NSIs |  |

|   |  |  |
|---|--|--|
| <p>Appointments to National Grid Safety Rules Cont:</p> | <p>i    <i>CP(OS) 1 Limited</i></p> <p>j    <i>CP(OS) 2</i></p> <p>k    <i>CP(OS) 3</i></p>  | <p>Carry out duties of a <b>Control Person (Operation)</b> and a <b>Control Person (Safety)</b> for <b>HV Equipment</b> that is not under the control of <i>CP(O)1, CP(S)1</i>, e.g. Capacitor Bank shorting switches and 11 kV ring main units.</p> <p>Carry out duties of a <b>Control Person (Operation)</b> and a <b>Control Person (Safety)</b> for <b>LV Equipment</b> and is appointed to specified <i>Operational Authorities</i> and NSIs</p> <p>Carry out duties of a <b>Control Person (Operation)</b> and a <b>Control Person (Safety)</b> for mechanical <b>Equipment</b> and is appointed to specified <i>Operational Authorities</i> and NSIs</p> |
| <p><i>SAP Manual / AP Manual</i></p>                    | <p>Identifies selection, training, and appointment process for a <b>Senior Authorised Person</b> and an <b>Authorised Person</b></p>   |  |
| <p><i>SHES Review Event</i></p>                         | <p>Any Safety Rule or General Safety event such as a National Safety Event, Stop for Safety call etc which is course coded, that is required for the continuation of any authorisation.</p>  |  |
| <p><i>Authorisation</i></p>                             | <p>Formal appointment of an individual who has demonstrated an understanding and acceptance of the responsibilities set out in the National Grid Safety Rules and associated procedures</p>  |  |
| <p><b>Non-Company</b></p>                               | <p>An individual who is not employed by National Grid and is appointed to specified <i>Operational Authorities</i> and NSIs to carry out their duties</p>  |  |
| <p><i>Control Point Designations</i></p>                | <p>Being one of the following:-</p> <p>a    <i>Local Control Point</i>                      A control point at a position on, or adjacent to the switching device itself by electrical / mechanical means</p> <p>b    <i>Substation Control Point</i>                      A control point at the substation control system interface</p> <p>c    <i>Remote Control Point</i>                      A control point at a remote <b>Location</b> to the <b>Equipment</b> at a substation</p> |  |

|                                |   |
|--------------------------------|---|
| <i>Operational Authorities</i> | <p>Being one of the following:-</p> <p>a OA1 Written authority to carry out the following operations when not in a zone established by <b>Point(s) of Isolation</b>:-</p> <ol style="list-style-type: none"><li>1. To render interlocks inoperative</li><li>2. To operate non-interlocked <b>Equipment</b> from the <i>Local Control Point</i></li></ol> <p>The OA1 shall be accompanied and checked by an <b>Authorised Person</b> with <i>Operational Authority OA2</i></p> <p>b OA2 Written authority to carry out the following operations:-</p> <ol style="list-style-type: none"><li>1. To accompany and check that the instructions for rendering interlocks inoperative are implemented on the correct <b>Equipment</b> and carried out in the right sequence by the instructed person</li><li>2. To accompany and check the operation of non-interlocked <b>Equipment</b> from the <i>Local Control Point</i></li><li>3. To operate non-interlocked <b>Equipment</b> from the <i>Substation Control Point</i></li></ol> <p>NOTE: Operations under items 1 and 2 above shall be carried out in conjunction with a <b>Senior Authorised Person</b> with <i>Operational Authority OA1</i></p> <p>c OA3 Operation of fully or partially interlocked <b>Equipment</b> from the <i>Local Control Point, Substation Control Point, and Remote Control Point</i></p> <p>d OA5 Operation of <b>HV Equipment</b> from the <i>Remote Control Point</i></p> <p>e OA6 Operation of the control functions for protection, intertripping, telecontrol and fire protection systems</p> |
|--------------------------------|---|

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## 3 Responsibilities

### 3.1 Electricity Transmission Safety Rule Team

- Develop policy
- Identify and advise policy change
- Provides advice to Our Academy
- Provides advice to Line Management
- Provides advice to Stakeholders
- Support *Authorisation* Panels
- Manage and update *AP Manual* and *SAP Manual*

### 3.2 Line Management

- Ensure suitable candidates are selected for training
- Ensure candidates have received appropriate instruction, training, experience and practical testing, this includes mentoring the candidate – with a nominated mentor agreed throughout the training period to provide continual support.
- Ensure all *Authorisation(s)* are reviewed, assessed, withdrawn and recorded as appropriate
- Review AP and SAP training manuals in line with procedures specific to *Authorisation(s)*
- Monitor and record refresher training of staff
- Support *Authorisation* Panels
- Maintain records of *Authorisation(s)* of all **Personnel**, which shall be accessible to all appropriate staff
- Where an appointment is withdrawn, or cancelled for any reason, records shall be amended and appropriate personnel informed
- Inform appropriate Line Manager of any failures of *Authorisation*
- Monitor refresher training of National Grid staff

### 3.3 Our Academy

- Monitor, review and manage all training materials and assessments associated with Safety Rules and supporting NSIs
- Management of the recording of *Authorisations*

### 3.4 Non-Company

- Legal duty to ensure that their employees are adequately trained
- Duty to ensure their employees are assessed and authorised to National Grid Safety Rules and NSIs as appropriate
- Ensure that refresher training and re-authorisations are carried out, for their employees, in accordance with this procedure
- For **Non-Company Control Person(s)** where the training and appointment process are equivalent to that required by National Grid, then that appointment will be acknowledged

### 3.5 Zonal SHES and Compliance Engineers

- Undertake **Senior Authorised Person** audits
- Support the developments and updates of Safety Rule / NSI guidance
- Provides advice to the Our Academy
- Provides advice to Stakeholders
- Support **Senior Authorised Person** *Authorisation* Panels

### 3.6 Electricity Transmission Senior Management

- Authorise individuals to relevant competence
- Approve policy / procedure change

### 3.7 Workforce Strategy

- Manage, review, amend and update the Training Database



## 4 General Requirements

### 4.1 Appointments

Appointment as a **Senior Authorised Person** shall be based upon a level of competency being achieved and formal assessment by National Grid Electricity Transmission.

Candidates for **Control Persons (Safety)** and **Control Persons (Operation)** for HV shall, where appropriate, visit both substations and overhead lines for familiarisation of **Equipment** etc. The date of the visit shall be recorded on the AU/1 Form in Appendix B.

Although not specifically identified in the Appointment Matrices this NSI does not preclude **Non-Company** personnel being appointed as a **Senior Authorised Person** or **Control Person**.

### 4.2 Authorisation Renewal Dates

Unless stated within this document, where authorisation assessment and refresher training is undertaken prior to the expiry date, the re-authorisation date will be valid from the date of the retaken authorisation, unless a request is submitted to Workforce Strategy.

If refresher training is not undertaken prior to the expiry date, then the *Authorisation* is not valid until refresher training is completed. Refresher training may still be undertaken after its expiry date, as opposed to the full training and assessment if it is either already determined by a process within this document, or agreed to by Our Academy / Workforce Strategy in consultation with the Electricity Safety Rules Team.

### 4.3 Authorised Person and Senior Authorised Person - Suspension of Authorisation

Where an **Authorised Person** has no requirement to carry out their duties for an extended period of time e.g. a secondment to another department for a period greater than 12 months, the *Authorisation* will be suspended for this period.

Where the *Authorisation* has been suspended for a period of less than 3 years, the individual shall undertake the **Authorised Person** E-Learning assessment, refresher training and be compliant with the information supplied via all *SHES Review Events* before regaining the *Authorisation*.

Where an *Authorisation* has been suspended for a period exceeding 3 years the accelerated *Authorisation* process in the *AP Manual* shall where practical be followed.

Where a **Senior Authorised Person** has no requirement to carry out their duties for an extended period of time e.g. a secondment to another department for a period greater than 12 months, the *Authorisation* will be suspended for this period.

Where a suspension period is between 12 months and 3 years the individual shall be compliant with the information supplied via all *SHES Review Events* issued within this period and that they have been recorded within the Training database; prior to returning to normal duties they must undertake E-Learning assessment and refresher training and be compliant with all AMBP 120 audit requirements.

Where an *Authorisation* is suspended for a period exceeding 3 years the accelerated *Authorisation* process in the *SAP Manual* shall where practicable be followed, this shall also include acknowledgement of any information communicated as *SHES Review Events*.

If an individual has their *Authorisation* suspended (AP or SAP), they are then categorised as a trainee. They can only enact any AP or SAP duties under the **Personal Supervision** of fully **Authorised Personnel** until their *Authorisation* is reinstated; following the successful completion of a line management plan (see Appendix B2 - Authorisation Reinstatement Plan – AU/2 form). This shall include the completion of all agreed retraining elements. The Head of Substations & Cables or OHL shall complete a new AU/1 form and record it in Learning Link. An Audit shall be undertaken within 6 months of the Authorisations reinstatement.

### 4.4 NGET Control - Control Person Suspension of Authorisation

Where a **Control Person** has no requirement to carry out their duties for an extended period of time, re-authorisation will be in accordance with the relevant Management Procedure.

#### 4.5 Competent Person

1) 9-Day Rule - (preferred option)

To become a **Competent Person** the candidate shall have been previously authorised as a **Person** and provide evidence of having worked on a National Grid or other Electrical Utilities HV Substation site, under Safety Documentation conditions, for a period of nine (9) days. This is to ensure that individuals without site experience in the HV Substation / OHL environment do not take charge of a **Working Party**.

Note: - Evidence will be by submission of a completed "**Person** Record of nine (9) days' work on **High Voltage Site(s)**" form (Appendix D).

2) National Grid Pre-Competent Person Course - (alternative option)

As an alternative to the 9-Day Rule above, a Pre-**Competent Person** course is available via the EUSR website and delivered by Our Academy; to mitigate against not being able to achieve the specified requirements detailed above. This option is predominately for new **Non-Company** staff who do not have the facility or processes to comply with the 9-day rule requirements; but is available to all.

3) Outsourced Competent Person - (alternative option)

If a contracting company is new to National Grid and does not have a **Competent Person** employed, they may procure, via a third-party company, a **Competent Person(s)**.

4) In Exceptional Circumstances

- National Grid can, via prior arrangement, provide a **Competent Person**. This is a chargeable service outside its transmission licence obligations. Under these circumstances the NG **Competent Person** would be responsible for **Safety from the System** and not **General Safety**, that responsibility and liability still lies with the contracting company.
- When agreed in writing with the appropriate National Grid Head of Substations & Cables or OHL, it will be acceptable for a National Grid Operations Manager to authorise an individual to be a **Competent Person** without applying **Person** and the nine-day rule e.g. when a one off, site visit by an external technical expert (e.g. metallurgist) may be required.

*Note – NG Competent Person may collect 9-Day Rule evidence via the AMBP 321 - Logbooks*

#### 4.6 Preparation, Issue, Receipt, Clearance and Cancellation of Switching Instructions and Safety Documents

All relevant **Personnel** shall be made aware that a trainee will be involved and a record of the name of the trainee and the appropriately authorised **Personnel** providing **Personal Supervision**, either written or electronically, dependent upon methodology.

