

OPERATIONAL TRAINING ASSESSMENT AND AUTHORISATION OF PERSONS

OPERATIONAL SAFETY MANUAL – SECTION 3.1

PR-NET-OPS-001	Operational Training, Assessment, and Authorisation of Persons Operational Safety Manual – Section 3.1		Applies to	
			SSEN-D SHEPD	SSEN-D SEPD
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1 Introduction

This **Approved** procedure sets out the requirements for persons to achieve Operational Authorisation needed to access the electrical distribution **System** owned and operated by Scottish and Southern Electricity Networks Distribution (**SSEN-D**).

This **Approved** procedure is required by the **SSEN-D** Operational Safety Rules (**OSR**) and the SSE Safe Systems of Work Standard (MS-SHE-005).

2 Scope

This **Approved** procedure applies to:

- All persons who work on behalf of SSEN-D (employees, contract partners, retained community operatives, and SSE employees who support SSEN-D when completing their role).
- The SHEPD electrical distribution system.
- The SEPD electrical distribution system.

3 References

This document forms part of the SSEN Distribution Operational Safety Manual, SHE Management System, and business management system. It should be read and used in conjunction with other documents within the manuals and systems; it has however been developed with the user and in-scope activity in mind, meaning it should provide the user with the information they need to complete in-scope activities without referencing other documents.

In addition to the above, this document has been put in place to align SSEN Distribution with the associated Legal requirements and good practice electricity sector guidance.

For further help and guidance on how this document relates to other documents and requirements, please contact a member of the SSEN Distribution Operational Safety team.

4 Definitions

The words printed in bold text within this document are either headings or definitions. Definitions used within this **Approved** procedure are defined within the list presented immediately below, or within section 2 of the **Operational Safety Rules**.

- Authorisation Officer (AO)** – a professional **Person** appointed by the **Designated Engineer** (or their nominated deputy) to issue operational authorisations in accordance with the **OSR** and this **Approved** procedure.

5 Deviations

Any deviations from the requirements detailed in this **Approved** procedure **Shall** be agreed in writing between the **Designated Engineer** and the respective Head of Department requesting the deviation.

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6 Governance

This **Approved** procedure is developed and managed under the governance of the **SSEN-D** Operational Standards Group (OSG), which is accountable to the Distribution Safety, Health and Environment Committee, and Distribution Executive Committee respectively. Regarding rule hierarchy, this **Approved** procedure falls under the auspices of the **OSR**.

7 Award and Removal of SSEN-D Operational Authorisations

The operational authorisations needed to access the electrical distribution **Systems** owned and operated by **SSEN-D** are awarded and managed in accordance with the processes detailed in this **Approved** procedure. The **Designated Engineer Shall** appoint a professional community of **Authorisation Officers** to award **SSEN-D** operational authorisation in accordance with the requirements of this **Approved** procedure. To help ensure safety from the **System**, the **Designated Engineer** (and nominated deputies) can remove operational authorisations without the need to provide reason or justification; however, in practice the **Designated Engineer** should consider the need to explain such decisions to interested parties, e.g. the responsible Head of Department, the person involved, Trade Union Representatives, etc. If an **Authorisation Officer** believes there is a need for a **Person's** operational authorisation to be removed, they **Shall** contact the **Designated Engineer** (or a nominated deputy) and share facts regarding the matter in question.

8 Key Roles and Responsibilities

- Distribution Executive Committee – appoint the **Designated Engineer**, ensure suitable and sufficient resources are in place to support compliance with the requirements of this **Approved** procedure.
- Distribution Safety, Health and Environment Committee (DSHEC) – provide counsel and support for the Operational Standards Group and help to ensure suitable and sufficient resources are in place to facilitate compliance with the requirements of this **Approved** procedure.
- Operational Standards Group (OSG) – the OSG is convened to provide counsel, governance, agreement and guidance on – operational authorisations, operational documents; and the implementation of new/ revised operational documents that fall under the auspices of the **OSR**. The **Designated Engineer** agrees terms of reference of the OSG with the DSHEC and ensures they are updated regularly (e.g. every 3 years).
- Directors – champion compliance with the requirements of this **Approved** procedure and ensure suitable and sufficient resources are in place in their respective areas of responsibility to facilitate compliance, including the nomination of potential **Authorisation Officers** for the consideration of the **Designated Engineer**.
- Director of Learning & Talent (SSE) – provide **SSEN-D** with professional training and assessment services including the keeping of, and unrestricted access to, related training and operational authorisation records.
- Director of Safety, Health and Environment – provide suitable and sufficient resources to ensure the effective application of this **Approved** procedure and assist the **Designated Engineer** to ensure governance over the correct application of the **Approved** procedure in **SSEN-D**.

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- Heads of Department – ensure their managers and contract managers are familiar with the detail of this **Approved** procedure and they are competent to carry out their respective duties. Ensure suitable and sufficient resources are in place to help ensure compliance. Monitor and ensure compliance with the requirements of this **Approved** procedure within their respective area of responsibility.
- Managers and Contract Managers – ensuring there is a clear and justified business need before nominating appropriate persons for operational training and authorisation. Ensure persons completing training and assessments prior to achieving operational authorisations are effectively supported to remain at all times in alignment with the respective requirements, e.g. completing on-job objectives. Supervise and monitor persons working on their behalf (team members and contract partners) to ensure they comply with the requirements of this **Approved** procedure, ensuring that operational authorisations remain current, and/or ensure they are relinquished at the point they are no longer needed.

Note: the term ‘appropriate persons’ as used in the paragraph above means persons that already possess the craft or engineering competency to complete their role safely and professionally, and they are subsequently seeking operational training and authorisation to compliment this existing level of craft and/or engineering competence. Except for managers, auditors and other similar ‘non-industrial’ type roles **Approved** by the **Designated Engineer**; persons who do not possess the appropriate craft and/or engineering competence needed to safely operate under the auspices of an operational authorisation **Shall** not be nominated for operational training and/or authorisation.

