

**VERSION FOR INDUSTRY**  
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on or before 20<sup>th</sup> April 2006

## **PROPOSED AMENDMENT REPORT**

**STC Proposed Amendments CA016, CA017 and CA019**

**Modification Applications in Respect of  
Certain Embedded Power Stations**

**Assessment of the Impact of  
Certain Embedded Power Stations**

*The purpose of this report is to assist the Authority in  
their decision of whether to implement Amendment  
Proposals CA016, CA017 and CA019*

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## **1.0 SUMMARY AND RECOMMENDATION**

- 1.1 STC Amendment Proposals CA016, CA017 and CA019 propose that the STC be modified to establish a process for assessing the impact of Medium and certain Small Power Stations to be embedded in the network of a Distribution Network Operator (“DNO”).
- 1.2 Such a process would be required as a result of the potential approval and implementation of CUSC Amendment Proposal CAP097, which seeks to clarify the CUSC process to be followed prior to the energisation of such Power Stations.
- 1.3 Amendment Proposals CA016 and CA017 were proposed by National Grid Electricity Transmission plc (“National Grid”) and submitted for consideration to the STC Committee Meeting on Tuesday, 20<sup>th</sup> December 2005. The Committee recommended that they proceed to the Evaluation Phase.
- 1.4 Under this Evaluation Phase, the Committee commissioned a working group, which met twice, and held an additional teleconference. The working group reported back to the STC Committee Meeting on Tuesday, 21<sup>st</sup> February 2006. The Committee then recommended that CA016 and CA017 proceed to the Assessment and Report Phase.
- 1.5 Amendment Proposal CA019 was proposed by SP Transmission Limited (“SPTL”) and submitted for consideration to the STC Committee Meeting on Tuesday, 21<sup>st</sup> February 2006. As the amendment proposal and its alternative are alternatives to CA017, the Committee recognised that CA019 had been fully evaluated during the CA016 and CA017 Evaluation Phase. The Committee therefore recommended that it proceed straight to the Assessment and Report Phase.

### **STC Committee Provisional Recommendation**

- 1.6 The STC Committee is unable to make a single provisional positive recommendation as to which amendment proposal should be approved for implementation. However, there are many similarities in the views of the Parties, and the Committee recommends that neither the CA017 or CA019 Original Proposals, nor the CA017 or CA019 Alternative Amendments, should be approved for implementation.
- 1.7 National Grid provisionally recommends that the CA016 Original Proposal be approved for implementation.
- 1.8 Scottish Hydro-Electric Transmission Limited (“SHETL”) provisionally recommends that the CA016 Alternative Amendment be approved for implementation.
- 1.9 SPTL provisionally recommends that the CA016 Alternative Amendment be approved for implementation.
- 1.10 Should the Authority approve either the CA016 Original Proposal or the CA016 Alternative Amendment, the STC Committee provisionally recommends that the STC be modified 30 days after the Authority’s decision. Should the Authority approve either the CA017 or CA019 Original Proposals, or the CA017 or CA019 Alternative Amendments, the STC Committee provisionally recommends that the STC be modified 10 business days after the Authority’s decision.

## 2.0 PURPOSE AND INTRODUCTION

- 2.1 This Amendment Report has been prepared and issued by STC Committee under the rules and procedures specified in the System Operator – Transmission Owner Code. It addresses issues relating to the assessment of the impact of Small or Medium Power Stations to be embedded in a DNO network.
- 2.2 Further to the submission of Amendment Proposals CA016, CA017 and CA019 (see Annex 1), this document is addressed and furnished to persons who have a relevant interest in the Proposed Amendments and invites views upon Amendment Proposals CA016, CA017 and CA019.
- 2.3 This document outlines the nature of the STC changes that are proposed. It incorporates the STC Committee’s and STC Parties’ provisional recommendations concerning the Amendments.
- 2.4 This Proposed Amendment Report has been prepared in accordance with the terms of the STC. An electronic copy can be found on the National Grid website, at <http://www.nationalgrid.com/uk/Electricity/Codes/sotocode/>.