##### Switching Instructions

When *Switching* instruction(s) are to be prepared, issued, cleared, cancelled, given or received by a trainee under training; that trainee shall be under the **Personal Supervision** of the appropriately authorised **Personnel**. The appropriately authorised **Personnel** providing **Personal Supervision** shall take full responsibility for the correct completion of the *Switching* instruction.

For **Senior Authorised Person** authorisation to OA1, the trainee must have existing OA2 authorisation and have technical and practical training in how to defeat interlocks (electrical and mechanical). The trainee shall be under the **Personal Supervision** of a **Senior Authorised Person**, OA1. Authorisation shall be by means of an interview by the Head of Substations & Cables (plus a technical representative if necessary) or their nominated representative (Lead Advanced Commissioning Engineer – ACE), and sanctioned by the Head of Substations & Cables to test knowledge of objectives and outcomes of any actions taken when rendering interlocks inoperative to ensure the correct use of interlock drawings, whilst protecting the safety of both the individuals and the **System**.

Having checked and confirmed that all elements of the *Switching* instruction are correct, including the use / removal of any required Status Board 'T' Cards, the authorised **Personnel** shall then countersign the trainees' *Switching* instruction by printing their name in full.

### Safety Document(s) (Electronic)

#### CPS1 Consent

The trainee **Senior Authorised Person** can start creating a **Safety Document**. When they have completed the **Safety Document** and it is ready for consent, they must contact the supervising **Senior Authorised Person** who can reassign the **Safety Document** from the trainee to themselves using the "Reassign SD to Self" function. When the supervising **Senior Authorised Person** is satisfied that all elements of the **Safety Document** have been completed they can send it for consent to the **Control Person Safety 1**.

The "Comments to CPS1" section must include words stating "This document has been prepared in conjunction with Trainee SAP - (insert name of trainee SAP)" to inform NGET Control that a trainee **Senior Authorised Person** has been involved and (if specifically requested) the name of the trainee **Senior Authorised Person** name can be added to "SAP Receiving Consent" section.

Note – Any required Status Board 'T' Cards need to be completed also.

#### CPS2/3 Consent also

If further **Control Person Safety 2/3** consent is required, the trainee **Senior Authorised Person** can reassign the **Safety Document** back from the supervising **Senior Authorised Person** using "Reassign SD to Self" function and continue preparing the LV/Mechanical sections. When they have completed this and the **Safety Document** is ready for consent, they must contact the supervising **Senior Authorised Person** who can reassign the **Safety Document** from the trainee **Senior Authorised Person** using the "Reassign SD to Self" function. When the supervising **Senior Authorised Person** is satisfied that all elements of the **Safety Document** have been completed they can consent to it as a **Control Person Safety 2/3** and add the Trainee **Senior Authorised Person** details - (insert name of trainee SAP) to "SAP Receiving Consent" section.

Note – Any required Status Board 'T' Cards need to be completed also.

#### CPS2/3 Consent only

Use principles as above for a **Control Person Safety 2/3** only **Safety Document**.

When **Safety Document(s)** are to be prepared by a trainee **Senior Authorised Person**; that trainee shall be under the **Local Supervision** of the supervising **Senior Authorised Person**. The supervising **Senior Authorised Person** providing **Local Supervision** shall take full responsibility for the correct preparation of the **Safety Document(s)**.

When **Safety Document(s)** are to be issued, consented to, cleared, cancelled, given or received by a trainee **Senior Authorised Person**; the trainee **Senior Authorised Person** shall be under the **Personal Supervision** of the supervising **Senior Authorised Person**. The **Senior Authorised Person** providing **Personal Supervision** shall take full responsibility for the correct completion of the **Safety Document(s)**.

### Safety Document(s) (Hand Written) – (Business Continuity / Resilience reasons)

Having checked and confirmed that all elements of the **Safety Document(s)** are correct, including the use of any required 'T' Cards, the authorised **Senior Authorised Person** shall then countersign the trainees' **Safety Document(s)** by printing and signing as appropriate.

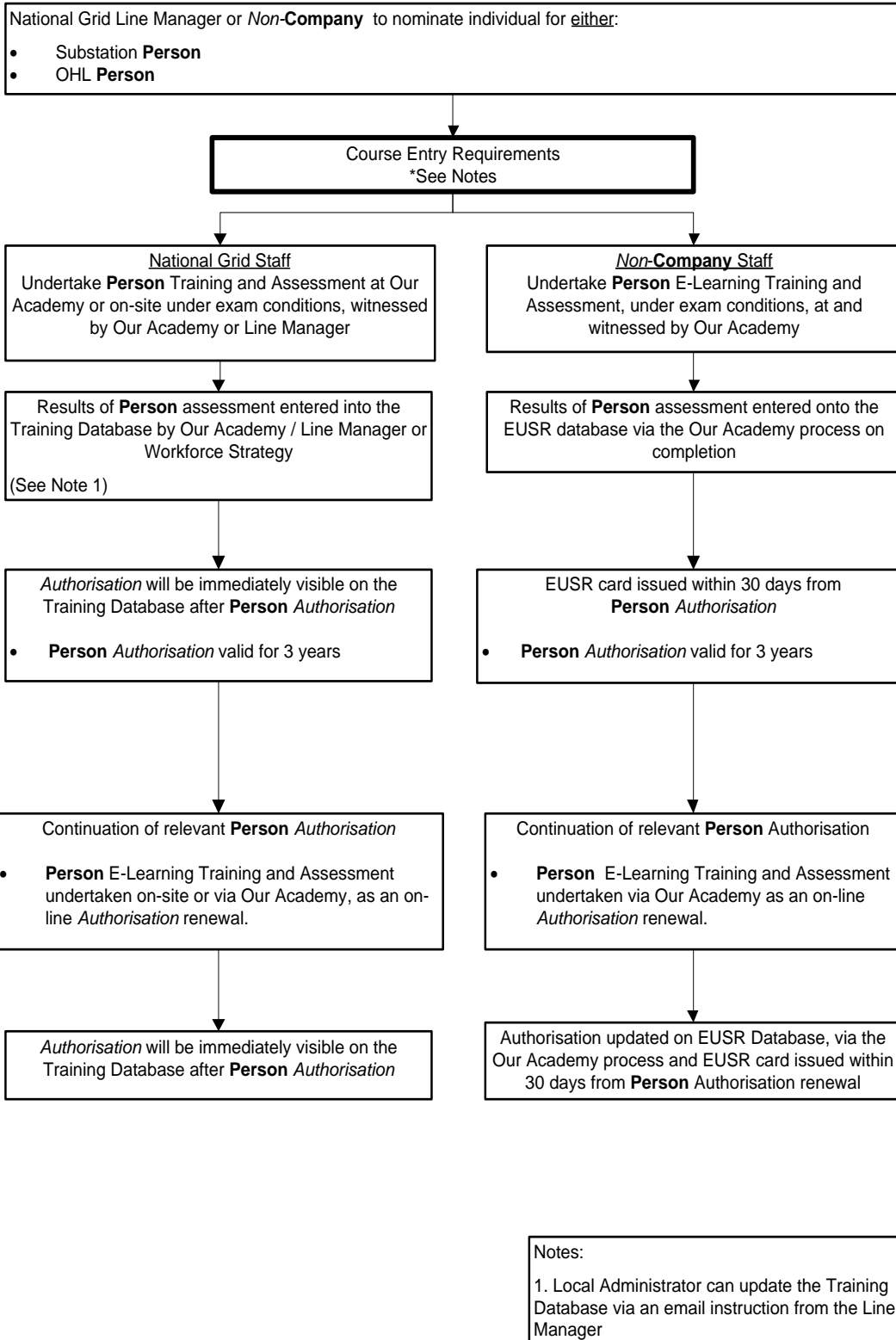
When **Safety Document(s)** are to be prepared, consented to, issued, cleared, cancelled, given or received by the use of Hand Written documents, a trainee **Senior Authorised Person**; shall be under the **Personal Supervision** of the appropriately authorised **Senior Authorised Person**. The **Senior Authorised Person** providing **Personal Supervision** shall take full responsibility for the correct completion of the **Safety Document(s)**.

Note 1:- All Safety Documentation (Electronic or Hand-written only in origin), where applicable, shall be cancelled in consultation with the **Control Person Safety 1**.

Note 2:- All newly *Authorised* SAPs cannot countersign Trainee SAP **Safety Document(s)** within the first year of becoming an SAP, unless their 1st year progression plan states otherwise.

## 5 Authorisation Flow Charts

### 5.1 National Grid and *Non-Company* Person



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## **Notes (In Association with 5.1)**

### 1. Course Entry Requirements

All National Grid staff and **Non-Company** staff shall confirm general Health and Safety awareness training has been successfully undertaken prior to course attendance.

- For National Grid staff this shall be included when booking the individual on the course via the Training Database catalogue and for **Non-Company** on the booking form before attendance.
- The **Non-Company** requester will complete the booking form available from the EUSR website confirming prior Health and Safety training has taken place for the nominated delegates.

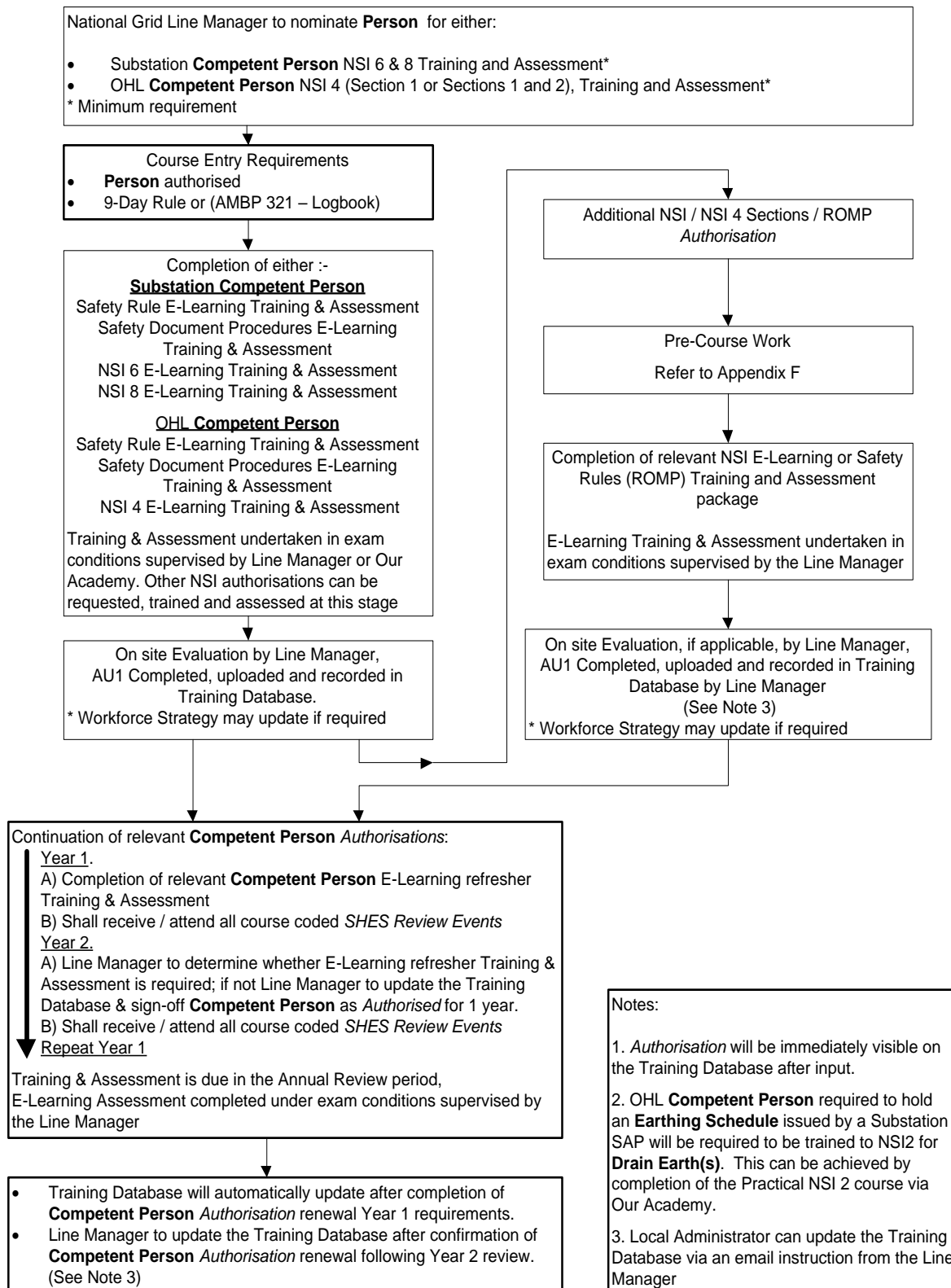
Some examples of general Health and Safety awareness include:

