COMPLIANCE AUDIT REPORT
RTE - Réseau de Transport d'Electricité

8 – 9 SEPTEMBER 2015

COMPLIANCE AUDIT CONDUCTED IN THE NATIONAL CONTROL CENTRE IN PARIS AND TRAINING CENTRE IN LYON BY ENTSO-E RGCE SG CME
DISCLAIMER

The present Compliance Audit Report is based on the information as provided by the audited company. This report is in no way a guarantee that security and reliability on the system of the audited company and/or on the whole synchronously interconnected system of the Regional Group Continental Europe (RGCE) is ensured. This report cannot be considered as a certification of whatever form. Finally, this report does not as such have any impact on the compliance, by the audited company and/or by any other member of ENTSO-E, with the RGCE Operation Handbook and/or any other relevant applicable standard.
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1 EXECUTIVE SUMMARY

1.1 COMPLIANCE MONITORING IN ENTSO-E RGCE

The mission of the ENTSO-E System Operation Committee Regional Group Continental Europe (RGCE) is to improve the reliability and security of the interconnected power system in the Continental Europe through developing and enforcing RGCE Operation Handbook (OH) standards, monitoring the interconnected power system and assessing its future adequacy. The RGCE member TSOs are subject to compliance with all approved OH standards. The Compliance Monitoring Program (CMP) is the RGCE program that monitors and assesses compliance with these standards via:

- The annual process of self-assessment, which is applied to all TSOs, as well as
- The annual process of mandatory on-site compliance audits, which is applied to a certain number of TSOs chosen on a rotating base either directly (in case of doubts that a certain TSO complies with OH Standards) or randomly.

Sub-Group Compliance Monitoring & Enforcement (SG CME) is in charge of performing above-mentioned two processes. The 2015 is the 6th year of conducting mandatory compliance audits. SG CME performed 4 voluntary compliance audits in 2008-2009 and 36 mandatory audits in 2010-2015.

1.2 AUDITED TSO

The RGCE member TSO RTE Réseau de Transport d'Electricité. (hereafter RTE) was chosen for a Compliance Audit in 2015. CME conducted the audit on 8 and 9 September 2015 in two RTE premises: the National Control Centre (NCC) located in Paris and the Training Centre in Lyon.

The onsite-audit focused on the training provided to approximately 300 dispatchers located in both National Control Centre and seven Regional Control Centres.

1.3 AUDITED OH STANDARDS

The Compliance Audit encompassed 14 requirements/standards of Operation Handbook Policy 8 Operational Training. In 2014, RTE made compliance declarations in the self-assessment process for all standards of OH Policy 8 and revised them during the pre-audit phase updating when appropriate. Assessments have been checked against their evidence during the audit.
1.4 Results

The Audit Team audited 14 requirements/standards of Policy 8 and concluded that RTE is fully compliant with each criteria.

During the onsite audit, the Audit Team had the opportunity of visiting the national control room and training centre, what helped the Audit Team to better understand the organisation and processes within the organisation of RTE. Presentation of installed DTS was an important part of this visit.

RTE was well prepared for the audit. The documents considered as evidence were available during the audit. All these documents were a good basis for proving the compliance level of RTE with the audited standards. Requests for additional material were promptly met by RTE.

The general impression of the Audit Team is that RTE has an excellent and well-documented procedure for dispatchers training which is efficiently used in practice. Therefore, the audit team has no further recommendation to RTE regarding the OH P8.

In the case of this Compliance Audit, all preconditions for a successful audit were fulfilled and the Audit Team wishes to express its gratitude to the RTE staff involved in the Audit and the company management.

Table 1 describes RTE compliance declaration in self-assessment questionnaires 2009 and 2014 and compliance audit questionnaire 2015 with compliance level suggestion by the Audit Team after reviewing the evidence for the audited standards.

<table>
<thead>
<tr>
<th></th>
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</tr>
</thead>
<tbody>
<tr>
<td>P8-A-R1 TRAINING PROGRAM</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-A-R2 INITIAL PROGRAM</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-A-R3 CONTINUOUS PROGRAM</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-A-R4 ENGLISH TRAINING</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-A-S1 TRAINING PROGRAMS</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-A-S2 TSO REFERENCE LIST OF ENGLISH TECHNICAL TERMS</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-B-R1 EXPERIENCE EXCHANGE</td>
<td>FCo</td>
<td>SCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-B-S1 COMMON TRAINING</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-C-S1 COORDINATION OF THE TRAINING</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-C-S2 ORGANIZATION</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-C-S3 EVALUATION</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-C-S4 FIRST ACCREDITATION</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-C-S5 TRAINERS' SELECTION</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
<tr>
<td>P8-C-S6 TRAINING OF TRAINERS</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
<td>FCo</td>
</tr>
</tbody>
</table>
2 AUDIT REPRESENTATIVES

The Audit Team has the task to prepare and perform the Compliance Audit as well as to develop the corresponding audit report. The Audit Team composition is given in Table 2. The TSO subject to a compliance audit may object any member of the Audit Team on the basis of a conflict of interests or the existence of other circumstances that could interfere with the impartial performance of his or her duties. The audited TSO is obligated to express its concerns with the proposed team member four weeks prior to the team’s arrival on-site. No objection was expressed by RTE. RTE personnel involved in the audit are given in Table 3.

### Table 2. SG CME Audit Team

<table>
<thead>
<tr>
<th>Audit Team role</th>
<th>Company or association</th>
<th>Name</th>
<th>Email address</th>
</tr>
</thead>
<tbody>
<tr>
<td>Audit team leader</td>
<td>MAVIR</td>
<td>László Galambos</td>
<td><a href="mailto:galambos@mavir.hu">galambos@mavir.hu</a></td>
</tr>
<tr>
<td>Audit team member</td>
<td>ELES</td>
<td>Jaka Zvab</td>
<td><a href="mailto:jaka.zvab@eles.si">jaka.zvab@eles.si</a></td>
</tr>
<tr>
<td>Audit team member</td>
<td>IPTO</td>
<td>Yiannis Tolias</td>
<td><a href="mailto:tolias@admie.gr">tolias@admie.gr</a></td>
</tr>
<tr>
<td>Compliance Monitoring Advisor</td>
<td>ENTSO-E Secretariat</td>
<td>Carlos Castel Conesa</td>
<td><a href="mailto:carlos.castelconesa@entsoe.eu">carlos.castelconesa@entsoe.eu</a></td>
</tr>
</tbody>
</table>

### Table 3. RTE Audit Staff

<table>
<thead>
<tr>
<th>Function in the company</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Director of National Control Centre</td>
<td>Jean-Paul Roubin</td>
</tr>
<tr>
<td>Deputy Director of National Control Centre</td>
<td>Laurent Rosseel</td>
</tr>
<tr>
<td>System Operation Department</td>
<td>Laurent Conrozier</td>
</tr>
<tr>
<td>National Control Centre, Head of Performance Service</td>
<td>Sylvain Rommel</td>
</tr>
<tr>
<td>Head of training centre</td>
<td>Jean-Pierre Lehu</td>
</tr>
<tr>
<td>Head of training operation division</td>
<td>Christophe Claudon</td>
</tr>
<tr>
<td>DTS Trainer</td>
<td>Thibault Clément</td>
</tr>
<tr>
<td>Trainer at National Control Centre</td>
<td>Francois Ginouvez</td>
</tr>
<tr>
<td>System Operation Department</td>
<td>Alexandre Dutoit</td>
</tr>
</tbody>
</table>
3 AUDIT PLAN

3.1 GENERAL PROCEDURES

The audit covered a chosen set of Operation Handbook (OH) standards, which had already been monitored within the Compliance Monitoring Program 2009 and 2014 self-assessment process.