## 3.0 THE PROPOSED AND ALTERNATIVE AMENDMENTS

### Background – CAP097

- 3.1 STC Amendment Proposals CA016 and CA017 were proposed by National Grid to establish a process for assessing the impact of Medium and certain Small Power Stations to be embedded in a DNO network. Such a process would be required as a result of the potential approval and implementation of CUSC Amendment Proposal CAP097, which seeks to clarify the CUSC process to be followed prior to the energisation of such Power Stations.
- 3.2 CAP097 was proposed by National Grid to clarify the contractual requirements to apply for Small and Medium Embedded Power Stations. The terms “Small”, “Medium” and “Large” Power Stations are defined in the Grid Code, as follows:

Transmission Area	“Small”	“Medium”	“Large”
National Grid	< 50MW	≥ 50MW AND <100MW	≥ 100MW
SPTL	< 5MW	≥ 5MW AND < 30MW	≥ 30MW
SHETL	< 5MW	Not Applicable	≥ 5MW

- 3.3 The contractual framework for Directly Connected and Large Embedded Power Stations is well defined and unambiguous. However, the requirements for Small and Medium Embedded Power Stations are less clear, with paragraph 6.5.1 of the CUSC stating that a DNO should not energise the connection between any Small and Medium Embedded Power Stations and its Distribution System “until the person owning or operating the plant has where required ... entered into a Bilateral Agreement in the appropriate form (if any) with” National Grid.
- 3.4 CAP097 therefore seeks to clarify these requirements by proposing a process which would aim to identify, before energisation of the Embedded

Power Station, whether the Embedded Power Station has a significant effect upon the GB Transmission System. Under this proposed process:

- The trigger would be the submission of a “Request for a Statement of Works” by the DNO;
  - The existence of any required Transmission Works would be identified by Transmission Owners and communicated to the DNO by National Grid after 28 days;
  - The DNO would have 5 business days to liaise with the Power Station and decide whether to proceed;
  - In the event that Transmission Works had been identified, and the DNO wished to proceed, such Works would be progressed via a Modification Application and Construction Agreement;
  - The DNO would provide financial security (“Final Sums”) through the construction phase of any Transmission Works; and
  - The DNO would not energise any relevant Power Station until it has received confirmation from National Grid that either no Works are required or that any identified Works have been completed.
- 3.5 This original CAP097 proposal would apply to all Medium Power Stations and to any Small Power Stations that were both 30MW or greater in capacity and connected at the same voltage as the Low Voltage side of the relevant Grid Supply Point (GSP). There would also be an allowance for a DNO to initiate the process on a discretionary basis, regardless of the size of the Power Station.
- 3.6 In Scotland, this proposal would therefore cover Medium Embedded Power Stations in SPTL’s Transmission Area, and any Small Embedded Power Stations anywhere in Scotland identified by the relevant DNO on a discretionary basis. (There are no Small Power Stations of 30MW or greater in Scotland, and no Medium Power Stations in SHETL’s Transmission Area.)
- 3.7 Two Working Group Alternative Amendments (WGAAAs) to CAP097 were proposed: WGAA1 by CE Electric and WGAA2 by CE Electric and United Utilities.
- 3.8 WGAA1 would apply only to Medium Embedded Power Stations, and is based on the DNO notifying National Grid of the proposed connection date of any such Power Stations. National Grid would inform the DNO within 28 days of such notification whether any Transmission Works were required. The DNO would not permit energisation of the Power Stations until any necessary Works had been completed. Where such Works involved the connection site between the DNO and the GB Transmission System, a Modification Application would be raised.
- 3.9 WGAA2 would apply to the same set of Power Stations as the Original Proposal. However, rather than a period of 5 business days being allowed for consultation between the DNO and the Power Station Developer following an identification that Works would be required, a period of 90 business days would be specified. Following this period, a full 3 months would then be allowed for the offer of the resulting Modification Application, again unlike the Original Proposal (in which the initial 28 day assessment period, the 5 business day consultation period and the production of the Modification Offer would all be covered by one 3 month period).
- 3.10 In response to the wider industry consultation for CAP097, six Consultation Alternative Amendments (CAAs) to CAP097 were proposed: CAA1 by CE

Electric, CAA2 by EdF Energy, CAA3 by SP Distribution, and CAA4 - CAA6 by National Grid.