SHEA Level 1 - EUS  
EUS level 1 General Health & Safety Module  
Working Safely Course  
Construction Skills Certificate Scheme – CSCS card  
Construction Industry Training Board – CITB card  
Institute of Occupational Safety & Health – IOSH card  
British Safety Council – BSC card

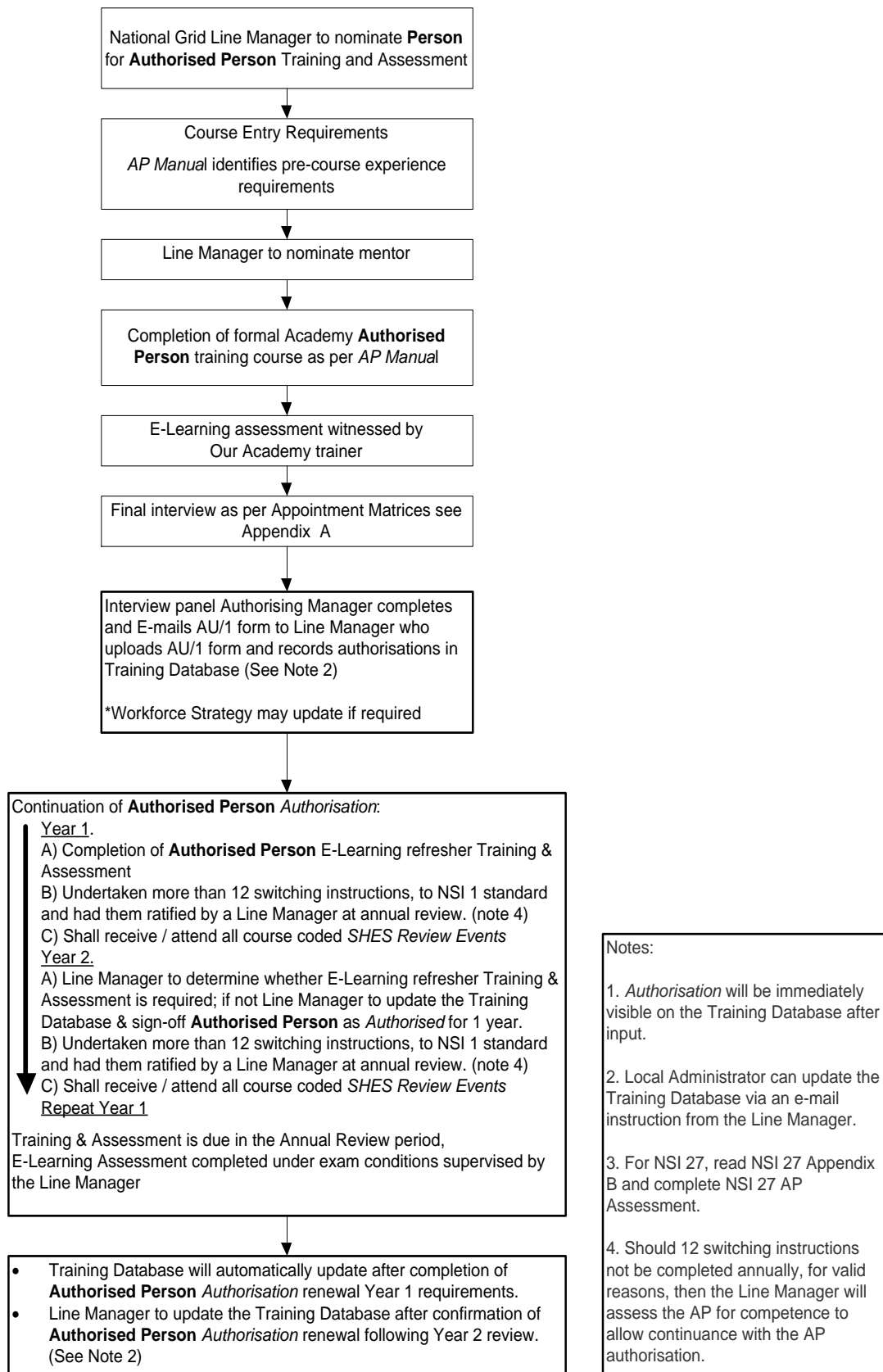
Our Academy may review any relevant information and records it holds, including relating to any previous Authorisations and any safety breaches before admitting a nominated trainee.

2. Where there is a requirement to work in a combination of Substation and OHL environments there will only be an obligation for an individual to undertake **Person Authorisation** against their main working environment. Where this arrangement is required to be undertaken, nominally for contractual reasons that span across both the Substation and OHL environments, then the processes for RAMS Submission, Site Induction and Tool Box Talks shall be adhered to.
3. Initial **Person Authorisation assessment** of candidates will be undertaken at and witnessed by Our Academy or their nominated representatives, subsequent refresher **Person** training shall be undertaken via an on-line assessment.
4. A EUSR card will only be issued to those candidates who are undertaking **Person Authorisation** for the first time. Renewal of Person or any other Authorisation taken at a later date will be updated electronically on the EUSR Database only and a new card will not be issued.

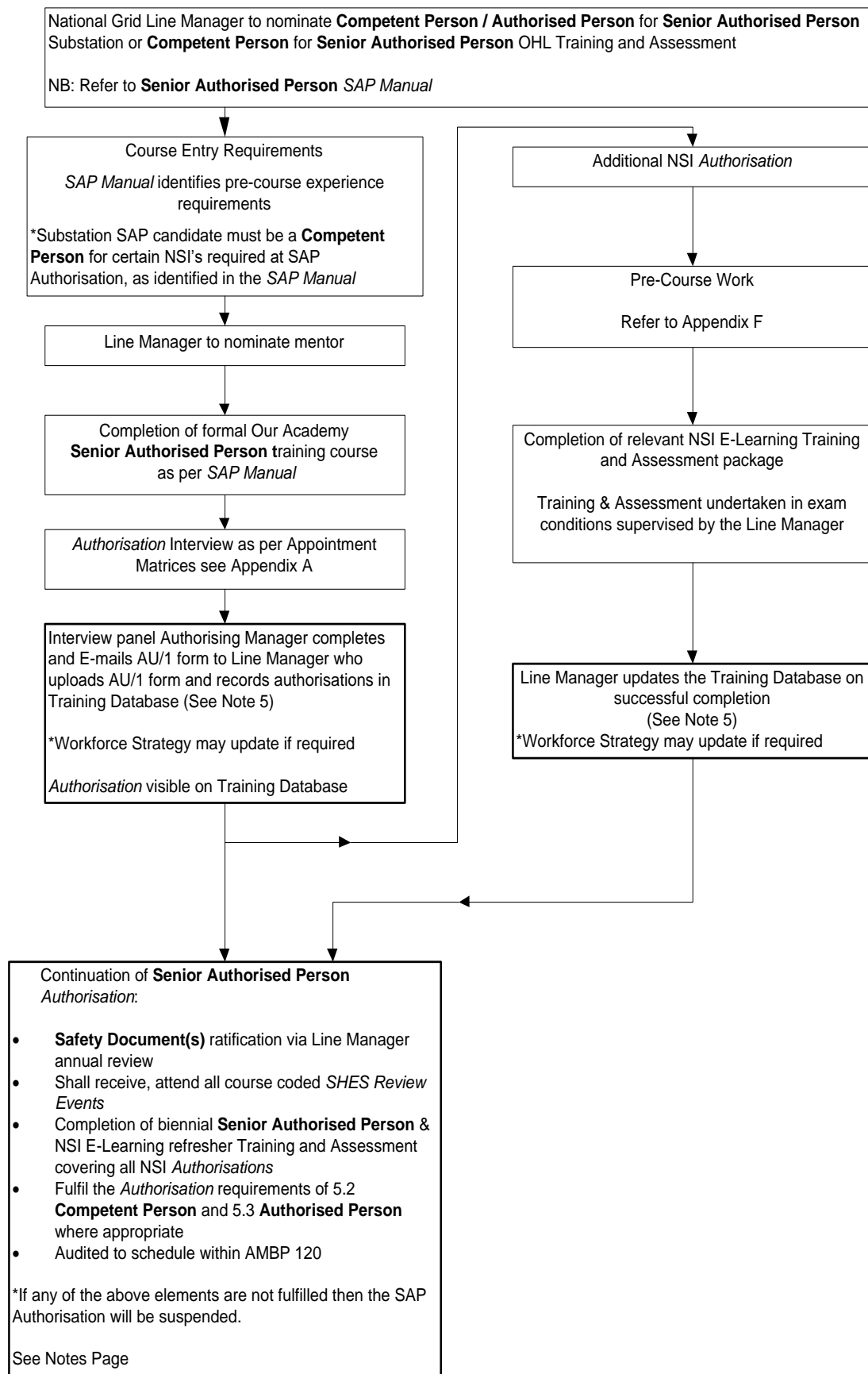
## 5.2 National Grid **Competent Person**



### 5.3 National Grid **Authorised Person**



## 5.4 National Grid Senior Authorised Person





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## **Notes (In association with 5.4)**

### 1. Continuation of **Senior Authorised Person Authorisation**

#### 1.1 Annual **Safety Document** review

To ensure a **Senior Authorised Person** holding an *Authorisation* to an NSI, demonstrates application during the year the following shall apply:

- A **Senior Authorised Person** shall present evidence to their Line Manager in the annual review. Copies of at least 5 **Safety Documents** they have prepared / issued in the past 12 months.  
(Evidence can be obtained from the data contained within the Electronic Safety Document System).
- If 5 **Safety Documents** are not completed, then the *Authorisation* will be suspended until the **Senior Authorised Person** has completed the relevant E-Learning.