The completed Audit Worksheet was sent by email to the ENTSO-E Secretariat and carbon copies to all Audit Team members four weeks before the first audit day. The complete schedule of the audit process for RTE is given in Table 4.

In preparation for the audit, RTE organised its supporting compliance documentation that is the evidence of the compliance with audited standards. The ENTSO-E RGCE SG CME’s audit team acknowledges an excellent preparation for the audit.

All documentation (evidence) required for the onsite audit of each standard was available in hard or electronic format during the audit. The Control Area Manager and/or other responsible expert personnel were available during the audit to provide guidance to the Audit Team on where to look in the documentation for compliance to the OH standard and, if requested, to give further explanation on criteria and procedures implemented.

All documentation will be considered as confidential audit records and treated as such. The Audit Team prepares this report regarding the audit findings that will be published upon decision of the RGCE Plenary.
**TABLE 4. SCHEDULE FOR THE COMPLIANCE AUDIT**

<table>
<thead>
<tr>
<th>Event</th>
<th>Timeframe</th>
</tr>
</thead>
<tbody>
<tr>
<td>Submittal of the audit material on behalf of the Audit Team</td>
<td>8 weeks prior to audit 14.7.2015</td>
</tr>
<tr>
<td>Objection or concern about audit team personnel</td>
<td>5 weeks prior to audit 4.8.2015</td>
</tr>
<tr>
<td>Submittal of the completed Audit Worksheet to the Audit Team by RTE</td>
<td>4 weeks prior to audit 11.8.2015</td>
</tr>
<tr>
<td>Initial feedback based on the submitted Audit Worksheet sent to RTE</td>
<td>2 working days prior to audit</td>
</tr>
<tr>
<td>by the Audit Team</td>
<td>4.9.2015</td>
</tr>
<tr>
<td>Opening meeting of the Audit Team and CAM of RTE</td>
<td></td>
</tr>
<tr>
<td>(1) Introduction of the Audit Team members,</td>
<td>First audit day, 8.9.2015</td>
</tr>
<tr>
<td>(2) Description of how the on-site audit will be conducted,</td>
<td>09:00 – 09:30</td>
</tr>
<tr>
<td>(3) Discussion on how confidential information will be handled,</td>
<td></td>
</tr>
<tr>
<td>(4) Discussion on data access required by the Audit Team,</td>
<td></td>
</tr>
<tr>
<td>(5) Announcement that RTE will be asked to provide feedback on the</td>
<td></td>
</tr>
<tr>
<td>audit process and results,</td>
<td></td>
</tr>
<tr>
<td>(6) Presentation of the TSO and TSO’s organization.</td>
<td></td>
</tr>
<tr>
<td>Start of the OH standards’ review*</td>
<td></td>
</tr>
<tr>
<td>Continuation of the OH standards’ review</td>
<td></td>
</tr>
<tr>
<td>Internal Audit Team meeting</td>
<td></td>
</tr>
<tr>
<td>Closing meeting with CAM of RTE</td>
<td></td>
</tr>
<tr>
<td>(1) Presentation of preliminary audit findings and</td>
<td></td>
</tr>
<tr>
<td>recommendations to be included on the draft audit report,</td>
<td></td>
</tr>
<tr>
<td>with a strong emphasis on the evidence for each compliance</td>
<td></td>
</tr>
<tr>
<td>level or non-compliance identified by the Audit Team,</td>
<td></td>
</tr>
<tr>
<td>(2) Discussion and feedback by RTE with a possibility to object the</td>
<td></td>
</tr>
<tr>
<td>findings,</td>
<td></td>
</tr>
<tr>
<td>(3) In case of any non-compliance or lack of evidence of</td>
<td></td>
</tr>
<tr>
<td>compliance, first draft proposal of the TSO on an adequate</td>
<td></td>
</tr>
<tr>
<td>mitigation plan, including deadline. Should such an immediate</td>
<td></td>
</tr>
<tr>
<td>proposal not be possible, the TSO must submit it afterwards in</td>
<td></td>
</tr>
<tr>
<td>written copy within seven days.</td>
<td></td>
</tr>
<tr>
<td>Delivery of the draft audit report to RTE for review</td>
<td>2 weeks after the audit 23.9.2015</td>
</tr>
<tr>
<td>Remarks by RTE</td>
<td>4 weeks after the audit 7.10.2015</td>
</tr>
<tr>
<td>Delivery of the final audit report to RTE</td>
<td>6 weeks after the audit 21.10.2015</td>
</tr>
<tr>
<td>Acknowledgement of the final Audit Report by ENTSO-E RGCE Plenary</td>
<td></td>
</tr>
<tr>
<td>and decision on its possible internal or external publishing.</td>
<td></td>
</tr>
<tr>
<td>(*) A visit in the control room and training centre has been</td>
<td></td>
</tr>
<tr>
<td>performed by the Audit Team during the standards’ review.</td>
<td></td>
</tr>
<tr>
<td>RGCE Plenary in 2016</td>
<td></td>
</tr>
</tbody>
</table>
3.2 Scope

The objective of Compliance Audits in 2015 is to check all the requirements/standards from OH Policy 8. These standards were also monitored in the 2009 and 2014 regular compliance processes via the self-assessment questionnaire.

The scope of a compliance audit encompasses issues which are directly related to the compliance of the audited TSO with the investigated RGCE OH standards and issues which make a general background for the implementation of the OH at the audited TSO.

Directly related issues

Issues directly related to the audited RGCE OH standards:

- Existence of TSO’s addenda and/or non-compliance declarations/non-compliance self-reports
- Follow-up of the TSO’s mitigation plans to remove the declared non-compliances
- Self-assessment questionnaires of 2009 and 2014 stored at the ENTSO-E Secretariat related to audited TSO concerning the audited OH standards
- Audit Worksheet (AW) 2015
- Information and explanations which the Audit Team receives on site

General background

The compliance audit also encompasses issues of general nature listed below:

- General policies of the audited TSO rules and procedures for the control centre(s) related to the audited standards
- Procedures to control the application of the audited OH standards and their follow-up
- Procedures to improve the compliance with the audited OH standards
- TSO’s internal report related to the implementation of the audited OH standards
- TSO’s internal audits and/or documentation concerning implementation of OH standards
- TSO’s internal bodies (forums, panels) for the implementation of the OH standards
- Follow-up to the Compliance Audit in 2012

3.3 Methodology

The CME group prepared an audit schedule defining the chronological order of the compliance audit, which the audited TSO accepted without comment. The Audit Team reviewed the existing material on the audited TSO and its neighbouring TSOs already collected through the self-assessment process in the 2009 and 2014 self-assessment questionnaires. It also processed (assessed) the answers in the 2015 Audit Worksheet filled in by the audited TSO.

The applied methodology includes audit criteria and expectations based on best practices. The adopted criteria are objective, measurable (if possible), complete and relevant to the objectives. At defining the audit methodology, the auditors identified the potential sources of audit evidence and estimated the amount and type of evidence needed.