- **Designated Engineer** – appoint a professional community of **SSEN-D Authorisation Officers**, provide support and governance over the application of this **Approved** procedure in **SSEN-D**. It is essential that the operational authorisation arrangements in **SSEN-D** endure as a key part of a just, fair and impartial process. It should be noted that the **Authorisation Officer** community can therefore consist of **Persons** employed by **SSEN-D** and **Persons** employed by other companies. If the **Designated Engineer** appoints **Persons** employed by other companies into the role of **Authorisation Officer**, the **Designated Engineer Shall** confirm in writing at the time of appointment what category of candidates such **Authorisation Officers** are permitted to assess/ interview as part of the process detailed within this **Approved** procedure.
- **Authorisation Officers** – comply with the details set out in this **Approved** procedure when considering the award of **SSEN-D** operational authorisations to persons working on behalf of **SSEN-D**. Do not consider and/or reward operational authorisations to any person within their direct line of management control, and so far as reasonably practicable, work to ensure they are impartial to their candidates.
- **Persons** – individuals issued with **SSEN-D** operational authorisation **Shall** ensure their operational authorisation remains current by attending scheduled training and assessments before their operational authorisation expires. **Persons** with operational authorisation **Shall** not access the **SSEN-D System** if their operational authorisation has expired.
- Networks Business Assurance and **SSEN-D** Safety, Health and Environment Team are jointly responsible for agreeing and completing a schedule to periodically audit the training, assessment and authorisation processes set out in this **Approved** procedure, and a percentage of the **Persons** successfully authorised via the processes detailed in this **Approved** procedure. This may include the completion of external benchmarking to ensure the arrangements set out in this **Approved** procedure remain aligned with sector good practice.

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9 Process to Achieve Operational Authorisation

The key elements of the process to achieve operational authorisation are shown below.



Figure 9.1 – Process to Achieve Operational Authorisation

SSEN-D is accountable for the operational authorisation categories and the detail of the associated operational training courses and related assessments it requires in place to ensure safety from the **System**.

It is the responsibility of the SSE Learning and Talent (L&T) team to ensure operational authorisation categories as agreed with **SSEN-D** are published (WI-HR-LD-021) and available to award via the MyLearning system.

The SSE Learning and Talent team is also responsible for ensuring a suite of operational training courses and associated assessments are available to compliment all operational authorisation categories. The SSE Learning and Talent team **Shall** agree the details of operational training and other authorisation arrangements with **SSEN-D** before use.

All of the electronic forms and processes needed to progress a candidate through the operational training, assessment and authorisation journey are available within the MyLearning system. It is the responsibility of the SSE Learning & Talent team to maintain these processes and provide **SSEN-D** with associated professional guidance and support.

The SSE Learning and Talent team **Shall** provide an **SSEN-D** electronic operational training and authorisation file for each **SSEN-D** training and authorisation candidate (employees and contract partners). Access to these files **Shall** be granted in accordance with **SSEN-D** data management requirements.

Records relating to operational training, assessment, authorisation and re-assessment **Shall** be retained for the period of time a **Person** is actively working on behalf of **SSEN-D**, and for a minimum period of seven (7) years after the respective **Person** ceases to work/ operate on behalf of **SSEN-D**.

Key Element – Candidate Assessment and Nomination:

- a) **Manager Led Process** – the candidate's Manager/ Contract Manager is responsible for the completion of the justification and nomination process. It is not acceptable for Managers and Contract Managers to employ other persons to complete this process on their behalf. It is acceptable for Managers and Contract Managers to engage administrative support to help them complete these processes, however, the training and authorisation process requires significant investment of time, money and resources and therefore it demands Manager/ Contract Manager personal time and consideration to ensure correct use and completion.
- b) **Candidate Suitability** – the candidate's Manager/ Contract Manager is personally responsible for ensuring the candidate is suitable for the intended operational training and authorisation. Not every person will be suitable for operational authorisation. The thorough assessment of candidates prior to nomination is therefore an essential part of the training and authorisation process. Managers/ Contract Managers **Shall** ensure they assess candidates thoroughly before nominating; this **Shall** at least include the assessment elements listed below:
 - i. Completion of a 'Human Factor' assessment (see Appendix C).

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- ii. Completion of the pre-requisite requirements needed for the intended operational authorisation the person is being put forward to achieve, e.g. required craft and/or engineering competencies, specific training requirements, academic qualifications, etc.
- iii. Consider if an 'Operational Mentor' is to be appointed for the candidate, and if so, complete the candidate/ mentor introduction.
- c) Business Need – the candidate's Manager/ Contract Manager **Shall** confirm there is a clear and justified business need for a candidate to progress towards achieving operational authorisation. **SSEN-D** has an obligation to minimise the number of **Persons** with operational authorisation; therefore, it is essential that managers and contract managers consider all nominations carefully to confirm a clear and justified business need and budget exists to support all candidate nominations. Two examples are provided below for context:
 - i. Example 1 – a contract partner puts a craft trained and certified Overhead Line Operative forward to help facilitate a contract which the partner has recently been awarded. This is a solid and justified business need.
 - ii. Example 2 – a Business Manager has requested operational authorisation at **Competent Person** level to access substations and visit work sites. In their role they will never need to access the **System** (visit site) on their own and all visits to jobs include meeting operational colleagues on site. This is not a justified reason for operational authorisation because the Business Manager can ask the **Persons** they visit on site to provide them with **Personal Supervision** during their visit(s) to ensure safety from the **System**.
 - iii. Example 3 – an **SSEN-D** contract partner considers championing a person to work on a contract; however, the person has not completed any key stages of the related craft training. This situation is not justified as the person cannot be considered competent to start the operational training and authorisation process until they have concluded key stages of their planned craft training.
- d) Working on Behalf of **SSEN-D** – all persons put forward for **SSEN-D** operational training and authorisation **Shall** either be employed directly by **SSEN-D**, directly employed by a company contracted directly to **SSEN-D**; or sub-contracted by a company that is contracted directly to **SSEN-D**. To ensure a clear line of management responsibility and liability, the **SSEN-D** operational authorisation associated with persons not directly employed by **SSEN-D** **Shall** be listed/ registered in the MyLearning system under the name of the contract partner company directly contracted to **SSEN-D**.

It is not acceptable to register **SSEN-D** operational authorisations in the MyLearning system under the name of company sub-contracted by a contract partner company which is directly contracted to **SSEN-D**.