Note:- For NSI 27, the Senior Authorised Person shall read the document in full and complete the NSI 27 SAP Assessment.

On completion of the annual **Safety Document** review:-

- Line Manager shall update the annual review qualification in the Training Database after checking the Training Database for:-
  - Currently authorised as a **Senior Authorised Person**
  - **Senior Authorised Person** audit in date
  - **Senior Authorised Person** has received, attended and has had all course coded *SHES Review Events* recorded
  - All the relevant **Competent Person, Authorised Person** and **Senior Authorised Person** E-Learning assessments are in date.
- Line Manager updates the Training Database.
- Line Manager shall file / store copies of the **Safety Document(s)** for 1 year.

#### 1.2 *SHES Review Events*

(applicable to **Competent, Authorised** and **Senior Authorised Person**)

- Line Manager shall ensure the attendance and confirm the update of the Training Database with regards to any course coded *SHES Review Events* for **Competent, Authorised** and **Senior Authorised Person**.
- Line Manager ensures attendance / acknowledgement of the content of any Safety review days, 'Stop for Safety' moments or days, teleconferences or Safety Stand Down Events that have a unique course code attached to them are recorded.
- Each attendance Register to be sent to Workforce Strategy to allow input on to the Training Database.
- All Event information that has a unique course code shall be retained by Workforce Strategy / Our Academy to be utilized by those who have missed any Events.
- Line Manager informs appropriate Head of Substations & Cables or OHL of any **Competent, Authorised** or **Senior Authorised Person(s)** who have not been recorded as receiving, attending or completing any of the *SHES Review Events*. The Line Manager arranges for all the information from the *SHES Review Event* to be requested from Workforce Strategy / Our Academy.
- The Line Manager will record that the information has been received and understood by the **Competent, Authorised** or **Senior Authorised Person(s)** and then confirm to Workforce Strategy, who will update the Training Database.

- Should a **Senior Authorised Person(s)** be absent from work whilst a safety critical (course coded) *SHES Review Event* occurs; that may affect any decisions they may have to make, then as a priority that information shall be conveyed and recorded by the Line Manager to the **Senior Authorised Person(s)** before they return to their nominal duties. Confirmation shall be inputted on to the training database by Workforce Strategy.  
(See Note 5)

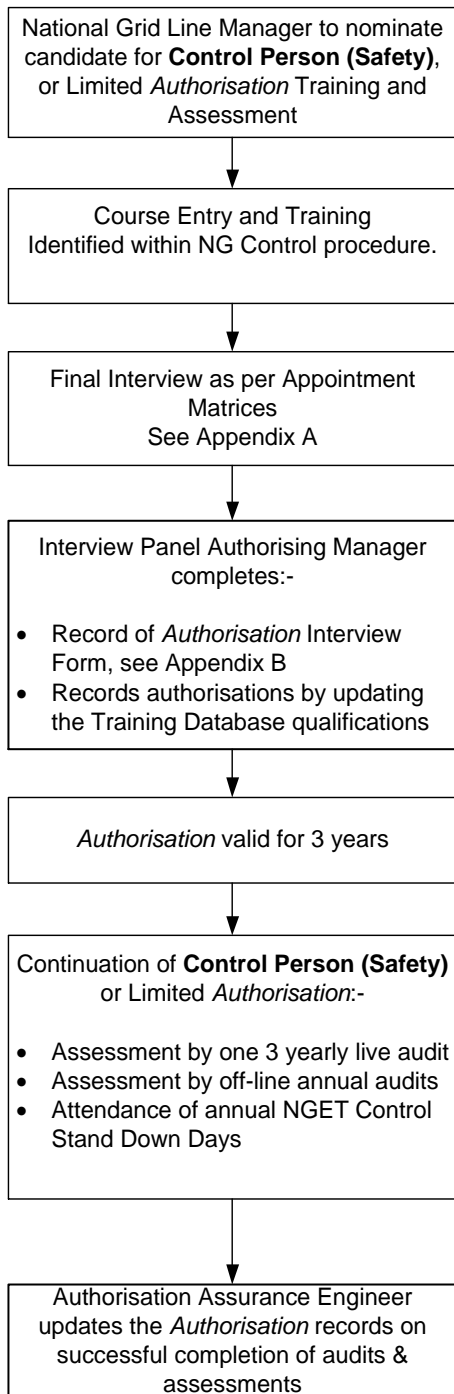
### 1.3 **Senior Authorised Person** Biennial E-Learning assessment and training

- E-Learning assessment and training shall be undertaken in exam conditions monitored by the Line Manager.
- The **Senior Authorised Person** shall undertake the **Senior Authorised Person** E-Learning assessment and refresher training module for all NSIs / Sections that they are authorised to.
- E-Learning Training and Assessments for all NSIs must be undertaken, as a minimum every 2 years, unless there have been significant changes within a specific NSI.

### 1.4 **Senior Authorised Person** Audit

- SHES and Compliance Engineer informs Line Manager of audit completion with any outcome and recommendations.
  - The **Senior Authorised Person** Audit shall only be classed as completed when the audit outcome is successful.
  - Line Manager ensures recommendations are actioned, where an audit, incident or suspension has occurred.
  - On successful completion, the SHES and Compliance Engineer updates qualification in the Training Database.
  - SHES and Compliance Engineer maintain a record of **Senior Authorised Person** audits.
  - All audits are undertaken in line with AMBP 120.
2. If the **Senior Authorised Person** is *authorised* as a **Competent Person** for any NSIs or sections of NSI 4 not covered by their **Senior Authorised Person** *authorisation* then the requirements in section 5.2 “Continuation of **Competent Person** *Authorisation*” must be fulfilled.
  3. **Senior Authorised Person** must also fulfil the requirements in section 5.3 “Continuation of **Authorised Person** *Authorisation*”.
  4. *Authorisation* will be immediately visible on the Training Database after input.
  5. Local Administrator / Line Manager can update the Training Database via an e-mail instruction from the Head of Substations & Cables or OHL. All recordable evidence, such as the AU/1 form, shall be uploaded into the Training Database.

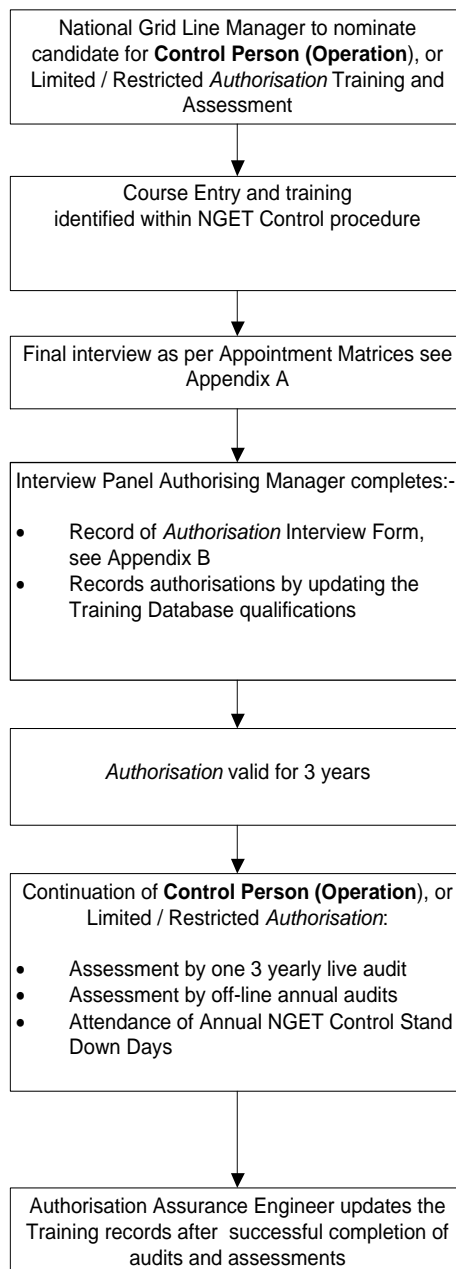
**5.5 National Grid NGET Control - Control Person (Safety) – including Limited *Authorisations***



Notes:-

1. *Authorisation* will be immediately visible in the Training records after input from the Authorisation Assurance Engineer

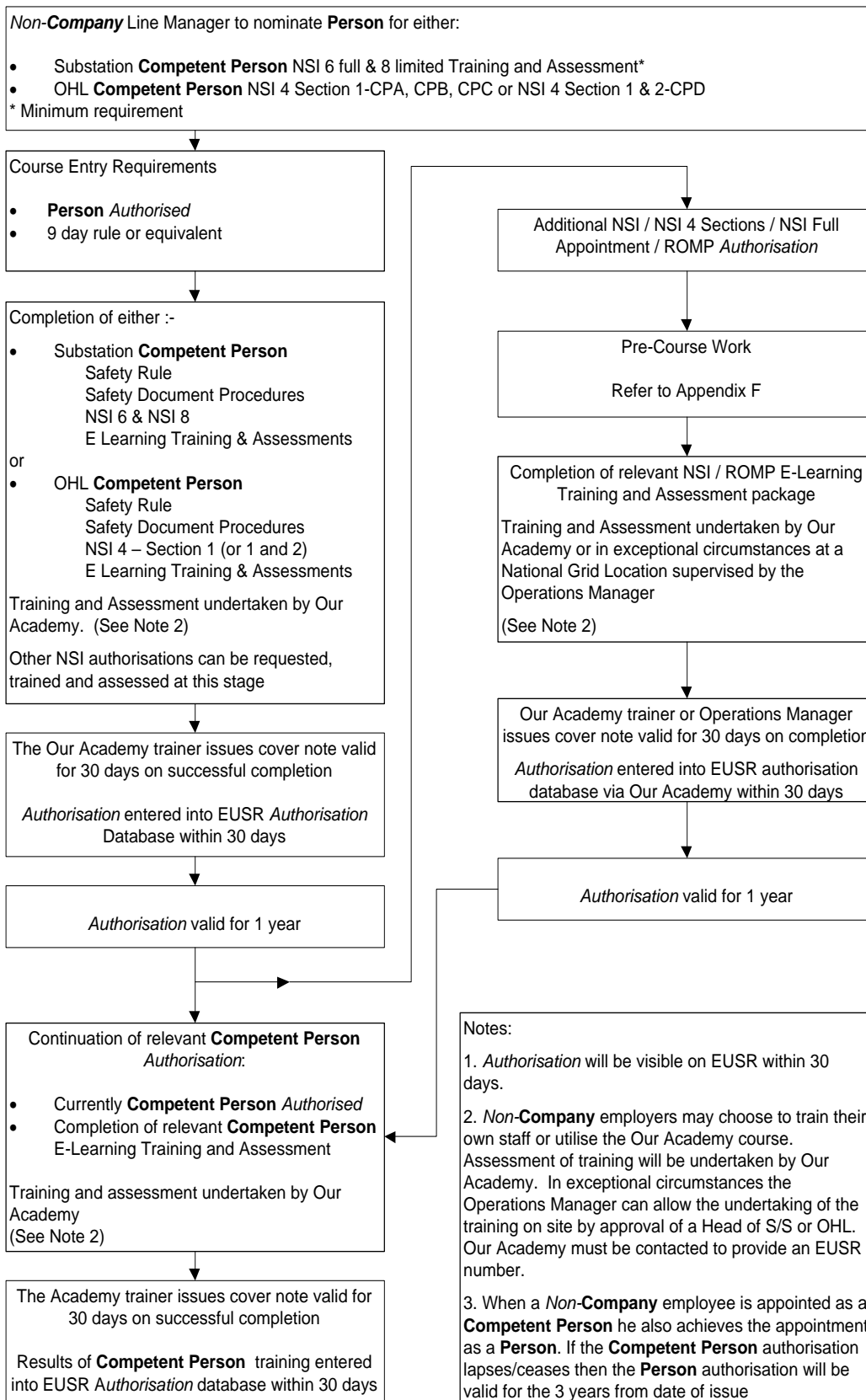
**5.6 National Grid NGET Control - Control Person (Operation) – including Limited/Restricted Authorisations**