The Audit Team used an Audit Worksheet (see chapter 4) for reviewing the audited OH standards. The purpose of the AW is to ensure consistency and fairness. By using the AW the Audit Team documented the material reviewed and the observations made. One of the main reasons for an on-site visit is to review the existing documentation and to interview the staff. Thus, the auditors obtain “objective evidence” which support the self-assessed declarations of the audited TSO. The Audit Team determined whether the evidence presented by the TSO is sufficient. They did this by assessing the relevance, validity and reliability of the information and documentation presented.
It was the responsibility of the audited TSO to provide evidence of compliance with all audited OH standards. In most cases the evidence was in written form like documents, plans, programs or records. In some cases the evidence consisted of a review of computerized records or additional supporting material provided at interviews by the staff of the audited TSO.

### 3.4 EVALUATION PRINCIPLES

**Preparatory phase – activities in charge of Audited TSO**

- Inspection of the exact wording of each audited OH standard and of additional questions formulated by the CME
- Fill in the audit questionnaire and submit to the Audit Team before the audit
- Identification of documents and other material to present to the auditors in order to demonstrate its compliance level with each OH standard

**Preparatory phase – activities in charge of CME Audit team**

- Identification of compliance level declaration inconsistency with neighbouring TSOs (Self-assessment questionnaire 2014 cross-border check regarding compliance level declarations)
- Analysis of the explanations and comments which the audited TSO made in the self-assessment 2014 and audit questionnaires 2015 in written form in order to evaluate the quality of explanations and comments
- Identification of the missing explanations in the self-assessment 2014 and audit questionnaire 2015
- Analysis of the improvements achieved during the implementation of mitigation and improvement plans declared in the MLA Addendum/Addenda, in the self-assessment questionnaire 2014, in the Audit Worksheet 2015 and in Compliance Audit in 2012 in case of non-compliance and sufficient compliance or recommendations

**Audit phase**

- Request to the audited TSO to give additional explanations, especially related to standards which were not or not fully addressed by documents and other material mentioned in the self-assessment questionnaire 2014 and audit questionnaire 2015.
  - The goal was to improve the quality of the explanations.
- Request to the audited TSO to present that evidence and, if necessary, additional evidence, in printed or electronic form
  - The goal was to improve the quality of the presented evidence.
  - The goal was to present material relevant to the audited OH standard at all.
- Request to the audited TSO to remark the titles of all presented documents, their relevant chapters and even relevant passages.
- Request to the audited TSO to provide further written explanations related to the presented material.

### 3.5 CONFIDENTIALITY

By signing this report the Audit Team members assure that they will maintain the confidentiality of information obtained during the compliance audit and drafting of the audit report. Moreover, they express their readiness to sign a supplementary confidentiality agreement, if the audited TSO assert such a claim.
# 4 Audit Worksheet for 2015 Onsite Audit

## 4.1 OH Requirement P8-A-R1. Training Program

### SELF-ASSESSMENT QUESTIONNAIRE 2014

<table>
<thead>
<tr>
<th>P8-A-R1</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Training program.</strong> Each TSO provides its dispatchers with a structured training program that is designed to develop and improve their skills. This program includes initial and continuous parts. The training has to be permanently adapted to the operational evolutions. All the issues of the training have to be regularly checked and updated.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Compliance Level: FCo</th>
</tr>
</thead>
<tbody>
<tr>
<td>Concise explanation and list of evidence for declared compliance level:</td>
</tr>
<tr>
<td>Training programs are detailed and communicated within the company: training process is part of RTE policy in the operational policy. Training is led by the head of RTE's Operation Department, who is relying on trainers in RTE Training Center and trainers in each Control Center; this organization is also relying on two workgroups which are continuously providing 'training's answers' to the operational needs.</td>
</tr>
</tbody>
</table>

### Additional Questions

- Do you have a training program including both initial and continuous part? **yes**
- Do you adapt the training program according to the operational evolutions? **yes**
- Do you have criteria to check whether the training program is in accordance with the current operational challenges? **yes**
### P8-A-R1

**Training program.** Each TSO provides its dispatchers with a structured training program that is designed to develop and improve their skills. This program includes initial and continuous parts. The training has to be permanently adapted to the operational evolutions. All the issues of the training have to be regularly checked and updated.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

Training programs are detailed and communicated within the company (available on RTE sharepoint). Training is led by the head of RTE’s Operation Department, who is relying on trainers in RTE Training Center and trainers in each Control Center; this organisation is also relying on two workgroups which are continuously providing ‘training’s answers’ to the operational needs (WG Réseau d’Activité Métier et Compétence (RA M&C) - Activities and Training Network and WG Animation Nationale des Formateurs d’Exploitation (ANAFE) – National Meeting of Operations Trainers).

Every year, the training program is evaluated through the GPF (Groupe de Pilotage de la Formation – Training Management Committee). It takes into consideration the feedback from the training sessions. New training subjects are proposed by trainers and some of them are selected to be part of the training program.

**List of evidences :**
- Note Fonctionnement de la Direction de l’Exploitation § 5.1 (describes the Training Organisation in RTE)
- DPS Sharepoint documents (training programs for each position)
- MoM of WG ANAFE et RA M&C
- MoM of GPF (January 2015)

**Do you have a mitigation plan to the requirement?**  Yes ☐  No ☐

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

**Additional Questions**

- Do you have a training program including both initial and continuous part?  Yes ☑  No ☐

- Do you adapt the training program according to the operational evolutions?  Yes ☑  No ☐

- Do you have criteria to check whether the training program is in accordance with the current operational challenges?  Yes ☑  No ☐

List of evidence, comments:
When a new process or tool comes into force, the training of operators is part of the project. Operators can ask for an adequate training if they estimate that they need it (tailormade training). Local trainers are also alternating operators so they are aware of operational issues.

Evidence:
- Suivi des MCO (Continuous training follow-up)
- Training booklet of trainees
- Revue d'exigence du DPS (Requirement analysis from Training Department)

### AUDIT PHASE

#### COMPLIANCE AUDIT 2015

**Compliance Level suggestion by the audit team:** FCo

**Explanation for the suggested compliance level:**
RTE's Internal Website has been shown to the audit team, where a highly detailed initial training program and the continuous training program are described. In addition, the audit team has seen the MoMs where internal working groups GPF/ANAFE/RA M&C agree on how RTE drafts and updates training programs. Finally, the manager of operation training and representatives from all the relevant departments accept the training programs.

### 4.2 OH REQUIREMENT P8-A-R2. INITIAL PROGRAM

#### SELF-ASSESSMENT QUESTIONNAIRE 2014

<table>
<thead>
<tr>
<th>P8-A-R2.</th>
</tr>
</thead>
</table>

**Initial program.** The initial program consists of a theoretical part and on-the-job part complemented by simulator sessions.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

Initial training is based on theoretical part including simulator sessions: several weeks of centralized training in RTE training center in Lyon, and decentralized training in the control center (National Control Center and Regional Control Center). The training is completed with several months of on-the-job parts, which duration depends on the experience of the trainee.