It is acceptable for persons providing specialist resources to more than one company directly contracted to **SSEN-D** to hold more than one **SSEN-D** operational authorisation, i.e. one **SSEN-D** operational authorisation championed by each **SSEN-D** contract partner company the sub-contracted specialist resource works on behalf of. In such cases each operational authorisation held by the specialist resource **Person** **Shall** be managed separately in parallel. This is required because in these cases each of the respective **SSEN-D** operational authorisations are championed by different companies directly contracted to **SSEN-D** and at any time the specialist resource **Person** will be working on behalf of one of the companies. Although there is duplication via these arrangements, maintaining a clear and unambiguous line of management control and liability is essential.

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Note – corrections may be needed to the MyLearning system and Operational Authorisation certificates to align with the requirements shown above. Such corrections should be made as soon as they are identified and when the MyLearning system can accommodate.

Key Element – Completion of Training, On-Job Modules and Assessments:

Specific operational authorisations nearly always have associated operational training (or number of courses) and/or additional prerequisite requirements. When this is the case, the training and any associated activities (e.g. on job experience modules) **Shall** be completed before a candidate can be interviewed by an **Authorisation Officer** for the intended operational authorisation.

The SSE Learning and Talent team provide operational training services to **SSEN-D**; these services include the coordination and delivery of operational training and associated administration and reporting requirements.

Key pre-requisite requirements are:

- a) Candidate's Operational Portfolio – Managers/ Contract Managers are responsible for ensuring their respective candidates develop and maintain a detailed Operational Development Plan and Operational Portfolio. This **Shall** be started when the nomination for the candidate is compiled and thereafter maintained by the candidate and their Manager/ Contract Manager in perpetuity.
- Where applicable operational portfolios **Shall** contain the information listed below:
 - Candidates Operational Development Plan.
 - A timeline detailing the operational training and authorisation of the candidate. This chronological list of key activities **Shall** start when the candidate is first nominated and be updated (without delay) at each key stage of the candidates operational training and authorisation career.
 - Candidate's notes associated with training, work and operations completed.
 - Details of craft and/or engineering training and competence achieved.
 - Details of training completed.
 - Details of on-job experience gained.
 - Details of interviews completed.
 - Details of modules and objectives planned and achieved.
 - Details of mentoring discussions and goals.
 - Examples of jobs completed by the candidate.
 - Examples of **Safety Documents** the candidate has been party to/ involved with.
 - Examples of switching schedules associated with jobs completed by the candidate.
 - Additional information related to the Candidates operational development.

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- b) Delivery of Required Training – Managers/ Contract Managers are responsible for ensuring candidates under their control complete required training on time and without delay. Managers/ Contract Managers **Shall** adopt a no compromise approach towards ensuring candidates under their control complete planned training, on-job modules, and assessments. Delays to training and authorisation plans introduce waste and compromise the commitment made to candidates regarding their personal career development.
- c) The SSE Learning and Talent team **Shall** not allow a candidate to start a stage in their training and operational authorisation journey unless all required activities have been completed beforehand with clear and tangible support from the candidate's Manager/ Contract Manager. This also applies to the progressive development of a candidate's operational portfolio, i.e. if the SSE Learning and Talent team identify a candidate's operational portfolio is missing updates, the candidate **Shall** not be allowed to progress to the next stage of their operational training and authorisation process.
- d) Candidates positioned by **SSEN-D** on a managed training programme, e.g. a Craft Apprenticeship, will not need to be nominated for the training included in the managed programme. The SSE L&T team will ensure this is done on behalf of **SSEN-D** and the respective Manager/ Contract Manager.

Key Element – Assessment of Candidates:

- a) When a candidate has completed the requirements needed to be considered for an operational authorisation they **Shall** be assessed by the SSE Learning and Talent team (or a competent person appointed by the SSE Learning and Talent team). The assessment **Shall** include theory and practical tests to ensure, so far as is reasonably practicable, the candidate is competent and ready to be interviewed by an **Authorisation Officer** for the intended operational authorisation.
- b) Assessments **Shall** normally take place at an **Approved** SSE Training Facility; however, it is permissible (and sometimes appropriate) for the SSE Learning and Talent team to conduct assessments at alternative safe locations as agreed with the responsible Manager/ Contract Manager.
- c) Assessments **Shall** be completed by competent persons appointed and engaged by the SSE Learning and Talent team. Candidates **Shall** not be assessed by persons with management control over them; it is also important to ensure, so far as reasonably practicable, a level of impartiality and objectivity exists between the candidate and the competent person completing the assessment.
- d) The SSE Learning and Talent team **Shall** ensure the MyLearning system is updated, and a written report is placed in the candidate's **SSEN-D** electronic file and made accessible to **SSEN-D Authorisation Officers** following the completion of every candidate assessment. The Learning and Talent team **Shall** endeavour to complete and file such reports ASAP within a maximum of 5 working days (not including the day of assessment).
- e) The SSE Learning and Talent team **Shall** provide the **SSEN-D** Operational Standards Group with regular (at least quarterly) management information reports relating to the assessment of candidates for operational authorisation. The OSG **Shall** at least be provided with information regarding volumes, pass and fail rates, and any positive and/or negative trend information which could be used in support of required interventions and/or continuous improvement.

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Key Element – Interview and Award of Operational Authorisations:

- a) When a candidate has completed the requirements associated with an intended operational authorisation and successfully completed the related assessment; the responsible Manager/ Contract Manager (or the allocated MyLearning Administrator) can engage an **Authorisation Officer** and ensure the candidate is allocated via the MyLearning system for an operational authorisation interview with the engaged **Authorisation Officer**.
- b) The engaged **Authorisation Officer** will complete several checks to ensure the required processes have been completed and the correct information is on file, e.g. candidate assessment report is on file and positive, the candidate's operational portfolio is appropriately populated with credible updated information, etc.
- c) **Authorisation Officers Shall** not complete operational authorisation interviews if the necessary processes have not been followed and/or the required information is not readily available.
- d) If the **Authorisation Officer** determines the candidate has completed the required processes and the necessary information is in place – the **Authorisation Officer** will continue to interview the candidate for the intended operational authorisation(s) using the nomination form and assessment report as reference. It should be noted that there are three possible outcomes from any operational authorisation interview with an **Authorisation Officer**; these are:
 - The candidate is awarded the intended operational authorisation(s).
 - The candidate leaves the interview with the same or a reduced level of operational authorisation.
 - The candidate leaves the interview with a higher level of operational authorisation than intended but still within the auspices of the training and assessments and on-job experience completed by the candidate. This outcome is also subject to there being a justified related business need.
- e) The **Authorisation Officer's** decision at an operational authorisation interview is final and **Shall** be respected by all persons involved. Decisions can however be challenged by Heads of Department via a detailed email to the **Designated Engineer**, in such cases the **Designated Engineer's** conclusion is final.
- f) Upon completion of the operational authorisation interview the **Authorisation Officer** will complete the electronic process in the MyLearning system and advise the Manager/ Contract Manager and candidate of the conclusions. The Manager/ Contract Manager is thereafter responsible to ensure the operational authorisation process within the MyLearning system is completed correctly and the candidate understands without ambiguity their responsibilities under the **OSR** and associated **Approved** procedures.