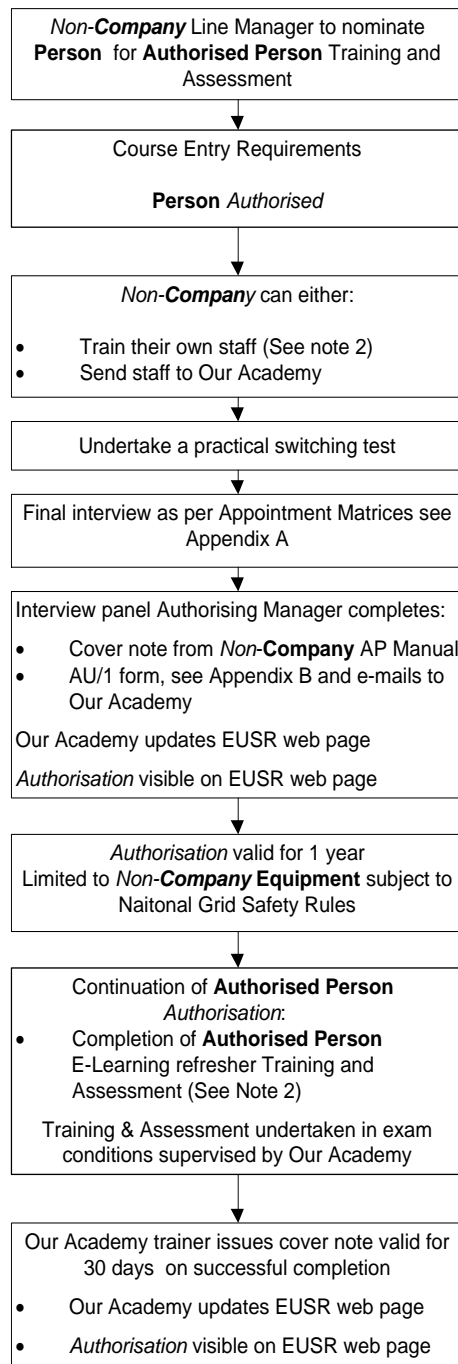
Notes:

1. *Authorisation* will be immediately visible in the Training records after input from the Authorisation Assurance Engineer

## 5.7 Non-Company Competent Person



## 5.8 Non-Company Authorised Person

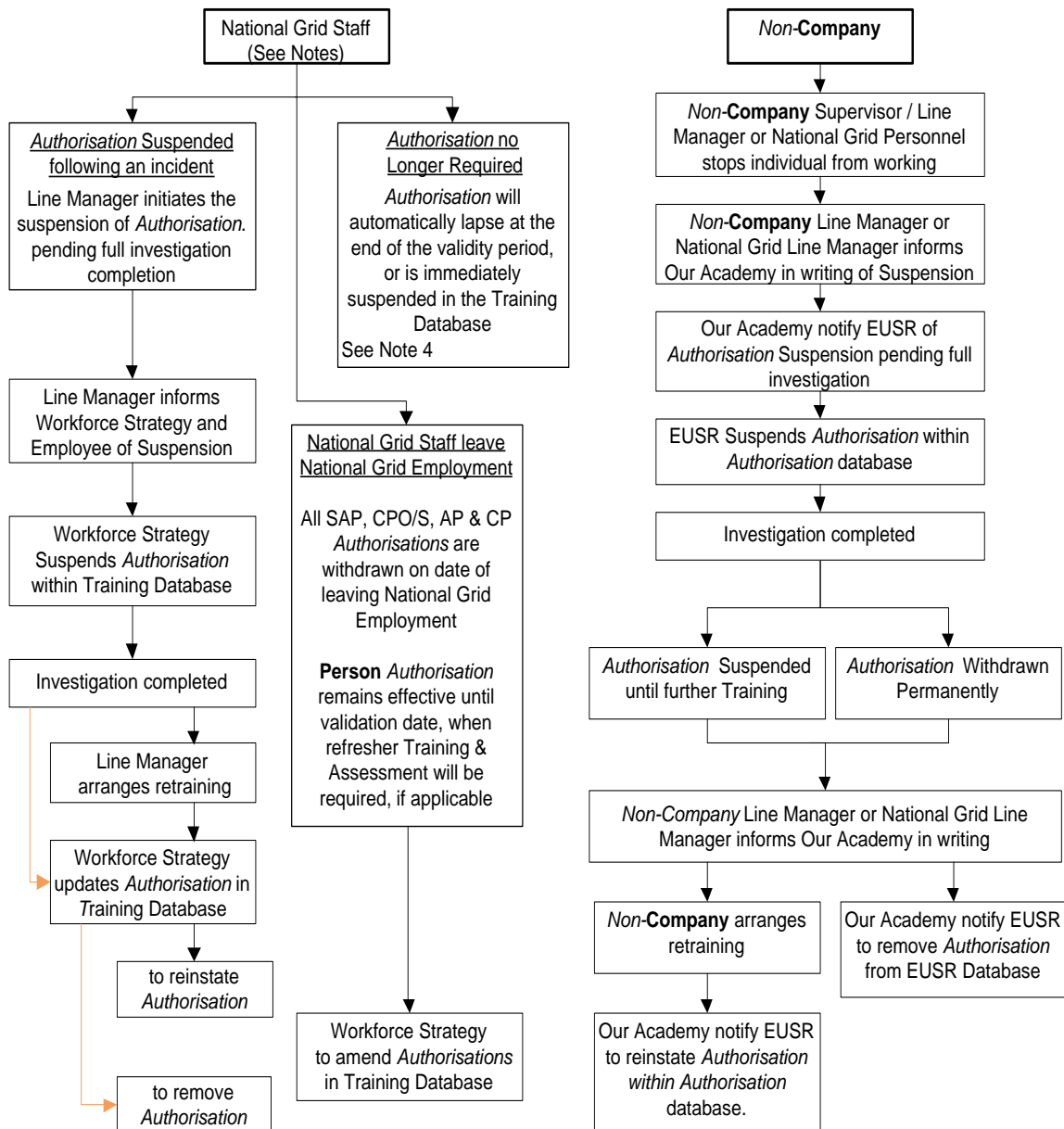


Notes:

1. Authorisation will be visible on EUSR within 30 days.

2. *Non-Company* employers may choose to train their own staff or utilise the Our Academy course. Assessment of candidate will be undertaken by Our Academy.

## 5.9 Removal and Reinstatement of *Authorisation*



**Notes:**

1. If the *Authorisation* is recommended for suspension via the SHES and Compliance Engineer audit, the Head of Substations & Cables or OHL and the Director of Asset Operations Electricity Transmission shall be informed.
2. For NGET Control - **Control Person(s)** refer to Management Procedure
3. If an individual has their *Authorisation* suspended, they can only enact those duties under the **Personal Supervision** of fully Authorised **Personnel** until their *Authorisation* is reinstated.
4. If a National Grid member of staff has their *Authorisations* suspended due to an absence from their normal duties then, section 4.3 shall be followed for an **Authorised Person** and **Senior Authorised Person** or, a re-authorisation plan agreed and recorded by the Line Manager will be utilised for all other *Authorisations*, not subject to a formal investigation. Workforce Strategy to amend the Training Database.
5. Retraining may be deemed an appropriate action following any / all investigations including audit findings.

## Appendix A - Appointment Matrices

### Person and Competent Person

| X = Recommended Option<br>O = Alternative Option |               | Training               |                             |             | Assessment by              |                                   | Review                      | Remark   |
|--|---------------|------------------------|-----------------------------|-------------|----------------------------|-----------------------------------|-----------------------------|--|
|  |               | National Grid Location | Our Academy Training Centre | Non-Company | National Grid Line Manager | National Grid Our Academy Trainer | Refresher/ Re-assess Period |  |
| <b>Person</b>                                    | National Grid | X                      | O                           |             | X                          | O                                 | 3 yrs                       | Refresher / Re-assessment process as per section 5.1 |
|  | Non-Company   |                        | X*                          | O           |                            | X                                 | 3 yrs                       |  |
| <b>Competent Person</b>                          | National Grid | X                      | O                           |             | X**                        | O                                 | 1 yr                        | Refresher / Re-assessment process as per section 5.2 |
|  | Non-Company   |                        | X                           | O           | O***                       | X                                 | 1 yr                        | Refresher / Re-assessment process as per section 5.7 |

Notes:-

\* Initial **Person Authorisation** shall take place at or via Our Academy.

\*\* For **CP** panels, if required, an experienced SAP / technical representative may attend to provide technical guidance, AU/1 Form to be completed after on-site evaluation.

\*\*\*Exceptional circumstances Operations Manager can authorise on site, with the Head of Substations & Cable or OHL consent.

Operations Manager must send a copy of the Cover Note to Our Academy to allow *Authorisation* to be updated on EUSR.