**Additional Questions**

Does your initial program consist of theoretical part?  
**yes**  

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ENTSO-E AISBL • Avenue Cortenbergh 100 • 1000 Brussels • Belgium • Tel +32 2 741 09 50 • Fax +32 2 741 09 51 • info@entsoe.eu • www.entsoe.eu
### AUDIT QUESTIONNAIRE 2015

**P8-A-R2.**

**Initial program.** The initial program consists of a theoretical part and on-the-job part complemented by simulator sessions.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

Initial training is based on theoretical part including simulator sessions: several weeks of centralized training in RTE training center in Lyon, and decentralized training in the control centers (National Control Center and Regional Control Centers). The training is completed with several months of on-the-job parts, which duration depends on the experience of the trainee.

Do you have a mitigation plan to the requirement?  Yes [ ]  No [x]

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

Additional Questions

- Does your initial program consist of theoretical part?  Yes [x]  No [ ]
- Does your initial program consist of on-the-job part?  Yes [x]  No [ ]
- Does your initial program include simulator sessions?  Yes [x]  No [ ]

List of evidence, comments:

- Training plannings
Simulation session: **A02X** (session ID) and individual session (local on simulator **Sideral**)

**TP de Sideral** (Practical case on simulator **Sideral**)

### AUDIT PHASE

**COMPLIANCE AUDIT 2015**

**Compliance Level suggestion by the audit team:** FCo

**Explanation for the suggested compliance level:**
RTE showed in the training program the different stages of the initial program. They showed the content of several theoretical courses, e.g. “Formation initiale a la conduit des réseaux” (FCCE1) and “Formation initiale a convergence” (FSYS01). On-the job training RTE showed specific courses, e.g. “Formation Initiale locale des dispatchers” (A31L).

A program of the simulation session from 23rd week 2015 has also been shown.
4.3 OH REQUIREMENT P8-A-R3. CONTINUOUS PROGRAM

SELF-ASSESSMENT QUESTIONNAIRE 2014

P8-A-R3.

Continuous program. The continuous program is applied to all dispatchers as soon as they are certified and nominated to a dispatcher position. The main aim of the continuous program is to keep and extend the dispatchers’ knowledge and competences. The continuous program is established to complement the initial program with: advanced theoretical parts; learning of new rules and procedures; additional simulator sessions.

Compliance Level: FCo

Concise explanation and list of evidence for declared compliance level:

Continuous program is based on theoretical parts and simulator sessions. Every year, each dispatcher has a DTS session in RTE training center in Lyon. This session is based on the management of islanded network and grid restoration after a blackout in France. The RCC and the NCC teams are involved in a common scenario using the DTS with the purpose to train on communication and coordination in a disturbed environment. The simulations are updated on a regular basis and include the experience gained from past real events.

In addition, a theoretical teaching is delivered on a specific topic of current interest (market, renewables, HVDC...)

Additional Questions

Are your dispatchers taught on advanced theoretical parts in the continuous training program? yes

Are your dispatchers taught on new rules and procedures in the continuous training program? yes

Do your dispatchers perform additional simulator sessions in the continuous training program? yes

AUDIT QUESTIONNAIRE 2015

P8-A-R3.

Continuous program. The continuous program is applied to all dispatchers as soon as they are certified and nominated to a dispatcher position. The main aim of the continuous program is to keep and extend the dispatchers’ knowledge and competences. The continuous program is established to complement the initial program with: advanced theoretical parts; learning of new rules and procedures; additional simulator sessions.
Compliance Level: FCo

Concise explanation and list of evidence for declared compliance level:

Continuous program is based on theoretical parts and simulator sessions. Every 18 months, each dispatcher has a DTS session in RTE training center in Lyon. This session is based on the management of islanded network and grid restoration after a blackout in France. The RCC and the NCC teams are involved in a common scenario using the DTS with the purpose to train on communication and coordination in a disturbed environment. The simulations are updated on a regular basis and include the experience gained from past real events.

Additionally, several international trainings are organised in order that each operator participates at least to one session every 2 years.

In addition, a theoretical teaching (code : A32L) is delivered on a specific topic of current interest (market evolutions, renewables, HVDC...)

Do you have a mitigation plan to the requirement?  Yes ☐  No ☐

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

Additional Questions

Are your dispatchers taught on advanced theoretical parts in the continuous training program?  Yes ☒  No ☐

Are your dispatchers taught on new rules and procedures in the continuous training program?  Yes ☒  No ☐

Do your dispatchers perform additional simulator sessions in the continuous training program?  Yes ☒  No ☐

List of evidence, comments:

- A03 planning (Suivi des maintiens en compétence (xls file))
- Continuous training procedure (Procédure de maintien en compétence) : (A03, iTRAIN, A32L sessions…)
- List of training subjects (Synthèse des MCO)

COMPLIANCE AUDIT 2015

Compliance Level suggestion by the audit team: FCo

Explanation for the suggested compliance level:
RTE provided the list of dispatchers from national control centre and regional control centre of Nantes that attended the continuous training in June 2015 “Entrainement national regional en equipe sur simulateur des dispatcheurs” (A03X) and the individual training history from 2007. Training for new operational rules e.g. new rules for black start of nuclear power plants, advanced theoretical training and additional simulation sessions are included in the continuous program.
### 4.4 OH REQUIREMENT P8-A-R4. ENGLISH TRAINING

#### SELF-ASSESSMENT QUESTIONNAIRE 2014

**P8-A-R4.**

**English training.** Dispatchers in contact with neighboring control areas shall have sufficient knowledge of English and operational terms to carry out their tasks, ensuring the safe and smooth flow of information in an international environment using clear expressions in order to ease an immediate understanding.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

The English skills are checked during the training and especially during the on-the-job part in order to verify that the dispatcher is able to communicate with neighbouring TSOs. If needed, English lessons are provided to either national dispatchers and regional ones when they have a border with other TSO. However, new dispatchers are mainly graduated engineers with knowledge of English.

The dispatchers have at their disposal in the control room a lexical with technical terms in English. To perform switching operations on tie-lines, the dispatchers must become familiar with the adequate vocabulary.

**Additional Questions**

Do you verify English speaking skills of your dispatchers who are in contact with neighbouring control areas?  
Yes

Does the learning of English technical terms relevant to system operation make a part of the dispatcher training for those dispatchers who are in contact with neighboring control areas?  
Yes

**English training.** Dispatchers in contact with neighboring control areas shall have sufficient knowledge of English and operational terms to carry out their tasks, ensuring the safe and smooth flow of information in an international environment using clear expressions in order to ease an immediate understanding.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

The English skills are checked during the training and especially during the on-the-job part in order to verify that the dispatcher is able to communicate with neighbouring TSOs. English lessons are provided to either national dispatchers or regional ones when they have a border with other TSO. However, new dispatchers are mainly graduated engineers with knowledge of English.

The dispatchers have at their disposal in the control room a lexical with technical terms in English. To perform switching operations on tie-lines, the dispatchers must become familiar with the adequate vocabulary.