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10 Management of Existing Operational Authorisations

The continual management of existing operational authorisations is an essential control measure to help ensure safety from the **System**. Requirements for the enduring management of operational authorisations are provided below:

- All **Persons** holding **SSEN-D** operational authorisation **Shall** receive re-training and assessment at least every four years.
- In addition, **Authorised Persons, Senior Authorised Persons** and **Distribution Control Engineers** **Shall** receive 'mid-term' re-training and assessment.
- Each **Person** **Shall** be assigned one 'operational authorisation expiry date' in the MyLearning system by either the SSE Learning and Talent team (legacy accounts), or an **Authorisation Officer** at the point of authorisation award. This date **Shall** be used to plan and deliver re-training and assessment before the expiry date (mid-term and full-term).
- It is permissible for **Persons** holding **SSEN-D** operational authorisation associated with working on **Live High Voltage Conductors** to have two operational authorisation expiry dates, i.e. one which covers **HV System Live** working authorisations, and one which covers other operational authorisations. In such cases, these **Persons** **Shall** undergo separate (parallel) re-training and assessment for both sets of operational authorisations. This is the same for a percentage of **Distribution Control Engineers** (reference Appendix D) that hold Operational Authorisation for regional operational duties.
- The SSE Learning and Talent team **Shall** create and agree the 'full-term' and mid-term' re-training and assessment programme with **SSEN-D**. The agreed programme **Shall** be effectively communicated within **SSEN-D** by the SSE Learning and Talent team to ensure **Persons** with operational authorisation, and their Managers/ Contract Managers, are aware of their mid-term and/or full-term authorisation expiry date and as such their next re-training and assessment session. It should be noted that although the SSE L&T team provide **SSEN-D** with this service, it remains the accountability of each respective **SSEN-D** Manager and Contract Manager to ensure **Persons** working on their behalf are processed without issue for their required mid-term and/or full-term assessments.
- It is acceptable for the re-training and assessment of **Competent Persons** to be completed via e-learning. If this option is exercised by the SSE Learning and Talent team, the detail of the e-learning training and assessment module **Shall** be agreed with the **Designated Engineer** (or their nominated deputy) before use.
- Responsible Managers/ Contract Managers **Shall** ensure that **Persons** with operational authorisation attend all re-training and assessment sessions planned for them without compromise.
- The **Designated Engineer** **Shall** ensure the operational authorisation of any **Person** who has not completed the required re-training and assessment scheduled before their full-term or mid-term expiry date is 'Suspended' subject to the pending re-training and assessment being successfully completed. For clarity – suspension of operational authorisation means the **Person** involved is not permitted to access the **System** during the suspension period.
- The **Designated Engineer** **Shall** ensure an **SSEN-D** operational authorisation report is issued within **SSEN-D** regularly (e.g. monthly) to effectively communicate the status of operational authorisations in relationship to assigned expiry dates and the need for **Persons** holding operational authorisation to attend and complete planned re-training and assessment. The **Designated Engineer** **Shall** differentiate **Persons** in the report with active operational authorisation from those **Persons** with suspended accounts.

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- j) Directors, Heads of Department, Managers, Contract Managers and individuals are responsible for ensuring issued information relating to operational authorisations and associated training is used effectively to, so far as reasonably practicable, ensure all **SSEN-D** operational authorisations remain in date (not expired).
- k) The Head of **System** Control **Shall** ensure all **Distribution Control Engineers** from time-to-time ask questions of **Persons** they engage with to enquire and ensure they are aware of their operational authorisation levels and their operational authorisation expiry date(s).
- l) Directors, Heads of Departments, Managers, Contract Managers and **Persons** **Shall** ensure they take every opportunity to remove awarded operational authorisations from **Persons** who do not need the operational authorisation to complete their business role, and/or do not use their awarded operational authorisations.

11 Specific Requirements for Contract Partners

- a) As per the requirements in this **Approved** procedure, the candidate's **SSEN-D** Contract Manager is responsible for the completion of the operational justification and nomination process ensuring all requirements are met.
- b) This procedure **Shall** only be used for persons employed by Contract Partner organisations contracted by **SSEN-D** to work on behalf of **SSEN-D**. Persons not legally contracted to work on behalf of **SSEN-D** **Shall** not be provided with operational authorisation by **SSEN-D**.
- c) Contract Partner organisations **Shall** notify **SSEN-D** if any candidate or **Person** under its control (directly or sub-contracted) becomes not fit to operate as a **Person** on the **System**, e.g. a candidate is diagnosed with mental health issues. Real-time notifications of such cases **Shall** be completed by the Contract Partner organisation to the responsible **SSEN-D** Contract Manager. **SSEN-D** Contract Managers **Shall** obtain support with such cases from the **SSEN-D** Operational Safety team or the **Designated Engineer**.
- d) Only persons confirmed to be under the control of a Contract Partner organisation directly contracted by **SSEN-D** can be processed and awarded **SSEN-D** operational authorisations in accordance with the requirements of this **Approved** procedure.
- e) The **SSEN-D** operational authorisation account and operational authorisation certificate of any Contract Partner candidate or **Person** **Shall** include the name of the Contract Partner organisation directly contracted by **SSEN-D**. Operational authorisations are awarded in conjunction with the contract to complete work on behalf of **SSEN-D** and as such it is not acceptable to use a sub-contract partner organisation name, or similar, for these purposes.
- f) Candidates for **SSEN-D** operational authorisation are required to complete the requirements set out in this **Approved** procedure with a small number of process differences appreciated to differentiate **SSEN-D** Contract Partners from **SSEN-D** Employees. A non-exhaustive list of these differences is provided below for awareness and context:
 - Contract Partners are allocated a different unique identifier known as a TPSP reference.
 - Contract Partner organisations **Shall** work with **SSEN-D** Contract Managers to agree and complete the operational authorisation justification and nomination process. The respective **SSEN-D** Contract Manager maintains responsibility for ensuring this process is completed correctly.