### Authorised Person and Senior Authorised Person

| X = Recommended Option<br>O = Alternative Option   |               | Training               |                             |             | Visits or visits by |              | Constitution of <i>Authorisation</i> Panel |  |                     |                      |                    | Practical Tests     | Form | Annual Review | Refresher/ Reassessment period | Remark   |
|--|---------------|------------------------|-----------------------------|-------------|---------------------|--------------|--|--|---------------------|----------------------|--------------------|---------------------|------|---------------|--------------------------------|--|
|  |               | National Grid Location | Our Academy Training Centre | Non-Company | Planning            | NGET Control | SHES & CE                                  | 'Head Of' S/S or OHL (Authorising Manager) | ET Safety Rule Team | Non-Company Observer | Operations Manager | Site + NGET Control |      |               |                                |  |
| <b>Authorised Person</b>   | National Grid |                        | X                           |             |                     |              | X  |  |                     |                      | X****              | X                   | AU/1 |               | 1 yr                           | Refresher / Re-assessment process as per section 5.3 |
|  | Non-Company   |                        | X                           | O           |                     |              | X*   | X  | X                   |                      |                    | X                   | AU/1 |               | 1 yr                           | Refresher / Re-assessment process as per section 5.8 |
|  | NG - NSI 27   | X                      |                             |             |                     |              | X  |  |                     | X                    |                    | X***                | AU/1 |               | 1 yr                           | Refresher / Re-assessment by Line Manager review.    |
| <b>Senior Authorised Person 1</b><br>Prepare, issue, transfer and cancel PFW, LAC, SFW, for <b>HV Equipment</b> as appropriate   |               |                        | X                           |             | X                   | X            | X**  |  |                     |                      |                    | X                   | AU/1 | X             | 1 yr                           | Refresher / Re-assessment process as per section 5.4 |
| <b>Senior Authorised Person 2</b><br>Prepare, consent, issue, transfer and cancel PFW, LAC, CLLVW, for <b>LV Equipment</b> as appropriate  |               |                        | X                           |             |                     | X            | X**  |  |                     |                      |                    | X                   | AU/1 | X             | 1 yr                           |  |
| <b>Senior Authorised Person 3</b><br>Prepare, consent, issue, transfer and cancel PFW, LAC, for <b>Mechanical Equipment</b> as appropriate   |               |                        | X                           |             |                     | X            | X**  |  |                     |                      |                    | X                   | AU/1 | X             | 1 yr                           |  |
| <p>Notes:</p> <p>* For <b>AP</b>, <b>Non-Company</b> <i>Authorisation</i> Panel, 'Head Of' S/S may be substituted by Operations Manager.</p> <p>** For <b>SAP</b> panels, if required, an experienced SAP / technical representative may attend to provide technical guidance. ('Head Of' S/S or OHL should remain independent where practicable)</p> <p>*** Practical Test at site only</p> <p>**** Independent Operations Manager where practicable, or substituted by the SHES &amp; CE (with the agreement of 'Head Of' of S/S or OHL)</p> <p>For SAP Panels the SHES &amp; Compliance Engineer (SHES &amp; CE) shall where possible be independent.</p> <p>Constitution of National Grid <b>AP</b> <i>Authorisation</i> Panel - candidates 'Head Of' S/S or OHL and independent Operations Manager. The 'Head Of' S/S or OHL may nominate a suitably qualified and experienced technical representative from the respective Zonal Leadership Team, to undertake the 'Authorising Manager' role on their behalf.</p> |               |                        |                             |             |                     |              |  |  |                     |                      |                    |                     |      |               |                                |  |

**Control Person (Operation) and Control Person (Safety)**

| X = Recommended Option<br>O = Alternative Option                       | Training               |                             |             | Visits |              | Constitution of <i>Authorisation</i> Panel |                        |                     |                      | Practical Tests     | Form | Annual Review | Refresher/ Reassessment period | Remark  |
|--|------------------------|-----------------------------|-------------|--------|--------------|--|------------------------|---------------------|----------------------|---------------------|------|---------------|--------------------------------|---|
|  | National Grid Location | Our Academy Training Centre | Non-Company | Site   | NGET Control | SHES & CE                                  | Authorising Manager*** | ET Safety Rule Team | Non-Company Observer | Site + NGET Control |      |               |                                |   |
| <b>Control Person (CPO 1)</b><br><b>Control Person (CPO 1) Limited</b> | X                      |                             |             | X*     |              |  | X                      |                     |                      | X****               | AU/1 | X             | 3 yr                           | Authorisation Panel, refer to NGET Control Management Procedure |
| <b>Control Person (CPO 1) (Restricted)</b>                             | X                      |                             |             | X*     | X*           |  | X                      |                     |                      | X****               | AU/1 | X             | 3 yr                           |   |
| <b>Control Person (CPS 1)</b><br><b>Control Person (CPS 1) Limited</b> | X                      |                             |             | X*     |              |  | X                      | O                   |                      | X****               | AU/1 | X             | 3 yr                           |   |
| <b>Control Person (CPOS 1) Limited</b>                                 | X                      | O                           |             |        |              |  | X                      |                     |                      |                     | AU/1 | X             | 1 yr                           | CPOS 1 Authorisation to be site specific                        |
| <b>Control Person (CPOS 2)</b>   |                        | X                           |             |        |              | X  | X                      |                     |                      | X**                 | AU/1 | X             | 1 yr                           | Refresher / Re-assessment process as per section 5.4            |
| <b>Control Person (CPOS 3)</b>   |                        | X                           |             |        |              | X  | X                      |                     |                      | X**                 | AU/1 | X             | 1 yr                           | Refresher / Re-assessment process as per section 5.4            |

Notes:

\* Site visits are not required where the trainee has previously worked on site, control room visits not required where trainee has previously worked at NGET Control

\*\* Captured as part of the **Senior Authorised Person** Practical

\*\*\* Authorising Manager could be ET Head of S/S or NGET Control Manager (as per NGET Management Procedure)

\*\*\*\* NGET Control Simulator Practical Assessment

SHES & Compliance Engineer (SHES & CE) shall where possible be independent.

## Appendix B1 – Record of Authorisation Interview Form AU/1

### UK ELECTRICITY TRANSMISSION SAFETY RULES INTERVIEW FORM AU/1

#### CANDIDATE DETAILS (print names)

|           |                      |   |                      |
|-----------|----------------------|---|----------------------|
| Name :    | <input type="text"/> | Payroll N° (NG Staff):                  | <input type="text"/> |
| Company : | <input type="text"/> | EUSR ID Number:                         | <input type="text"/> |
|           |                      | Geographical Limitation (Non-NG staff): | <input type="text"/> |

#### RECORD OF VISITS AND PRACTICAL TEST (print names)

|   |                      |  |            |                 |       |
|---|----------------------|--|------------|-----------------|-------|
| Visit or visited by<br>NGET Control /<br>Planning on: | <input type="text"/> | Practical test undertaken under<br>the <b>Personal Supervision</b> of: | #SAP / AP: | Control Person: | Date: |
|---|----------------------|--|------------|-----------------|-------|

#### AUTHORISATION PANEL (print names)

|                                   |                      |                      |                      |
|-----------------------------------|----------------------|----------------------|----------------------|
| SHES & Compliance<br>Engineer     | <input type="text"/> | Authorising Manager  | <input type="text"/> |
| ET Safety Rules<br>Representative | <input type="text"/> | Non-Company Observer | <input type="text"/> |
| Technical<br>Representative       | <input type="text"/> | Other                | <input type="text"/> |

#### AUTHORISATION AND OPERATIONAL AUTHORITIES (mark X as appropriate)

|                              |                          |                                |                          |                              |                          |
|------------------------------|--------------------------|--------------------------------|--------------------------|------------------------------|--------------------------|
| Competent Person             | <input type="checkbox"/> | Competent Person (ROMP)        | <input type="checkbox"/> | Authorised Person            | <input type="checkbox"/> |
| Senior Authorised Person #   | 1   2   3                | Control Person CP(OS) 2        | <input type="checkbox"/> | Control Person CP(OS) 3      | <input type="checkbox"/> |
| Control Person CP(OS) 1      | <u>Limited</u>           | Control Person (Safety) 1      | <input type="checkbox"/> | Control Person (Safety) 1    | <u>Limited</u>           |
| Control Person (Operation) 1 | <input type="checkbox"/> | Control Person – (Operation) 1 | <u>Limited</u>           | Control Person (Operation) 1 | <u>Restricted</u>        |
| PFW                          | <input type="checkbox"/> | LAC                            | <input type="checkbox"/> |                              |                          |
| SFW                          | <input type="checkbox"/> | CLLVW                          | <input type="checkbox"/> |                              |                          |
| OA1                          | <input type="checkbox"/> | OA2                            | <input type="checkbox"/> | OA3                          | <input type="checkbox"/> |
|                              |                          | OA5                            | <input type="checkbox"/> | OA6                          | <input type="checkbox"/> |

#### NATIONAL SAFETY INSTRUCTIONS (mark X as appropriate)

|        |   |  |        |  |  |        |  |
|--------|---|--|--------|--|--|--------|--|
| NSI 1  | Operational & Safety Switching                                  |  | NSI 2  | Earthing High Voltage Equipment                                  |  | NSI 3  | High Voltage Metal Clad Switchgear with Spouts   |
| NSI 4  | Work on or near High Voltage Overhead Lines (Section 1)         |  | NSI 4  | Work on or near High Voltage Overhead Lines (Section 2)          |  | NSI 5  | Cable Systems  |
| NSI 6  | Demarcation in Substations (Limited)                            |  | NSI 6  | Demarcation in Substations                                       |  | NSI 8  | Mobile Elevated Work Platforms, Lorry Loaders, Vehicles, Cranes and Objects in Substations |
| NSI 9  | Testing High Voltage Equipment                                  |  | NSI 10 | Equipment Containing Sulphur Hexafluoride (SF <sub>6</sub> )     |  | NSI 11 | High Voltage Static Capacitor Banks  |
| NSI 12 | Low Voltage Equipment   |  | NSI 13 | Washing High Voltage Insulators Using Portable Washing Equipment |  | NSI 14 | Automatically or Remotely Controlled Equipment   |
| NSI 17 | Pressure Systems  |  | NSI 24 | Modification or Repair of Earth Conductors on Main Earth Systems |  | NSI 26 | Railway Connection Circuits  |
| NSI 27 | Work on or near to High Voltage Direct Current (HVDC) Equipment |  |        |  |  |        |  |

The Authorising Manager and/or the constitution of any panel recommends that the candidate be authorised for the duties and responsibilities specified above  
# Delete as appropriate

|         |                      |       |                      |
|---------|----------------------|-------|----------------------|
| Signed: | <input type="text"/> | Date: | <input type="text"/> |
|---------|----------------------|-------|----------------------|

## Appendix B2 – Record of Authorisation Interview Form AU/2

|   |                |  |       |
|---|----------------|--|-------|
| Name:   |                | Payroll Number:                              |       |
| Authorisation Suspension Date:  |                | Reason for Suspension:                       |       |
| Authorisations Required:  |                | Proposed Authorisation Reinstatement Date:   |       |
| Authorisation Reinstatement Plan:   |                |  |       |
| General Comments:   |                |  |       |
|   |                |  |       |
| Training Course Requirements:   |                |  |       |
| Course Name   | Date Attended  | Assessment Completed & Score (if applicable) |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
| E-Learning Training and Assessment Requirements:  |                |  |       |
| E-learning Title  | Date Completed | Assessment Completed & Score (if applicable) |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
| SHES Review Events:   |                |  |       |
| Event Title   |                | Completion Date                              |       |
|   |                |  |       |
|   |                |  |       |
|   |                |  |       |
| Interview Panel Required (SAP or AP)  |                | Yes / No (Delete where applicable)           | Date: |
| Management Interview:   |                |  |       |
| Line Manager Name:  |                | Sign:  |       |
| Head of S/S or OHL Name:  |                | Sign:  |       |
| Authorisation Reinstated  |                | Yes / No (Delete where applicable)           |       |
| AU/1 form completed   |                | Yes / No (Delete where applicable)           |       |
| Learning Link updated (input this doc and a new AU1 form)   |                | Yes / No<br>(Delete where applicable)        |       |
| Zonal SHES and Compliance Engineer informed and AMBP 120 Audit arranged for within the next 12 months |                | Yes / No<br>(Delete where applicable)        |       |

## Appendix C – Person and Competent Person Cover Note



### Person

#### Cover Note

|  |  |                        |  |
|--|--|------------------------|--|
| <b>Title</b> <i>Mr, Mrs, Ms, Miss or Other</i> |  |                        |  |
| <b>Forename and Surname</b>                    |  | <b>Signature</b>       |  |
| <b>Date of Birth</b>                           |  |                        |  |
| <b>EUSR No. (If known)</b>                     |  | <b>Cover Note Ref.</b> |  |