- 3.11 CAA1 is closely based on WGAA1. However, in the event that Works were identified, it would additionally require National Grid to inform the DNO of the timescales for the completion of such Works within 90 days of the original notification from the DNO that the Medium Embedded Power Station intended to connect. It would also require National Grid to notify the DNO of any subsequent changes to this timetable.
- 3.12 CAA2 is closely based on WGAA2. However, it would only necessarily apply to Medium Embedded Power Stations – the requirements on Small Embedded Power Stations of 30MW or greater would not apply in this proposal (although the discretionary element would remain). Additionally, a Modification Application would only be taken forward if there was positive confirmation from the DNO. Therefore, if there was no positive indication within 90 business days of National Grid confirming that Works were required then the process would automatically cease.
- 3.13 CAA3 is also closely based on WGAA2, but modifies that proposal in the following ways:
- In line with the recommendations of the Grid Code Regional Differences Working Group, it is proposed that the process should capture only Medium Embedded Power Stations of 50MW or greater, and that, in effect, Medium Embedded Power Stations in Scotland would not need to be compulsorily notified. The DNO would retain an option to notify National Grid of Medium Embedded Power Stations under 50MW should the DNO believe they would have a significant effect on the GB Transmission System.
  - There would also be no compulsory notification of any Small Embedded Power Stations, although the DNO would retain an option to notify National Grid of such Power Stations on a discretionary basis.
- 3.14 CAA4 replicates the Original Proposal with references to “NGC” changed to “The Company” in line with the Authority’s decision on CAP105. The two proposals are identical in all other, material respects. CAA5 and CAA6 replicate WGAA1 and WGAA2, respectively, in this manner.
- 3.15 Further details of the CAP097 Original Proposal and all Alternative Amendments, including full legal text, can be found in the CAP097 Amendment Report.
- 3.16 In the CAP097 Amendment Report, National Grid recommended that the Authority takes its decision on CAP097 and the related STC Amendment Proposals concurrently.

### **STC Amendment Proposals**

- 3.17 As detailed above, the CUSC amendment process resulted in 9 versions of CAP097 being proposed. In formulating STC Amendment Proposals to facilitate the CAP097 process in Scotland, National Grid tried to ensure that a minimum number of STC Amendment Proposals were developed. This was possible due to the different nature of the codes – e.g. the CUSC needs to very precisely specify which Power Stations are covered by the process, whereas the STC assessment process could be the same, irrespective of the exact size of the Power Stations being processed. In the event, it proved

possible to cover the nine CAP097 options with four STC Amendment Proposals.

3.18 However, paragraph 7.2.2.8 of Section B of the STC specifies that each Party may propose only one alternative to a Proposed STC Amendment. Therefore, National Grid opted to propose the four required sets of changes to the STC as the CA016 Original Proposal, the CA016 Alternative Amendment, the CA017 Original Proposal and the CA017 Alternative Amendment. Clearly, the STC Committee would request that the Authority approve only one of CA016 and CA017, and that they should approve an option consistent with their decision on CAP097.

3.19 The table below shows the relationships between the original CAP097 proposal and its descendent proposals as discussed by the STC Committee in trying to develop suitable complementary proposals in respect of the STC. Thus:

- The CA016 Original Proposal is consistent with the CAP097 Original Proposal and CAA4;
- The CA017 Original Proposal is consistent with either WGAA1 or CAA5;
- The CA017 Alternative Amendment is consistent with CAA1; and
- The CA016 Alternative Amendment is consistent with either WGAA2, CAA2, CAA3 or CAA6.

Table showing relationship of CAP097 CUSC proposals and the proposed STC corresponding proposals				
Original Proposal and Working Group Alternatives	Consultation Alternatives	NGC -> NGET name change	STC Amendment Proposals	
			Proposed by National Grid	Proposed by SPTL
CAP097		CAA4	CA016 Original	
WGAA1		CAA5	CA017 Original	CA019 Original
	CAA1		CA017 Alternative	CA019 Alternative
WGAA2		CAA6	CA016 Alternative	
	CAA2			
	CAA3			

3.20 The detail and development of each STC Amendment Proposal is described later in this section of this report. However, during the evaluation of CA017 it proved impossible for the Parties to reach a consensus on the exact process that should be proposed. Therefore, the CA019 Original Proposal and the CA019 Alternative Amendment were proposed by SPTL as alternatives to CA017 (and these were referred to as CA019 due to the fact that SPTL were unable to propose two alternatives to CA017). Therefore:

- Either the CA017 Original Proposal or the CA019 Original Proposal is consistent with either WGAA1 or CAA5; and
- Either the CA017 Alternative Amendment or the CA019 Alternative Amendment is consistent with CAA1.