**Do you have a mitigation plan to the requirement?**  
Yes ☐  No ☐

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

**Additional Questions**

Do you verify English speaking skills of your dispatchers who are in contact with neighbouring control areas?  
Yes ☒  No ☐

Does the learning of English technical terms relevant to system operation make a part of the dispatcher training for those dispatchers who are in contact with neighboring control areas?  
Yes ☒  No ☐

List of evidence, comments:

- English lessons contract, order...
- RSCI Workshop attendance
- Inter-TSO workshop
- Handover with CORESO every evening
- Coreso Report
COMPLIANCE AUDIT 2015

Compliance Level suggestion by the audit team:
FCo

Explanation for the suggested compliance level:
RTE explains that only the dispatchers from the national control centre are in contact with neighbouring TSOs for operational purposes. RTE showed the individual training program for English from different dispatchers and a valid contract for outsourced English training with Transfer SA. RTE presented that dispatchers take part in several workshops were the official language is English.
### 4.5 OH STANDARD P8-A-S1 TRAINING PROGRAMS

**SELF-ASSESSMENT QUESTIONNAIRE 2014**

<table>
<thead>
<tr>
<th>Training programs</th>
<th>The initial and continuous program has to consider the relevant parts of the UCTE Operation Handbook and mutual agreements between TSOs. Each TSO defines its specific requirements for the initial program and the continuous program and their duration.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance Level</td>
<td>FCo</td>
</tr>
</tbody>
</table>

**Concise explanation and list of evidence for declared compliance level:**

The initial and continuous programs are based on RTE reference operation policy, which is itself based on UCTE Operation Handbook; mutual agreements between TSOs are operational procedures for RTE dispatchers and are therefore included in the initial and continuous training programs.

**Additional Questions**

- Does your initial training program cover agreements between TSOs? **Yes**
- Does your initial training program consider the relevant parts of the UCTE OH? **Yes**
- Does your continuous training program cover agreements between TSOs? **Yes**
- Does your continuous training program consider the relevant parts of the UCTE OH? **Yes**
- Do you define specific requirements and duration of the initial program and the continuous program? **Yes**

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**AUDIT QUESTIONNAIRE 2015**

<table>
<thead>
<tr>
<th>Training programs</th>
<th>The initial and continuous program has to consider the relevant parts of the UCTE Operation Handbook and mutual agreements between TSOs. Each TSO defines its specific requirements for the initial program and the continuous program and their duration.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Compliance Level</td>
<td>FCo</td>
</tr>
</tbody>
</table>

**Concise explanation and list of evidence for declared compliance level:**

The initial and continuous programs are based on RTE reference operation procedures, which are themselves based on UCTE Operation Handbook; mutual agreements between TSOs are operational procedures for RTE dispatchers and are therefore included in the initial and continuous training programs. Duration is specified in the training programs.
### Do you have a mitigation plan to the standard?  
Yes ☐  No ☐  
In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

### Additional Questions –

<table>
<thead>
<tr>
<th>Question</th>
<th>Yes ☐</th>
<th>No ☐</th>
</tr>
</thead>
<tbody>
<tr>
<td>Does your initial training program cover agreements between TSOs?</td>
<td>Yes ☐</td>
<td>No ☐</td>
</tr>
<tr>
<td>Does your initial training program consider the relevant parts of the UCTE OH (ENTSO-E RGCE OH)?</td>
<td>Yes ☐</td>
<td>No ☐</td>
</tr>
<tr>
<td>Does your continuous training program cover agreements between TSOs?</td>
<td>Yes ☐</td>
<td>No ☐</td>
</tr>
<tr>
<td>Does your continuous training program consider the relevant parts of the UCTE OH (ENTSO-E RGCE OH)?</td>
<td>Yes ☐</td>
<td>No ☐</td>
</tr>
<tr>
<td>Do you define specific requirements and duration of the initial program and the continuous program?</td>
<td>Yes ☐</td>
<td>No ☐</td>
</tr>
</tbody>
</table>

List of evidence, comments:

- Continuous training (Restoration procedure)
- MEAS procedure (*GES-ECH 06, 10*)
- AGSOM (Amprion, Transnet, REE…) – Bilateral agreements

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**COMPLIANCE AUDIT 2015**

**Compliance Level suggestion by the audit team:**
FCo

**Explanation for the suggested compliance level:**
RTE showed the parts of the training where the OH is presented, “*Dossier pedagogique du module RTE dans son environnement européen*” (A05). A03X module 6 contains the most important part of OH and new policies such as the network guidelines. Specific courses from the Initial training program “*Formation initiale locale CCO*” (A14) and Continuous training program “*Maintien de competence*” (A32), which also includes bilateral agreements, are shown to the audit team.
### 4.6 OH STANDARD P8-A-S2 TSO REFERENCE LIST OF ENGLISH TECHNICAL TERMS

#### SELF-ASSESSMENT QUESTIONNAIRE 2014

<table>
<thead>
<tr>
<th>P8-A-S2.</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>TSO reference list of English technical terms.</strong> Each TSO makes available a reference list of technical terms in English with translation to the mother language of dispatchers for operation and for training based on the existing UCTE reference list (see Appendix 8).</td>
</tr>
<tr>
<td><strong>Compliance Level:</strong> FCo</td>
</tr>
</tbody>
</table>

Concise explanation and list of evidence for declared compliance level:

The dispatchers have at their disposal in the control room a lexical with technical terms in english.

No Additional Questions
**P8-A-S2.**

**TSO reference list of English technical terms.** Each TSO makes available a reference list of technical terms in English with translation to the mother language of dispatchers for operation and for training based on the existing UCTE reference list (see Appendix 8).

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

- Dispatchers have at their disposal in the control room a lexical with technical terms in English.

Do you have a mitigation plan to the standard?  
- Yes [ ]  
- No [ ]

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

List of evidence, comments:

- English lexical in Control Room
- English Dictionary

**COMPLIANCE AUDIT 2015**

**Compliance Level suggestion by the audit team:**  
FCo

**Explanation for the suggested compliance level:**  
RTE showed an electronic version of the English-French reference list of English terms, “Lexique technique transport anglais français”. During the visit to the National Control Room, the audit team saw the hard copy of the English terms and a dictionary French-English.
### 4.7 OH REQUIREMENTS P8-B-R1. EXPERIENCE EXCHANGE.

**SELF-ASSESSMENT QUESTIONNAIRE 2014**

**P8-B-R1.**

**Experience exchange.** TSOs have to exchange the operational experience with their neighbours in order to cope with normal and abnormal situations in a coordinated way.

**Compliance Level:** SCo

Concise explanation and list of evidence for declared compliance level:

RTE organised on a regular basis exchanges between dispatchers, through workshop, visit, common training with the neighboring TSOs. With Swissgrid, no recent operational cross border experience has been exchanged and this is well identified by RTE. Nonetheless, management meetings are organised each year, in addition to the contribution to common cross-border projects.

**Additional Questions**

Do your dispatchers participate in the exchange of the operational experience with neighbouring TSOs? No with Swissgrid

**AUDIT QUESTIONNAIRE 2015**

**P8-B-R1.**

**Experience exchange.** TSOs have to exchange the operational experience with their neighbours in order to cope with normal and abnormal situations in a coordinated way.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

RTE organised with other TSOs on a regular basis exchanges between dispatchers, through workshop, visit, common training.

With Swissgrid, an operational workshop has been organised in October 2014. Another one is planned this year (October 2015).

Management meetings are organised each year, in addition to the contribution to common cross-border projects.

**Do you have a mitigation plan to the requirement?** Yes [ ] No [ ]

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

**Additional Questions**
Do your dispatchers participate in the exchange of the operational experience with neighbouring TSOs?  