I certify that the above named is Authorised as a Person

|   |                                |
|---|--------------------------------|
| <b>Registered for:</b><br><i>Please delete authorisation which <b>does not</b> apply to this person</i> | <b>Person – Substations</b>    |
|   | <b>Person - Overhead Lines</b> |
| <b>Event Date</b>   |                                |
| <b>Trainer/Facilitator Name</b>   |                                |
| <b>Trainer/Facilitator Signature</b>  |                                |
| <b>Authorising Name</b>   |                                |
| <b>Authorising Signature</b>  |                                |
| <b>Expiry date of this cover note</b>   |                                |

## Competent Person

### Cover Note

|  |  |                        |  |
|--|--|------------------------|--|
| <b>Title</b> <i>Mr, Mrs, Ms, Miss or Other</i> |  |                        |  |
| <b>Forename and Surname</b>                    |  | <b>Signature</b>       |  |
| <b>Date of Birth</b>                           |  |                        |  |
| <b>EUSR No. (if known)</b>                     |  | <b>Cover Note Ref.</b> |  |

I certify that the above named is Authorised as a Competent Person

|   |  |  |
|---|--|--|
| <b>Registered for:</b><br><br><i>Delete Authorisation(s) which <b>do not</b> apply to this person</i> | <b>Safety Documents</b>                        | <b>National Safety Instruction 4 – Section 1</b> |
|   | <b>Permit for Work ROMP</b>                    | <b>National Safety Instruction 4 - Section 2</b> |
|   | <b>Sanction for Work</b>                       | <b>National Safety Instruction 6</b>             |
|   | <b>National Safety Instruction 2 - Limited</b> | <b>National Safety Instruction 8 - Full</b>      |
|   | <b>National Safety Instruction 4 - CP A</b>    | <b>National Safety Instruction 8 - Limited</b>   |
|   | <b>National Safety Instruction 4 - CP B</b>    | <b>National Safety Instruction 9</b>             |
|   | <b>National Safety Instruction 4 - CP C</b>    |  |
|   | <b>National Safety Instruction 4 - CP D</b>    |  |
|   |  |  |
|   |  |  |
|   |  |  |
|   |  |  |

|                                 |  |                                      |  |
|---------------------------------|--|--------------------------------------|--|
| <b>Event Date</b>               |  |                                      |  |
| <b>Trainer/Facilitator Name</b> |  | <b>Trainer/Facilitator Signature</b> |  |
| <b>Authorising Name</b>         |  | <b>Authorising Signature</b>         |  |
| <b>Cover Note Expiry Date</b>   |  |                                      |  |

This cover note must be issued to, and retained by, the trainee named above.  
One copy to be forwarded to "Contractor Training Administrator" where on site completion of E-Learning package has taken place.

## **Appendix D - Person Record of nine (9) days' work on a (High Voltage) site(s)**

**Competent Person** must have been previously authorised as a **Person** and to have worked on a National Grid or other Electrical utility HV site, under Safety Documentation conditions, as part of a working party for a period of nine (9) days. This is to ensure that people without site experience in the HV Substation / OHL environment do not take charge of a working party. This requirement does not affect anyone who already holds a **Competent Person** card.

| <b><u>Personal Details</u></b>               |                          |  |                   |
|--|--------------------------|--|-------------------|
| <b>Employee's Full Name</b>                  |                          |  | <b>Signature:</b> |
| <b>Employer:</b>                             |                          |  | <b>EUSR No.</b>   |
| <b>Employer's Management Representative:</b> | <b>Full Name:</b>        |  |                   |
|  | <b>Signature:</b>        |  |                   |
|  | <b>Company Position:</b> |  |                   |

Note:- An Employers Management Representative's details are required to confirm the suitability of their nominated candidate to undertake NG **Competent Person** Training, Assessment & Duties.

| <b>Day</b> | <b>Date</b> | <b>Employer</b> | <b>National Grid / Electrical Utility - Location</b> | <b>Signature of Employee</b> | <b>Safety Document Number</b> |
|------------|-------------|-----------------|--|------------------------------|-------------------------------|
| 1          |             |                 |  |                              |                               |
| 2          |             |                 |  |                              |                               |
| 3          |             |                 |  |                              |                               |
| 4          |             |                 |  |                              |                               |
| 5          |             |                 |  |                              |                               |
| 6          |             |                 |  |                              |                               |
| 7          |             |                 |  |                              |                               |
| 8          |             |                 |  |                              |                               |
| 9          |             |                 |  |                              |                               |

Completed booking forms, evidence of existing Health and Safety training, record of Person card holder 9 days' work on a National Grid or other Electrical Utility site, under Safety documentation conditions and Annual Reviews of appointed employees may be required for audit purposes.

## Appendix E – Full Listing of NSI 30 Authorisations

The below table is a full listing of *Authorisation(s)* within NSI 30 and each individual role:  
e.g. **Senior Authorised Person** does not need to hold all the *Authorisation(s)* listed to enact that role.

| Person                  | Authorised Person               | Senior Authorised Person |
|-------------------------|---------------------------------|--------------------------|
| Person - Substations    | OA 2                            | OA 1                     |
| Person – Overhead Lines | OA 3                            |                          |
|                         | OA 6                            | CP(OS)1 Limited – HV     |
| <b>Competent Person</b> |                                 | CP(OS)2 – LV             |
| CP - PFW                |                                 | CP(OS)3 – Mech.          |
| CP - PFW ROMP           | AP – NSI 1                      |                          |
| CP - LAC                | AP – NSI 2                      |                          |
| CP - SFW                | AP – NSI 27                     | SAP - PFW                |
| CP - CLLVW              |                                 | SAP - LAC                |
|                         | *Annual Review                  | SAP - SFW                |
| CP – NSI 2              | *SHES Review Events             | SAP - CLLVW              |
| CP – NSI 2 - Limited    |                                 |                          |
| CP – NSI 3              | <b>Control Person Operation</b> | SAP1 – HV System         |
| CP – NSI 4 – Section 1  | OA – 5                          | SAP2 – LV System         |
| CP – NSI 4 – Section 2  | OA – 6                          | SAP3 – Mechanical System |
| CP – NSI 4 – CP A       |                                 |                          |
| CP – NSI 4 – CP B       | CP(O) 1 – HV*                   | SAP – NSI 1              |
| CP – NSI 4 – CP C       | CP(O) – NSI 1                   | SAP – NSI 2              |
| CP – NSI 4 – CP D       |                                 | SAP – NSI 3              |
| CP – NSI 5              | CP(O)1 – Limited*               | SAP – NSI 4 – Section 1  |
| CP – NSI 6              | CP(O)1 – Restricted*            | SAP – NSI 4 – Section 2  |
| CP – NSI 6 - Limited    |                                 | SAP – NSI 5              |
| CP – NSI 8              | *NGET Control Stand Down Day    | SAP – NSI 6              |
| CP – NSI 8 - Limited    | *Annual Off-Line Audit          | SAP – NSI 6 - Limited    |
| CP – NSI 9              | *3 Yearly Audit                 | SAP – NSI 8              |
| CP – NSI 10             |                                 | SAP – NSI 9              |
| CP – NSI 11             | <b>Control Person Safety</b>    | SAP – NSI 10             |
| CP – NSI 12             | CP(S) 1 – HV*                   | SAP – NSI 11             |
| CP – NSI 13             | CP(S) 1 – Limited*              | SAP – NSI 12             |
| CP – NSI 17             |                                 | SAP – NSI 13             |
| CP – NSI 24             | CP(S) – NSI 1                   | SAP – NSI 14             |
|                         | CP(S) – NSI 2                   | SAP – NSI 17             |
|                         | CP(S) – NSI 3                   | SAP – NSI 24             |
|                         | CP(S) – NSI 4                   | SAP – NSI 26             |
|                         | CP(S) – NSI 5                   | SAP – NSI 27             |
| *Annual Review          | CP(S) – NSI 9                   |                          |
| *SHES Review Events     | CP(S) – NSI 10                  |                          |
|                         | CP(S) – NSI 11                  |                          |
|                         | CP(S) – NSI 26                  |                          |
|                         | CP(S) – NSI 27                  |                          |
|                         | CP(S) – NSI 33                  | *Annual Review           |
|                         |                                 | *SHES Review Events      |
|                         | *NGET Control Stand Down Day    | *SAP – Audit             |
|                         | *Annual Off-Line Audit          |                          |
|                         | *3 Yearly Audit                 |                          |
|                         | *Paper Based Assessment         |                          |

### Notes:

\* These are the requirements to maintain an *Authorisation(s)* and are recorded in the Training Database



## Appendix F – NSI Authorisation Pre-course Requirements

| Authorisation   | Authorisation Pre-course Requirements   |   |  |  |
|---|---|---|--|--|
|   | Competent Person  | Authorised Person<br>(Company / Non-Company)                          | Senior Authorised Person   | Non-Company Competent Person   |
| Safety Rules (ROMP)                                   | 2 ROMP documents held under <b>Personal Supervision</b> of a ROMP <i>authorised CP</i> within last 12 months  | N/A   | As per <i>SAP Manual</i>   | 2 ROMP documents held under <b>Personal Supervision</b> of a ROMP <i>authorised CP</i> within last 12 months, other Utility Company equivalent documents may be evidenced.<br><br>and<br>ROMP E-Learning Training and Assessment delivered by Our Academy  |
| NSI 1 – Operational & Safety Switching                | N/A   | As per <i>AP Manual</i><br><br>Or<br><br><i>Non-Company AP Manual</i> | As per <i>SAP Manual</i>   | N/A  |
| NSI 2 – Earthing High Voltage Equipment               | <i>Authorised as a CP</i> NSI 6 & 8<br><br>Read NSI 2 Rules & Guidance<br><br>Evidence of two occasions in the application and removal of <b>Drain Earth(s)</b> under <b>Personal Supervision</b> of an NSI 2 <i>authorised CP</i> within last 12 months.<br><br>Evidence of two occasions of giving physical assistance in applying portable <b>Primary Earth(s)</b> under <b>Personal Supervision</b> of an <i>SAP1</i> within last 12 months | As per <i>AP Manual</i><br><br>Or<br><br><i>Non-Company AP Manual</i> | As per <i>SAP Manual</i>   | Authorised as a <i>CP</i> NSI 6 full & 8 limited<br><br>Read NSI 2 Rules & Guidance<br><br>Evidence of two occasions in the application and removal of <b>Drain Earth(s)</b> under <b>Personal Supervision</b> of an NSI 2 <i>authorised CP</i> within last 12 months<br><br>Or<br>NSI 2 Practical Course delivered by Our Academy |
| NSI 3 - High Voltage Metalclad Switchgear with Spouts | <i>Authorised as a CP</i> NSI 6 & 8<br><br>Read NSI 3 Rules & Guidance<br><br>Two occasions of holding <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 3 <i>authorised CP</i> within last 12 months   | <i>Authorised as an AP</i>  | <i>Authorised as SAP 1</i><br><br>Read NSI 3 Rules & Guidance<br><br>Two occasions of preparing <b>Safety Document(s)</b> on metal clad switchgear under <b>Personal Supervision</b> of a <i>SAP1</i> <i>authorised</i> to NSI 3 within last 12 months | N/A  |