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- Except for the operational authorisation justification and nomination process; Contract Partner organisations are required to ensure all candidate information is in place and agreed with the **SSEN-D** Contract Manager, e.g. operational portfolio, operational mentor, craft/ engineering training history, etc.
- g) Appendix A of this **Approved** procedure includes specific requirements for the assessment of persons (put forward by Contract Partners) that hold current operational authorisations for another UK based Transmission or Distribution Network Operator.
- h) Appendix B of this **Approved** procedure includes specific requirements for the assessment of persons identified to operate as retained community **Persons** (commonly known as Retained Community Switchers).

12 Revision History

No	Overview of Amendments	Previous Document	Revision	Authorisation
01	Library Version	PR-NET-OPS-001	1.03	Andrew Roper
02	Revised Document	PR-NET-OPS-001 (Rev 1.03)	1.04	Richard Gough
03	Revised Document. Removed Tables 5 and 6 in Appendix A, Appendix B removed.	PR-NET-OPS-001 (Rev 1.04)	2.00	Peter Vujanic
04	Removal of unnecessary/ duplicated information, revisions to align format with other OSM documents, clarity revisions to address findings from recent assurance audit, revisions to recognise the implementation of the MyLearning system and associated electronic authorisation processes, additional clarity on process for assessing contract partners that already hold operational authorisation with other DNOs/TNOs.	PR-NET-OPS-001 (Rev 2.00)	3.00	Richard Gough
05				

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Appendix A Nomination and Authorisation of Contract Partners that Hold Current Operational Authorisation for Another UK TNO or DNO

- a) The nomination and justification process for person seeking **SSEN-D** operational authorisation in accordance with the requirements set out in this Appendix, is the same as other persons seeking **SSEN-D** operational authorisation. In practice this means the full requirements of this **Approved** procedure apply for the nomination and business justification part of the process.
- b) Once the business nomination and justification process has been completed, the responsible Contract Manager **Shall** ensure the initial requirements listed below are completed:
 - Career History – a detailed report Shall be developed and saved in the candidate's SSEN-D document file. This report should provide a comprehensive account of the persons career, training and operational history. This report will be used by an Authorisation Officer to assess the candidate and determine if they have the necessary experience for the operational authorisation being requested.
 - Training Record – a file containing the candidate's training record, past and current, Shall be developed and saved in the candidate's SSEN-D document file. This file will be used by an Authorisation Officer to assess the candidate and determine if they have the necessary experience for the operational authorisation being requested.
 - Operational portfolio – a copy of the candidate's operational portfolio Shall be saved in the candidate's SSEN-D document file. This portfolio must provide a comprehensive account of the persons operational experience and activities completed whilst holding operational authorisation, e.g. jobs completed, Safety Documents used, risk assessments, switching schedules, etc. This portfolio will be used by an Authorisation Officer to assess the candidate and determine if they have the necessary experience for the operational authorisation being requested.
 - Existing Operational Authorisations – a file containing the candidate's current operational authorisations as held with other UK TNO and/ or DNO companies Shall be developed and saved in the candidate's SSEN-D document file. This file should contain sufficient information to make clear the current operational authorisations held by the candidate, and how these relate to the SSEN-D operational authorisation the candidate has been nominated for. This file will be used by an Authorisation Officer to assess the candidate and determine if they have the necessary experience/ competence for the operational authorisation being requested.
 - Incident History – a report Shall be developed and saved in the candidate's SSEN-D document file. This report should provide open and honest information regarding any safety and/or operational incidents (e.g. Erroneous Operations) the candidate has incurred during their career. This report will be used by an Authorisation Officer to assess the candidate and determine if they have the necessary experience/ competence for the operational authorisation being requested.
- c) When the information explained above has been secured in the candidate's **SSEN-D** document file and confirmed by the responsible Contract Manager as being complete, comprehensive and correct. The responsible **SSEN-D** Contract Manager **Shall** generate an **SSEN-D** TPSP account in LMS for the candidate.

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- d) The responsible **SSEN-D** Contract Manager **Shall** then ensure the candidate is provided with an **SSEN-D** induction session – this introduces the person to the **SSEN-D** management arrangements (e.g. OSR, OSM, safety family, etc) and helps them differentiate **SSEN-D** rules and requirements from others they may be familiar with.
- e) Assuming the candidate progresses successfully through the requirements explained above, the responsible **SSEN-D** Contract Manager **Shall** at this point arrange for the candidate to undergo a practical operating assessment. When arranging this practical assessment, the Contract Manager should use the hierarchy listed below to select how the candidate will be assessed. All three options listed below are acceptable, they are however listed in order of preference subject to each option being deemed to be reasonably practicable by the Contract Manager for each case. When deciding the approach to be taken for the practical assessment, it is acceptable for the Contract Manager to move down the hierarchy if the higher option is deemed to be not reasonably practicable after...time, cost, logistics, and other related aspects have been considered. Guidance on the use of this hierarchy can be obtained from the **SSEN-D** Operational Safety team and/or the **Designated Engineer**.
- A practical assessment completed on the System under the Personal Supervision of a professional assessor appointed by the SSE L&T team on behalf of SSEN-D.
 - A practical assessment completed on the System under the Personal Supervision of a Person employed by SSEN-D who holds the same level of operational authorisation being sought by the candidate (when choosing this option, it is recommended the Contract Manager seeks counsel from a member of the SSEN-D Operational Safety team to ensure the Person selected is confirmed as being sufficiently experienced to effectively and objectively carry out the practical assessment).
 - A practical assessment completed at an Approved training facility under the Personal Supervision of a professional assessor appointed by the SSE L&T team on behalf of SSEN-D.
- f) Persons selected by Contract Managers to complete practical assessments on candidates **Shall** ensure the assessment includes, but is not limited to, the aspects listed immediately below:
- Assessment via conversation of the candidate's knowledge of the **SSEN-D Operational Safety Rules** and associated **Approved** procedures, including **OSR** 1.7 and 1.9.
 - Assessment via conversation of the candidate's knowledge of incident management, i.e. what to do in an incident, e.g. making safe, care and attention of persons involved including witnesses, control of persons, safe management of assets, escalation and reporting, capturing and quarantining information initially available, etc.
 - Assessment under **Personal Supervision** of the candidate's knowledge of **System** assets, **System** continuity; and **System** operability. This is to ensure the candidate understands the Electrical Distribution **System** at a level commensurate with the operational authorisation being pursued.
 - Assessment via conversation of how the candidate organises themselves in readiness for the completion of operational activities, e.g. completion of **System** operations, or issuing a **Safety Document**, or briefing a **Working Party**, etc.
 - Assessment via conversation of how the candidate completes pre-operating and/or pre-work checks to ensure site safety and safety from the **System** will be maintained throughout any operations, testing or work they may complete.