Yes ☑  No ☐

List of evidence, comments:

- Workshop with other TSOs since 2014 (Internal reporting, Planning).
- Simulator session with other TSOs in Germany (email).
- RSCI Workshop with other TSO (Workshop Reporting, email)

COMPLIANCE AUDIT 2015

Compliance Level suggestion by the audit team: FCo

Explanation for the suggested compliance level:
RTE showed the multiple activities related with the exchange of operational experience such as e.g. Coreso Operational Workshop in 2014, coordination of HVDC control with REE, e.g. “Specification of the capacity calculation Workshop REE-RTE”.
RTE showed the report of the weekly TELCO WOPT with the neighbours from CWE where the operational challenges of the following week and the feedback from the previous one are exchanged. The report of the TELCO is shared among all the dispatchers from the national control centre. In a separate Telco with REE to discuss the same topics.
High level operational meeting between REE and RTE takes place 3 times a year, the outcome is shared among dispatchers from the national control centre.
Workshop with Swissgrid once per year, RTE showed evidences for the planned one in October 2015 and previous one from October 2014 (after self-assessment process in 2014 where RTE declared SCo).
4.8 OH STANDARD P8-B-S1 COMMON TRAINING

SELF-ASSESSMENT QUESTIONNAIRE 2014

P8-B-S1.

Common training. Each TSO implements at least one of the four actions defined in guidelines P8-B-G3 to improve communication and coordinated measures between neighbouring TSO dispatchers. The actions taken have to be chosen depending on the mutual level of risks for secure system operation with the first (or further) neighbouring TSO.

Compliance Level: FCo

Concise explanation and list of evidence for declared compliance level:

In 2014, common DTS training sessions has been held in Dutrain training center involving RTE, Elia, Amprion, Tennet-NL, Tennet-D, Transnet, Swissgrid and APG; the aim is to train dispatchers on coordination topics in a disturbing environment (constraints, and incidents that are common to neighbouring TSOs).

Once a year, a common Workshop is organised by Coreso (Regional Security and Cooperation Initiative) and gathers 2 or 3 dispatchers from each participating TSO: Elia, RTE, National Grid, Terna and 50HzT.

Every year, a workshop is organised between Amprion, TransnetBW and RTE (NCC and bordering RCC).

RTÉ experienced also other exchanges with neighbours such as cross border visits, double-shifts and common training with Elia, Terna and REE in the last 3 years.

Additional Questions

Which actions defined in guidelines P8-B-G3 do you implement?


ELIA SWISSGRID TRANSNET BW AMPRION REE TERTNA
G3.1G3.2G3.3G3.4 G3.4 G3.2 G3.4 G3.2G3.4 G3.1G3.3G3.4 G3.1G3.2G3.4
P8-B-S1.

**Common training.** Each TSO implements at least one of the four actions defined in guidelines P8-B-G3 to improve communication and coordinated measures between neighbouring TSO dispatchers. The actions taken have to be chosen depending on the mutual level of risks for secure system operation with the first (or further) neighbouring TSO.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

In 2014, common DTS training sessions has been held in Dutrain training center involving RTE, Elia, Amprion, Tennet-NL, Tennet-D, Transnet, Swissgrid and APG;

In 2015, the same common DTS training (intraday) and a new one will be organised (close to real time) with Elia, Amprion, Tennet-NL, Transnet.

The aim is to train dispatchers on coordination topics in a disturbing environment (constraints, and incidents that are common to neighbouring TSOs).

Twice a year, a common Workshop is organised by Coreso (Regional Security and Cooperation Initiative) and gathers 2 or 3 dispatchers from each participating TSO: Elia, RTE, National Grid, Terna and 50HzT.

Every year, a workshop is organised between Amprion, TransnetBW and RTE (NCC and bordering RCC).

RTE experienced also other exchanges with neighbours such as cross border visits, double-shifts and common training with Elia, Terna and REE in the last 3 years.

Do you have a mitigation plan to the standard?  Yes ☐ No ☐

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

Additional Questions

Which actions defined in guidelines P8-B-G3 do you implement?

**[Guidelines P8-B-G3. Inter-TSO common training.** The common training can be implemented in the following ways: G3.1. Cross visits between neighbouring TSOs dispatchers.; G3.2. Common training workshops.; G3.3. On-shift cross periods.G3.4. Common DTS training sessions. **]**

<table>
<thead>
<tr>
<th>Neighbour</th>
<th>G3.1</th>
<th>G3.2</th>
<th>G3.3</th>
<th>G3.4</th>
</tr>
</thead>
<tbody>
<tr>
<td>ELIA</td>
<td>✗</td>
<td>✗</td>
<td></td>
<td></td>
</tr>
<tr>
<td>SWISSGRID</td>
<td></td>
<td></td>
<td>✗</td>
<td></td>
</tr>
<tr>
<td>TRANSE BW</td>
<td></td>
<td></td>
<td></td>
<td>✗</td>
</tr>
<tr>
<td>AMPRION</td>
<td></td>
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<td></td>
</tr>
<tr>
<td>REE</td>
<td></td>
<td></td>
<td></td>
<td>✗</td>
</tr>
<tr>
<td>Terna</td>
<td></td>
<td></td>
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<td></td>
</tr>
</tbody>
</table>
List of evidence, comments:

- Emails
- Reporting from Coreso Workshop, DuTrain sessions...
- Table of attendance for operators

COMPLIANCE AUDIT 2015

Compliance Level suggestion by the audit team:
FCo

Explanation for the suggested compliance level:
RTE showed attendance lists and reports for all the common trainings.
RTE explains that common training with Elia and Terna takes place twice a year. E.g. Report from Coreso Workshop in June 2015. In addition RTE performs common training with Swissgrid, Amprion and TransnetBW in DuTrain (four times a year).
RTE showed the report of the last common training with REE about Training on Communication that took place in Madrid in May 2014.
### 4.9 OH STANDARD P8-C-S1 COORDINATION OF THE TRAINING

<table>
<thead>
<tr>
<th>SELF-ASSESSMENT QUESTIONNAIRE 2014</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>P8-C-S1</strong></td>
</tr>
<tr>
<td><strong>Coordination of the training.</strong> TSO appoints a training coordination manager responsible for training organization: designing, following-up and updating the full training process.</td>
</tr>
<tr>
<td><strong>Compliance Level:</strong> FCo</td>
</tr>
</tbody>
</table>
| Concise explanation and list of evidence for declared compliance level:  
In the field of training, RTE's training referent is responsible for the coordination of all the entities contributing to operational training (National training center, trainers in RCCs, specific WG for training). Meetings are regularly held between all Control Centers' training referents and discussions lead to improve the training and to identify new needs for training modules. |

**No Additional Questions**
**P8-C-S1**

**Coordination of the training.** TSO appoints a training coordination manager responsible for training organization: designing, following-up and updating the full training process.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

In the field of training, RTE's training referent is responsible for the coordination of all the entities contributing to operational training (National training center, trainers in RCCs, specific WG for training). Meetings are regularly held between all Control Centers' training referents and discussions lead to improve the training and to identify new needs for training modules.