| <b>Authorisation Pre-course Requirements</b>                                   |  |  |  |   |
|--|--|--|--|---|
| <b>Authorisation</b>   | <b>Competent Person</b>  | <b>Authorised Person<br/>(Company / Non-Company)</b> | <b>Senior Authorised Person</b>  | <b>Non-Company Competent Person</b>   |
| NSI 4 Work on or Near High Voltage Overhead Lines Core Authorisation Section 1 | <p><i>Authorised as a Person</i></p> <p>Read Section 1 of NSI 4</p> <p>9 days on-site experience as part of a working party</p> <p>Evidence of two occasions in the application and removal of <b>Drain Earth(s)</b> under <b>Personal Supervision</b> of an NSI 4 authorised CP within last 12 months</p> | N/A  | As per SAP Manual  | <p><i>Authorised as a Person</i></p> <p>9 days on-site experience or Pre-<b>Competent Person</b> Course completion.</p> <p>CPA and CPB<br/>Read section 1 of NSI 4</p> <p>CPC<br/>Read section 1 of NSI 4</p> <p>Evidence of two occasions in the application and removal of <b>Drain Earth(s)</b> under <b>Personal Supervision</b> of an NSI 4 authorised CP within last 12 months<br/>or<br/>NSI 4 Practical Course delivered by Our Academy</p> |
| NSI 4 OHL Authorisation(s) – Section 2   | <p><i>Authorised as <b>Competent Person</b> OHL to NSI4 Section 1 core.</i></p> <p>Read Section 2 of NSI 4.</p>  | N/A  | <p><i>Authorised as a <b>Senior Authorised Person</b> OHL to NSI 4 Section 1 core.</i></p> <p>Read section 2 of NSI 4.</p> | <p>CPD<br/><i>Authorised as <b>Competent Person</b></i></p> <p>Read section 2 of NSI 4.</p>   |

| <b>Authorisation Pre-course Requirements</b>   |  |  |   |   |
|--|--|--|---|---|
| <b>Authorisation</b>   | <b>Competent Person</b>  | <b>Authorised Person<br/>(Company / Non-Company)</b> | <b>Senior Authorised Person</b>   | <b>Non-Company Competent Person</b>   |
| NSI 5 – Cable Systems  | <p>Authorised as a <i>CP</i> NSI 6 &amp; 8<br/>Read NSI 5 Rules &amp; Guidance</p> <p>Complete approved Cable appreciation course and CBT assessment.</p> <p>Two occasions of holding <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 5 authorised <i>CP</i> within last 12 months</p> | N/A  | <p>Authorised as a <i>SAP 1</i><br/>Read NSI 5 Rules &amp; Guidance</p> <p>Complete approved Cable appreciation course and CBT assessment.</p> <p>Two occasions of preparing <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 5 authorised <i>SAP1</i> within last 12 months</p> | N/A   |
| NSI 6 - Demarcation in Substations   | <p>Authorised as <b>Person</b></p> <p>9 days' on-site experience as part of a <b>Working Party</b></p> <p>Read NSI 6 and NSI 6 Guidance</p>  | N/A  | As per <i>SAP Manual</i>  | <p>Authorised as <b>Person</b></p> <p>9 days' on-site experience as part of a <b>Working Party</b> or Pre-<b>Competent Person</b> Course completion.</p> <p>Read NSI 6 and NSI 6 Guidance</p>   |
| NSI 8 – Mobile Elevated Work Platforms, Lorry Loaders, Vehicles, Cranes and Objects in Substations | <p>Authorised as <b>Person</b></p> <p>9 days' on-site experience as part of a <b>Working Party</b></p> <p>Read NSI 8 and NSI 8 Guidance</p>  | N/A  | As per <i>SAP Manual</i>  | <p><u>For Limited or Full Authorisation</u><br/>Authorised as <b>Person</b></p> <p>9 days' on-site experience as part of a <b>Working Party</b> or Pre-<b>Competent Person</b> Course completion.</p> <p>Read NSI 8 and NSI 8 Guidance</p>  |
| NSI 9 – Testing High Voltage Equipment   | <p>Authorised as a <i>CP</i> NSI 2,6 &amp; 8<br/>Read NSI 9 Rules &amp; Guidance</p> <p>Evidence of two occasions in the application and removal of <b>Primary Earth(s)</b> under a SFW and under <b>Personal Supervision</b> of an NSI 9 authorised <i>CP</i> within last 12 months</p>                     | N/A  | As per <i>SAP Manual</i>  | <p>Authorised as a <i>CP</i> NSI 6 full, NSI 8 limited &amp; NSI 2 limited</p> <p>Read NSI 9 Rules &amp; Guidance</p> <p>Evidence of two occasions in the application and removal of <b>Primary Earth(s)</b> under a SFW and under <b>Personal Supervision</b> of an NSI 9 authorised <i>CP</i> within last 12 months</p> |

| Authorisation  | Authorisation Pre-course Requirements   |  |   |                              |
|--|---|--|---|------------------------------|
|  | Competent Person  | Authorised Person<br>(Company / Non-Company) | Senior Authorised Person  | Non-Company Competent Person |
| NSI 10 – Equipment Containing Sulphur Hexafluoride (SF6) | <p>Authorised as a <i>CP</i> NSI 6 &amp; 8</p> <p>Completed approved SF6 Gas Handling Course (SF6 Module 2 - SF6 Usage and Operating Recovery Equipment)<br/>or<br/>Previous equivalent courses</p> <p>Read NSI 10 Rules &amp; Guidance</p> <p>Two occasions of holding <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 10 authorised <i>CP</i> within last 12 months. (At least one covering gas depressurisation and entry into a gas zone)</p> | N/A  | <p>Authorised as a <i>SAP 1</i></p> <p>Read NSI 10 Rules &amp; Guidance</p> <p>Completed:<br/>SF6 Module 1 – Top up and Test<br/>SF6 Module 2 - SF6 Usage and Operating Recovery Equipment<br/>or<br/>Previous equivalent courses</p> <p>Two occasions of preparing <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 10 authorised <i>SAP1</i> within last 12 months. (At least one covering gas depressurisation and entry into a gas zone)</p> | N/A                          |
| NSI 11 – High Voltage Capacitor Banks                    | <p>Authorised as a <i>CP</i> NSI 6 &amp; 8</p> <p>Read NSI 11 Rules &amp; Guidance</p> <p>Two occasions of holding <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 11 authorised <i>CP</i> within last 12 months</p>  | N/A  | <p>Authorised to <i>SAP 1</i></p> <p>Read NSI 11 Rules &amp; Guidance</p> <p>Two occasions of preparing <b>Safety Document(s)</b> on capacitor bank under <b>Personal Supervision</b> of a <i>SAP1</i> authorised to NSI 11 within last 12 months</p>   | N/A                          |
| NSI 12 - Low Voltage Equipment                           | <p>Authorised as a <i>CP</i> NSI 6 &amp; 8</p> <p>Read NSI 12 Rules &amp; Guidance</p> <p>Two occasions of holding <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 12 authorised <i>CP</i> within last 12 months</p>  | N/A  | As per <i>SAP Manual</i>  | N/A                          |

| <b>Authorisation Pre-course Requirements</b>                              |   |  |   |                                     |
|---|---|--|---|-------------------------------------|
| <b>Authorisation</b>  | <b>Competent Person</b>   | <b>Authorised Person<br/>(Company / Non-Company)</b> | <b>Senior Authorised Person</b>   | <b>Non-Company Competent Person</b> |
| NSI 13 – Washing High Voltage Insulators Using Portable Washing Equipment | <p>Authorised as a CP NSI 6 &amp; 8</p> <p>Read NSI 13 Rules &amp; Guidance</p> <p>Two occasions of holding <b>Safety Document(s)</b> or <b>Live</b> water washing under <b>Personal Supervision</b> of an NSI 13 authorised CP within last 12 months</p> | N/A  | <p>Authorised to SAP 1</p> <p>Read NSI 13 Rules &amp; Guidance</p> <p>Two occasions of preparing <b>Safety Document(s)</b> or <b>Live</b> water washing under <b>Personal Supervision</b> of a SAP1 authorised to NSI 13 within last 12 months.</p>   | N/A                                 |
| NSI 14 - Automatically or Remotely Controlled Equipment                   | N/A   | N/A  | As per SAP Manual   | N/A                                 |
| NSI 17 – Pressure Systems   | <p>Authorised as a CP NSI 6 &amp; 8</p> <p>Read NSI 17 Rules &amp; Guidance</p> <p>Two occasions of holding <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 17 authorised CP within last 12 months</p>                              | N/A  | As per SAP Manual   | N/A                                 |
| NSI 24 – Modification or Repair of Earth Conductors on Main Earth Systems | <p>Authorised as a CP NSI 6 &amp; 8</p> <p>Read NSI 24 Rules &amp; Guidance</p> <p>Two occasions of holding <b>Safety Document(s)</b> under <b>Personal Supervision</b> of an NSI 24 authorised CP within last 12 months</p>                              | N/A  | <p>Authorised to SAP 1</p> <p>Read NSI 24 Rules &amp; Guidance</p> <p>Two occasions of preparing <b>Safety Document(s)</b> under <b>Personal Supervision</b> of a SAP1 authorised to NSI 24 within last 12 months.</p>  | N/A                                 |
| NSI 26 – Railway Connection Circuits                                      | <p>N/A</p> <p><i>*Note – although NSI 26 mentions Competent Person – there are no responsibilities attached to this role – thus a separate authorisation is not required.</i></p>   | N/A  | <p>Authorised to SAP 1</p> <p>Read NSI 26 Rules &amp; Guidance</p> <p>Complete approved appreciation course and CBT assessment. (CBT only for experienced Engineers).</p> <p>Two occasions of preparing <b>Safety Document(s)</b> under <b>Personal Supervision</b> of a SAP1 authorised to NSI 26 within last 12 months.</p> | N/A                                 |

|   |   |  |  |            |
|---|---|--|--|------------|
| <p>NSI 27 – Work on or near to High Voltage Direct Current (HVDC) Equipment</p> | <p>N/A</p> <p><i>*Note – although NSI 27 mentions Competent Person – there are no responsibilities attached to this role – thus a separate authorisation is not required.</i></p> | <p>Authorised as an <i>AP</i></p> <p>Read NSI 27 Rules, Guidance &amp; relevant Appendices</p> <p>Two occasions of carrying out switching to NSI 27 under <b>Personal Supervision</b> of an NSI 27 authorised <i>AP</i> within last 12 months. Two desktop exercises may be completed in lieu of above.</p> <p>Complete NSI 27 AP Assessment</p> | <p>Authorised to <i>SAP 1</i></p> <p>Read NSI 27 Rules, Guidance &amp; relevant Appendices</p> <p>Two occasions of preparing <b>Safety Document(s)</b> under <b>Personal Supervision</b> of a <i>SAP1</i> authorised to NSI 27 within last 12 months.</p> <p>Complete NSI 27 SAP assessment.</p> | <p>N/A</p> |
|---|---|--|--|------------|