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- Assessment under **Personal Supervision** of how the candidate liaises with the **Distribution Control Engineer** to ensure correct appropriate liaison and compliance with engagement protocol and associated **Approved** procedures.
 - Assessment under **Personal Supervision** of the candidate completing operational activities at a level associated with the operational authorisation being pursued, e.g. **Switching**, testing, issuing a **Safety Document**, etc.
 - Assessment via conversation of how the candidate might deal with unexpected issues experienced when completing **System** operations, testing activities, and/or work.
- g) Following completion of a practical assessment the **Person** completing the assessment **Shall** send the responsible Contract Manager an email explaining the detail of the practical assessment completed and the conclusion reached. If the assessing **Person** believes the candidate is not suitable, they **Shall** include reasons why this is the case in their email to the responsible Contract Manager. The email **Shall** be structured in-line with the format listed below:
- Names, dates, location.
 - List of all topics/ activities covered during the practical assessment.
 - Summary of the positive observations witnessed during the practical assessment.
 - Summary of any negative observations witnessed during the practical assessment.
 - Summary of any learning points shared with the candidate to help ensure they improve as an operational Person.
 - Details of the conclusion reached, i.e. with all things considered did the candidate complete the practical assessment successfully, or not. Details Shall be included in support of the conclusions reached.
- h) The responsible **SSEN-D** Contract Manager **Shall** ensure the email relating to the candidate's practical assessment is saved within the candidate's **SSEN-D** document file, available for future reference as needed.
- i) If all the prior stages have been completed successfully; the responsible **SSEN-D** Contract Manager **Shall** request the services of an **Authorisation Officer** to interview the candidate. The Contract Manager is required to make the arrangements for the interview and invite the candidate and the **Authorisation Officer** to the interview. The Contract Manager (or their nominated deputy) **Shall** be present throughout the interview.
- j) In the initial stage of the interview the **Authorisation Officer** will assess the information saved on file for the candidate to determine if everything required has been provided, and the information is suitable and sufficient for the operational authorisation the candidate is seeking. Following this assessment of the candidate's information the **Authorisation Officer** will decide whether to continue with the interview or postpone the interview providing feedback to the responsible Contract Manager regarding the areas of issue and what additional actions are needed to ensure the candidate is ready for interview.

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- k) If the **Authorisation Officer** is satisfied with the information collated and saved in the candidate's **SSEN-D** document file, they will proceed with the interview covering whatever areas of the **SSEN-D Operational Safety Rules** and associated **Approved** procedures they deem necessary for the level of operational authorisation the candidate is seeking. The **Authorisation Officer** may also cover other related areas of interest during the interview, e.g. human factors, general safety aspects, governance aspects, the importance of clear and effective communications, etc.
- l) At the end of the interview the **Authorisation Officer** will decide and conclude the level of **SSEN-D** operational authorisation the candidate is to be awarded. The **Authorisation Officer Shall** send the responsible Contract Manager an email detailing the interview as completed and the conclusion. The responsible Contract Manager **Shall** ensure a copy of the email is filed in the candidate's **SSEN-D** operational document file for future reference.
- m) The **Authorisation Officer** then completes the process in the MyLearning system to generate and issue the candidate's new operational authorisation certificate to the responsible Contract Manager. The responsible Contract Manager **Shall** then complete the process ensuring the candidate is aware of their new level of operational authorisation and the related responsibilities and the requirement to always keep a copy of their authorisation certificate with them when working on behalf of **SSEN-D** (reference the guidance and statements provided within the MyLearning system).

Notes:

- i. The process detailed within this Appendix is put in place for the assessment of **Persons** with existing craft and/or engineering competencies and current operational authorisations from another UK based TNO or DNO. The process detailed within this Appendix **Shall** not be used to assess and authorise persons starting their craft, engineering or operational authorisation development.
- ii. It is acceptable for this process to be used to assess **Persons** with existing operational authorisations at 33kV for operational authorisations at 66kV and 132kV. In such cases the requirements set out in this Appendix apply and the information provided in support of the candidate's submission **Shall** make specific reference of the training and experience the candidate has gained under **Personal Supervision** or otherwise on the **Systems** they are seeking operational authorisation for, e.g. 66kV or 132kV, overhead or underground, or substation, etc.
- iii. If a person is put forward via this process and deemed not yet competent for **SSEN-D** operational authorisation, they must be processed through the standard **SSEN-D** operational training and authorisation development processes in accordance with the detail within this **Approved** procedure.
- iv. NERS (National Electricity Registration Scheme) or similar accreditations are not considered as a suitable prerequisite for this process. The process detailed within this Appendix is predicated on the respective candidate having current operational authorisation with another UK based TNO and/or DNO.

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Appendix B Retained Community Switchers

Serving our customers in the most remote parts of our licence areas is a fundamental element of our business and our purpose. The diverse nature of the many different remote communities we serve reflects in the way we do business and how we're structured and organised.

One arrangement within **SSEN-D** aligned with this approach to serving our communities is the process for training, assessing and authorising colleagues that live within remote communities and operate/ work on behalf of **SSEN-D** in a specific and restricted capacity.

This arrangement includes roles known as "Retained Community Switchers" and it has been practiced and proven to be safe and successful for decades and considering the many different aspects associated with serving such communities; it is anticipated this arrangement will exist for many more years into the future.