**Do you have a mitigation plan to the standard?**  
Yes ☐  No ☐

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

**Additional Questions**

Who has the role of Training Coordination Manager in your TSO?  
(please provide first and second name)

Laurent CONROZIER

List of evidence, comments:

- RH Intranet list of activities Referents
- Note d’Organisation Département Exploitation - Organisation document of Operation Department

**COMPLIANCE AUDIT 2015**

**Compliance Level suggestion by the audit team:**  
FCo

**Explanation for the suggested compliance level:**

RTE showed the scheme where Laurent Conrozier is appointed as operation training manager. The Organisation document of Operation Department defines the role and describes in detail the responsibilities of the operation training manager including training coordination responsibilities.
## 4.10 OH STANDARD P8-C-S2 ORGANIZATION

### SELF-ASSESSMENT QUESTIONNAIRE 2014

#### P8-C-S2

**Organization.** The training coordination manager determines appropriate procedures for the training organization. These procedures shall cover:
- a description of the dispatchers required qualifications (knowledge and skills);
- a reference list of topics for training programs linked to the dispatchers required qualification;
- the processes for the initial and continuous programs including scripts/documents; of the theoretical sessions, time-schedules, supervision, tools, support for trainees, evaluation/validation and continuous improvement of the programs;
- the process of dispatchers accreditation;
- trainers selection and training of trainers.

**Compliance Level:** FC0

Concise explanation and list of evidence for declared compliance level:

Training organization within RTE is detailed in a specific document, which is guaranteed by a referent (Operation Department). The document provides the detailed resources, the coordination process, the competences to reach, and the means (specifications) for each step of the training program.

### Additional Questions

<table>
<thead>
<tr>
<th>Question</th>
<th>Response</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do your procedures for training include a description of the dispatchers required qualifications?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do your procedures for training include a reference list of topics for training programs linked to the dispatchers required qualification?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do your procedures for training include the processes for the initial and continuous programs including scripts/documents; of the theoretical sessions, time-schedules, supervision, tools, support for trainees, evaluation/validation and continuous improvement of the programs?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do your procedures for training include the process of dispatchers accreditation?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do your procedures for training include trainer selection and training of trainers?</td>
<td>Yes</td>
</tr>
</tbody>
</table>
Organization. The training coordination manager determines appropriate procedures for the training organization. These procedures shall cover: - a description of the dispatchers required qualifications (knowledge and skills); - a reference list of topics for training programs linked to the dispatchers required qualification; - the processes for the initial and continuous programs including scripts/documents; of the theoretical sessions, time-schedules, supervision, tools, support for trainees, evaluation/validation and continuous improvement of the programs; - the process of dispatchers accreditation; - trainers selection and training of trainers.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

Training organisation within RTE is detailed in a specific document, which is guaranteed by a referent (Operation Department). The document provides the detailed resources, the coordination process, the competences to reach, and the means (specifications) for each step of the training program.

Do you have a mitigation plan to the standard? **Yes [ ] No [ ]**

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

Additional Questions

Do your procedures for training include a description of the dispatchers required qualifications? **Yes [ ] No [ ]**

Do your procedures for training include a reference list of topics for training programs linked to the dispatchers required qualification? **Yes [ ] No [ ]**

Do your procedures for training include the processes for the initial and continuous programs including scripts/documents; of the theoretical sessions, time-schedules, supervision, tools, support for trainees, evaluation/validation and continuous improvement of the programs? **Yes [ ] No [ ]**

Do your procedures for training include the process of dispatchers accreditation? **Yes [ ] No [ ]**

Do your procedures for training include trainer selection and training of trainers? **Yes [ ] No [ ]**

List of evidence, comments:

Accreditation procedure - *Procédure d’habilitation RTE (Maintien en compétence)*
Training specification document - Cahier des Charges des Formations
Pedagogical documents - Dossiers pédagogiques
Training program

COMPLIANCE AUDIT 2015

Compliance Level suggestion by the audit team:
FCo

Explanation for the suggested compliance level:
Required qualifications of the different positions that the dispatcher shall perform are shown in the “Structure d’emplois du métier Ressources Humaines, accord relatif au classement et aux structures d’emplois”.

The evidence for the reference list of topics for training programs and the processes for the initial and continuous programs are shown in P8-A-R2 and P8-A-R3.

Accreditation process is shown in “Procedure de Maintien en compétences des opérateurs du service conduite du CNES”.

Evidence for evaluation/validation and continuous improvement of the programs were shown in “Livret de Formation Individuel”. This document is used to obtain the first certification and to track the evolution of the candidate.

Evidence for training of trainers and trainers selection are shown in P8-C-S5 and P8-C-S6.
4.11 OH STANDARD P8-C-S3 EVALUATION

**SELF-ASSESSMENT QUESTIONNAIRE 2014**

### P8-C-S3

**Evaluation.** The initial program has to be completed by an evaluation in which the knowledge and capabilities of a candidate to perform a dispatcher job are tested. This evaluation is performed by the trainers; a relevant document is forwarded to the manager of the candidate.

**Compliance Level:** FCo

<table>
<thead>
<tr>
<th>Concise explanation and list of evidence for declared compliance level:</th>
</tr>
</thead>
<tbody>
<tr>
<td>At several steps during the initial program, an evaluation is done to check the theoretical knowledge (written test), the practical skills (using the simulator) and an interview: each stage is reported to the manager of the candidate.</td>
</tr>
</tbody>
</table>

### Additional Questions

1. Do you complete the initial program with a test of the knowledge of dispatches candidates? **Yes**
2. Do the trainers issue a document containing the results of the evaluation to the manager of the candidate? **Yes**
**P8-C-S3**

**Evaluation.** The initial program has to be completed by an evaluation in which the knowledge and capabilities of a candidate to perform a dispatcher job are tested. This evaluation is performed by the trainers; a relevant document is forwarded to the manager of the candidate.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

> At several steps during the initial program, an interim evaluation is done to check the theoretical knowledge (oral test), the practical skills (using the simulator) and an interview: each stage is reported to the manager of the candidate.

**Do you have a mitigation plan to the standard?**  
Yes [ ]  
No [ ]

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:

**Additional Questions**

Do you complete the initial program with a test of the knowledge of dispatches candidates?  
Yes [ ]  
No [ ]

Do the trainers issue a document containing the results of the evaluation to the manager of the candidate?  
Yes [ ]  
No [ ]

List of evidence, comments:

- Training booklet (evaluation)
- Minutes of evaluation (transmitted to the manager)

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**COMPLIANCE AUDIT 2015**

**Compliance Level suggestion by the audit team:**  
FCo

**Explanation for the suggested compliance level:**  
RTE explains that at the end of each training block the results are sent by the training manager to the manager of the trainees. E.g. “Attestation des acquis de formation”. The evaluation procedure is described in every training programme. A final exam is necessary to obtain the Certificate.  
RTE showed a training booklet “Livret de Formation Individuel” where the performance, evaluation of the candidate is recorded and certification is issued.
### 4.12 OH STANDARD P8-C-S4  **FIRST ACCREDITATION**

#### SELF-ASSESSMENT QUESTIONNAIRE 2014

**P8-C-S4**

**First accreditation.** The TSO has to deliver a first accreditation to the dispatcher candidate that authorizes him to perform his job in the control room. The first accreditation is attributed according to defined criteria for a duration decided by the TSO as in below-mentioned guidelines.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

First accreditation is delivered after the initial training and evaluation. It is in the scope of RTE’s training policy. The duration of accreditation is two years for RTE’s dispatchers.

The decision of accreditation or refusal is taken after a debriefing between trainers and the manager. It takes into account all the evaluations, the behaviour of the trainee during its training (including on-the-job-training) and also the discussions during the interview with its manager.