The process associated with the selection, training, assessment, authorisation and re-assessment of our retained community switchers is listed below:

- Responsible Manager completes business need and nomination process in accordance with the requirements of this **Approved** procedure.
- Responsible Manager arranges training and other required development requirements for the candidate in accordance with the detail within this **Approved** procedure.
- Responsible Manager **Shall** agree with the SSE Learning & Talent team where training and assessment will be completed considering all parties included. It is permissible for the L&T team to nominate competent persons situated close to remote communities to complete the training and assessment on its behalf. This condition is subject to the arrangements being agreed with the responsible Manager and providing the content of the training and assessment is not compromised. The same arrangements apply to mid-term and full-term assessments.
- Candidates can be interviewed by any suitably authorised **Authorisation Officer**. Face to face interview is preferred, however it is permissible to complete operational authorisation interviews for Retained Community Switchers via remote means (e.g. Teams).
- Retained Community Switchers **Shall** only be trained, assessed and authorised for the restricted duties **SSEN-D** needs them to complete. **Authorisation Officers Shall** ensure any agreed restricted nature of an operational authorisation awarded under this Appendix is described unambiguously on the authorisation certificate awarded to the **Person**. This detail **Shall** also be saved in the **Person's SSEN-D** document file using an email or similar electronic document.
- Retained Community Switchers **Shall** develop and maintain an operational portfolio keeping a log of all switching schedules and switching logs used when operating and/or working on behalf of **SSEN-D**. This operational portfolio **Shall** be used when completing mid-term and full-term assessments.

Note: the term "Retained Community Switchers" in the majority refers to **Authorised Persons**, however the process can be used to nominate, train, assess, interview and authorise **Competent Persons** and **Senior Authorised Persons** providing due process is completed without compromise.

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Appendix C Human Factors Assessment

People bring to their role personal attitudes, skills, habits, and personality which can be strengths or weaknesses depending on various factors at any one point in time.

Individual characteristics can influence behaviour in complex and significant ways. The effect on task performance may be negative and may not always be mitigated by job design. Some characteristics, such as personality are fixed, whilst others such as skills and attitudes may change via influence.

It is a requirement to complete a Human Factors Assessment for all candidates seeking **SSEN-D** operational authorisation. In this context the assessment should be considered to be – “the subjective evaluation of the candidate’s ability to successfully fulfil at all times the professional duties associated with the intended operational authorisation.”

When considering the business need and nomination of a candidate for **SSEN-D** operational authorisation, Managers/ Contract Managers **Shall** carry out the Human Factors Assessment and consider the candidate’s capability to hold the intended authorisation, including skills, ability, qualification, experience, aptitude, knowledge, intelligence, maturity, integrity, etc.

Before carrying out a Human Factors Assessment the responsible Manager/ Contract Manager should collate background information on the candidate where possible to help determine if there are any known reasons to suggest the candidate might experience difficulties complying with the responsibilities associated with operational authorisation, e.g. previous failed attempts to secure operational authorisation, safety incidents, etc.

Human Factor Assessment Statements & Questions:

- The candidate must be informed that they are not obligated to share personal information.
- The Manager/ Contract Manager should form an opinion on the information collated prior to the assessment and that shared by the candidate.
- Ask questions to ensure the candidate understands the responsibilities and duties attached to the operational authorisation they’re seeking.
- Ask if the candidate knows of any reason which may suggest they might struggle with the training, assessment associated with the operational authorisation.
- Ask questions to ensure the candidate knows the detail of the operational authorisation they are seeking and what changes it would introduce to their role.
- Ask questions to determine what preparation the candidate has completed in readiness for potentially holding the operational authorisation.
- Ask what action the candidate would take if they were unsure about anything whilst operating as an operational **Person**.
- Ask if there is any reason the candidate is aware of which might prevent or restrict their ability to operate professionally whilst holding **SSEN-D** operational authorisation.

Concluding the Human Factors Assessment:

- Responsible Manager/ Contract Manager **Shall** consider all information shared with them regarding the candidate.
- If needed, the responsible Manager/ Contract Manager should seek support from Human Resources and/or the Operational Safety team when considering candidate information.
- The responsible Manager/ Contract Manager **Shall** determine if they believe the candidate is suitable for the operational authorisation being sought by the candidate.

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- The responsible Manager/ Contract Manager **Shall** ensure the candidate is made aware of the decision when the assessment is completed and any next steps identified for the candidate.
- Candidates have a right to appeal against a decision made by a responsible Manager/ Contract Manager to the **Designated Engineer** (or their nominated deputy) who will review and provide fair and just conclusions. It should be noted that any decision concluded by the **Designated Engineer** in such cases is final.

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Appendix D Distribution Control Engineers

The role of the **Distribution Control Engineer (DCE)** in **SSEN-D** is fundamental for the safe and effective operation and management of the **System**. It is appreciated that the **DCE** role is subtly different to other operational roles and as such some differences exist regarding the selection, training, assessment, authorisation and re-assessment of persons completing **DCE** roles.

Unless superseded by requirements in this appendix; the requirements detailed within the body of this **Approved** procedure **Shall** be applied when selecting, training, assessing, authorising and re-assessing persons in **DCE** roles. Specific requirements associated with the selection, training, assessment, authorisation and re-assessment of **DCE** are detailed below:

- a) As a principle – **DCE** candidate selection, training, assessment, authorisation and re-assessment is managed by the Head of **System** Control (or nominated deputies) in accordance with the details set out within this **Approved** procedure.
- b) The detail within this appendix does not apply when a business need has been agreed for a **DCE** (or **DCE** candidate) to undertake training and assessment for operational authorisation outside of that required to operate as a **DCE**, e.g. development towards a field **SAP**. In such cases, the standard requirements detailed within this **Approved** procedure apply to non-**DCE** authorisation journey(s).
- c) The Head of **System** Control (or nominated deputies) **Shall** select and appoint candidates to fulfil **DCE** roles. Candidates **Shall** meet the requirements of the respective **SSEN-D** role specification.
- d) The Head of **System** Control (or nominated deputies) **Shall** complete the business need and nomination process in accordance with the requirements of this **Approved** procedure when a **DCE** starts their authorisation journey.
- e) The Head of **System** Control (or nominated deputies) **Shall** assign an experienced mentor for each **DCE** candidate. If possible, allocated mentors should remain with the trainee **DCE**'s allocated to them until they complete their **DCE** authorisation journey.
- f) **DCE** candidates **Shall** complete their operational training, and assessments where applicable, under the **Personal Supervision** of experienced **DCE** colleagues. Where available and reasonable, **DCE** candidates **Shall** use **System** management simulators to practice and negate the risks associated with using the live real-time **System** management system to practice.
- g) The Head of **System** Control (or nominated deputies) **Shall** ensure all **DCE** candidates are assessed for existing competencies before defining a tailored personal training plan for each candidate. **DCE** candidate training plans **Shall** consist of but not be limited to the elements listed below:
 - **DCE** role activities completed under **Personal Supervision**.
 - SSE/**SSEN-D** training courses.
 - External training courses.
 - On-job (field) experience under **Personal Supervision**.
 - Theoretical training and assessments put in place by the Head of **System** Control.
 - Other **DCE** training modules (as put in place and managed by the Head of **System** Control).

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- There is no defined overall timeframe for **DCE** development, however the Head of **System** Control **Shall** ensure adequate time is built into each candidates training plan to allow space to learn and develop and avoid at all costs rushing candidates through a training plan before they are confident and deemed competent via assessment to operate as a **DCE**.
- h) **DCE** candidates **Shall** create and maintain an operational portfolio similar to other persons completing an authorisation journey. **DCE** candidates **Shall** ensure their operational portfolio is populated with operational information from the activities and jobs they complete under **Personal Supervision**; and information relating to applicable **DCE** training modules completed by the **DCE** candidate.
- i) The Head of **System** Control (or nominated deputies) **Shall** make sure regular checks are completed on all **DCE** candidates to ensure the requirements set out within this **Approved** procedure are complied with and **DCE** candidates are appropriately managed and invested in. These regular checks should occur at least every 3-months without compromise.
- j) When **DCE** candidates are ready to be assessed before they are interviewed for operational authorisation by an **Authorisation Officer**; the Head of **System** Control (or nominated deputies) **Shall** appoint an existing and experienced **DCE** to assess each candidate. These assessments **Shall** include but not be limited to:
 - A live desk operational assessment under Personal Supervision using the real-time System management system, including – human factor awareness, safety and risk management, live desk operations, routine operational duties, System management, operating efficiently, customer focus and care, Safety Documents, and OSR.
 - A theoretical assessment of the OSR and associated Approved procedures, including various scenario tests and practical application of the above.
- k) Where reasonably practicable, the Head of **System** Control should ensure a healthy level of impartiality exists between the candidate and the **Person** assigned to assess the candidate, e.g. ensure the candidate is not in the immediate management line of the assessor.
- l) When **DCE** candidates are processed for operational authorisation interview with an **Authorisation Officer (AO)**; the Head of **System** Control (or nominated deputy) **Shall** put forward an experienced **DCE** to accompany the **AO** during the candidate's interview. The collective competence of the assessor and the **AO** will ensure a wide range of robust questioning commensurate with the **DCE** role is possible during the respective interview.
- m) In addition to the standard Mid-Term and Full-Term assessments; newly authorised **DCE** **Shall** undergo an assessment every 3 months for a period of 12 months after being awarded **DCE** operational authorisation. This increased level of assessment provides additional support and guidance for new **DCE** as they progress their professional operational experience. The Head of **System** Control **Shall** (or nominated deputies) ensure these additional x4 assessments are completed and recorded on file.
- n) Regular assessment of **DCE** operational safety competence **Shall** align with the standard requirements of this **Approved** procedure, i.e. Mid-Term every 4 years staggered with a Full-Term every 4 years. **DCE** assessment **Shall** however be arranged by the Head of **System** Control (or nominated deputies) and completed by experienced **DCE**'s appointed by the Head of **System** Control (or nominated deputies). Where reasonably practicable, the Head of **System** Control should ensure a healthy level of impartiality exists between the candidate and the **Person** assigned to assess the candidate, e.g. ensure the candidate is not in the immediate management line of the assessor.

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The record of **DCE** assessments **Shall** include but not be limited to the elements listed below:

- Details of DCE being assessed and Person completing the assessment.
- Confirmation of level of impartiality between DCE and Person completing the assessment.
- Date and location.
- Concluding summary of the assessment.
- Any recommendations to be considered/ actioned.

Where applicable, **DCE** assessments **Shall** include but not be limited to:

- Management of alarms.
 - Control log management.
 - Management of communication systems used in Control Centre.
 - Overnight checks.
 - Access checks.
 - System running status checks.
 - Load checks.
 - Assessment of System parallels.
 - Live line settings.
 - Use of communication protocols with other Persons, TNO, DNO, Customer, etc.
 - Listening, questioning, interpreting, deciding.
 - Provision of instructions to Persons.
 - Receipt of confirmations from other Persons.
 - Coordination of operational Persons.
 - Operation of Plant and Apparatus.
 - Use of operational diagrams, knowledge of symbols and nomenclature.
 - Cross System boundary operations.
 - Fault management and handling.
 - Escalation of serious matters with openness and integrity.
 - Liaison with internal and external parties, e.g. dispatch, CCC, SHE, etc.
 - Application of patches.
 - Checking and use of switching schedules.
 - Management of working time and rest breaks.
 - Management of Control Centre environment to ensure safe outcomes.
- o) All documents relating to **DCE/ DCE** candidate operational journeys, operational authorisations, competency assessments, etc, **Shall** be stored within the unique **SSEN-D** electronic operational document file generated specifically for each operational **Person**.

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- p) **DCE** operational authorisation is mutually recognised and applicable within **SSEN-D**, i.e. within SHEPD and SEPD. **DCE**'s moving between SHEPD and SEPD (or visa-versa) **Shall** however be inducted into the respective Control Centre before operating to ensure awareness and familiarisation of differences between the two Control Centres and **Systems**.
- q) The Head of **System** Control (or nominated deputies) should ensure the operational authorisation of any **DCE** who does not operate on the **System** for a period of 3 months is either suspended or removed subject to the **DCE** returning to their role, or not. The Head of **System** Control **Shall** seek guidance and support from the **SSEN-D** Operational Safety Manager if needed when managing situations of this nature.