**Additional Questions**

<table>
<thead>
<tr>
<th>Question</th>
<th>Answer</th>
</tr>
</thead>
<tbody>
<tr>
<td>Do you deliver a first accreditation to your dispatcher?</td>
<td>Yes</td>
</tr>
<tr>
<td>Do you have criteria for accreditation of dispatcher candidate?</td>
<td>Yes</td>
</tr>
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</table>

#### AUDIT QUESTIONNAIRE 2015

**P8-C-S4**

**First accreditation.** The TSO has to deliver a first accreditation to the dispatcher candidate that authorizes him to perform his job in the control room. The first accreditation is attributed according to defined criteria for a duration decided by the TSO as in below-mentioned guidelines.

**Compliance Level:** FCo

Concise explanation and list of evidence for declared compliance level:

First accreditation is delivered after the initial training and evaluation. It is in the scope of RTE’s training policy. The duration of accreditation is two years for RTE’s dispatchers.

The decision of accreditation or refusal is taken after a debriefing between trainers, Operation Engineer, tutor and the manager. It takes into account all the evaluations, the behaviour of the trainee during its training (including on-the-job-training) and also the discussions during the interview with its manager.

**Do you have a mitigation plan to the standard?**  Yes □  No □

In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:
Additional Questions

Do you deliver a first accreditation to your dispatcher?  
Yes ☒  No ☐

Do you have criteria for accreditation of dispatcher candidate?  
Yes ☒  No ☐

List of evidence, comments:

- Training booklet
- Accreditation

COMPLIANCE AUDIT 2015

Compliance Level suggestion by the audit team:  
FCo

Explanation for the suggested compliance level:

RTE explains that at the end of each training block the results are sent by the training manager to the manager of the trainees. E.g. “Bilan de stage”. The evaluation procedure is described in every training programme. A final exam is necessary to obtain the first accreditation which is valid for two years. Each individual training booklet “Livret de Formation Individuel” includes the first accreditation.
## 4.13 OH STANDARD P8-C-S5 TRAINERS' SELECTION

### SELF-ASSESSMENT QUESTIONNAIRE 2014

<table>
<thead>
<tr>
<th>P8-C-S5</th>
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</thead>
<tbody>
<tr>
<td><strong>Trainers' selection.</strong> TSOs have to determine the profile of trainers with regards to their respective tasks and responsibilities in the training programs. Trainers are selected internally (experienced dispatchers) or from external bodies.</td>
</tr>
<tr>
<td><strong>Compliance Level:</strong> FCo</td>
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<tr>
<td>Concise explanation and list of evidence for declared compliance level:</td>
</tr>
<tr>
<td>Trainers in centralized RTE training center in Lyon are selected according to their previous experience (internally): each trainer will be dedicated to specific topics regarding its experience. There is a mix of RCC and NCC former dispatchers in RTE national training center.</td>
</tr>
<tr>
<td>In each Control Center, there are one or two full-time trainers. They are assisted in the training by other experienced dispatchers (during their time out of shift).</td>
</tr>
<tr>
<td><strong>Additional Questions</strong></td>
</tr>
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<td>Have you determined the profile of trainers?</td>
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### AUDIT QUESTIONNAIRE 2015

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<td>Trainers in centralized RTE training center in Lyon are selected according to their previous experience (internally), pedagogic skills and their behaviour: each trainer will be dedicated to specific topics regarding its experience. There is a mix of RCC and NCC former dispatchers in RTE national training center.</td>
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<td>In each Control Center, there are one or two full-time trainers. They are assisted in the training by other experienced dispatchers (during their time out of shift).</td>
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<tr>
<td><strong>Do you have a mitigation plan to the standard?</strong> Yes ☐ No ☐</td>
</tr>
<tr>
<td>In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments:</td>
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</table>
Additional Questions
Have you determined the profile of trainers?

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

List of evidence, comments:
- Training program for trainers
- Engagement letter - Lettre de Mission CAE, CNEF

COMPLIANCE AUDIT 2015

Compliance Level suggestion by the audit team:
FCo

Explanation for the suggested compliance level:
RTE showed the job description of a trainer from the training centre “EMPLOI: Formateur – Chef de projet” and a job description for the local trainer “Lettre de Mission Charge d’Affaire Exploitation en charge de la formation”.
RTE showed a general document where the required skills for all RTE positions are described, including trainers’ positions “Structure d’emplois du métier Ressources Humaines, accord relatif au classement et aux structures d’emplois à RTE.”
# 4.14 OH STANDARD P8-C-S6 TRAINING OF TRAINERS

## SELF-ASSESSMENT QUESTIONNAIRE 2014

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<tr>
<td><strong>Training of trainers.</strong> Depending on education and previous experience, an individual training program is defined for each trainer; it can be provided by internal sessions or by outsourced training sessions.</td>
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<td><strong>Compliance Level:</strong> FCo</td>
</tr>
<tr>
<td>Concise explanation and list of evidence for declared compliance level:</td>
</tr>
<tr>
<td>A training program is designed for RTE trainers: each trainer has its own program and certification to get the methods and the skills in training.</td>
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<td><strong>No Additional Questions</strong></td>
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## AUDIT QUESTIONNAIRE 2015

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<td>Concise explanation and list of evidence for declared compliance level:</td>
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<td>A training program is designed for RTE national trainers: each trainer has its own program and certification to get the methods and the skills in training.</td>
</tr>
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</table>
| **Do you have a mitigation plan to the standard?**  
Yes ☐  
No ☐ |
| In case of an existing Addendum or a Non Compliance Declaration; list of evidence for a mitigation plan, comments: |
| List of evidence, comments: |
| • National Program training for national trainers – *Fiche Cursus formateurs EXPL*  
• Training procedure for trainers - *Professionnalisation des formateurs du DPS*  
• *S950* (training session for local trainers in control center) |

## COMPLIANCE AUDIT 2015
Compliance Level suggestion by the audit team:
FCo

Explanation for the suggested compliance level:
RTE showed the Training program for trainers “cursus de formation des formateurs du métier exploitation” and the specific training program for trainers in Lyon “Professionnalisation des formateurs du DPS”. An individual training plan with a common part and a specific part, to be adapted to the specific needs of the trainer is shown to the audit team. “Plan de professionnalisation d’un nouveau formateur du pole exploitation du département professionnalisation des salariés de RTE.”

5 CONCLUSIONS

The Audit Team audited 14 requirements/standards. The Audit Team found out that RTE is fully compliant with all audited standards.

During the onsite audit, the Audit Team had the opportunity of visiting the national control room and training centre, what helped the Audit Team to better understand the organisation and processes within the organisation of RTE. Presentation of installed DTS was an important part of this visit.

RTE estimates that their staff needed **80 human hours** for the preparation of the compliance audit.

RTE was well prepared for the audit. The documents considered as evidence were available during the audit. All these documents were a good basis for proving the compliance level of RTE with the audited standards. Requests for additional material were promptly met by RTE.

The general impression of the Audit Team is that RTE has an excellent and well-documented procedure for dispatchers training which is efficiently used in practice. Therefore, the audit team has no further recommendation to RTE regarding the OH P8.

In the case of this Compliance Audit, all preconditions for a successful audit were fulfilled and the Audit Team wishes to express its gratitude to the RTE staff involved in the Audit and the company management.
6 SIGNATURE PAGE

ENTSO-E Audit Team Members:

László Galambos (Audit Team Leader)

Jaka Zvab (Audit Team Member)

Yiannis Tolias (Audit Team Member)

Carlos Castel Conesa (Compliance monitoring Advisor)

Date and Place: 23.09.2015, Brussels, Belgium