3.21 The development of each of the six processes proposed as STC Amendment Proposals is described in turn below.

## CA016 Original Proposal

- 3.22 The CA016 Original Proposal was proposed by National Grid to facilitate in the STC the CAP097 Original Proposal process. As the CAP097 Original Proposal fits within the existing 3 month process for CUSC Modification Applications, the CA016 Original Proposal seeks to fit the process into the existing STC Modification Application procedure described in Part Two of Section D of the STC. (The CA016 Original Proposal also facilitates CAP097 CAA4, which is simply the CAP097 Original Proposal with references to “NGC” changed to “The Company”.)
- 3.23 The term “Request for a Statement of Works” would be defined in the STC as the application made by the DNO pursuant to the CUSC. The STC definition of “Modification” would be revised to include any such User Requests for Statement of Works, such that the existing process for “NGET Modification Applications” would cover these requests.
- 3.24 The CUSC requirement for National Grid to respond to the DNO within 28 days would be covered by the existing provisions in paragraph 4.1 of Part Two of Section D of the STC. The requirement, or otherwise, for any Works in relation to a Power Station would be signalled by whether or not the Transmission Owner (TO) intended to submit a TO Construction Offer.
- 3.25 However, an additional paragraph 4.3 would then be required to give effect to the five business day consultation period that would be unique to this process. The proposed legal drafting for this paragraph specifies that such a period should apply only “in respect of a Construction Project relating to a Request for a Statement of Works”. The drafting also specifies that National Grid should notify the TO within seven business days whether it wishes to continue with the NGET Modification Application. The rationale for seven business days is that, under paragraph 4.1 the TO should effectively give notice to National Grid one business day prior to the five business day consultation period under the CUSC. Finally, an additional business day is included for National Grid to convey the DNO’s wishes to the TO.
- 3.26 In the event that Works were required, and that the Power Station Developer and therefore the DNO wished the Request for a Statement of Works to be deemed a CUSC Modification Application, National Grid would continue with the NGET Modification Application in the STC. The STC definition of “Modification” would include “any Transmission Construction Works associated with such Request for a Statement of Works”. The remaining CUSC obligations would be covered by the existing STC NGET Modification Application process.
- 3.27 In the event that the DNO did not wish to proceed, NGET would inform the TO and, under the new paragraph 4.3, the TO would “no longer be obliged to submit a TO Construction Offer”.
- 3.28 In the event that Works were not required, the TO, under the existing paragraph 4.2, would “notify NGET of any technical design or operational criteria” that the TO assumes will apply. This would enable National Grid, under the proposed CUSC process, to notify the DNO of any Site Specific Requirements that would be necessary.
- 3.29 Under the CA016/017 Evaluation Phase, the working group commissioned by the STC Committee reviewed the proposed legal text for the CA016 Original Proposal. Minor changes to the drafting were made, but no substantive changes were required.

- 3.30 Full legal text for the CA016 Original Proposal is attached as Part A of Annex 2 of this document.

### **CA016 Alternative Amendment**

- 3.31 The CA016 Alternative Amendment was proposed by National Grid to facilitate in the STC the CAP097 WGAA2, CAA2, CAA3 and CAA6. These proposed CUSC processes all include an initial 28 day assessment, a 90 business day consultation period and then potentially the full 3 month Modification Application process. As such, it is proposed to add a new Part Four to Section D of the STC which would cover the initial 28 day assessment and the 90 business day consultation period. The Modification Application would be covered by the existing Part Two of Section D.
- 3.32 The term "Request for a Statement of Works" would be defined in the STC as the application made by the DNO pursuant to the CUSC, and a term "NGET Request for a Statement of Works" would also be defined in the STC as the request made by National Grid to the TO.
- 3.33 The new Part Four of Section D of the STC would then describe the process to be followed in progressing such "NGET Requests for Statements of Works". Paragraphs 1 and 2 would deal with the submission of such requests and the generation of Statement of Works Planning Assumptions, and would largely replicate paragraphs 2 and 3 of Part Two of Section D.
- 3.34 Paragraph 3.1 of this new Part Four would then oblige the TO to submit to National Grid a "TO Statement of Works Notice", which would state whether or not the TO required Works to be undertaken. Where Works were not required, the TO would specify "any technical design or operational criteria" that it had assumed would apply. This would enable National Grid, under the proposed CUSC process, to notify the DNO of any Site Specific Requirements that would be necessary.
- 3.35 Paragraph 3.2 of the new Part Four would specify the timescales in which such a "TO Statement of Works Notice" should be submitted. It replicates the timescales in paragraph 4.1 of Part Two, and would allow National Grid to meet the 28 day CUSC requirement.
- 3.36 Paragraph 3.6 of the new Part Four would specify that "At any time up to twenty-eight calendar days plus ninety-three Business Days after the User Application Date, NGET may submit ... a NGET Modification Application" in respect of the relevant Power Station. The ninety-three business days is derived from the ninety business days under the proposed CUSC process plus the three business days that National Grid would have to submit the NGET Modification Application under paragraph 2.3 of Part Two of Section D.
- 3.37 Arguably, this paragraph 3.6 is not strictly necessary, in that National Grid may submit a NGET Modification Application at any time. However, the intention is to provide a clear link between the two parts of the process, and also to provide a "hook" to which charging arrangements for application fees could refer. The intention of the relevant CUSC proposals is that a full Modification Application fee would not be payable if an earlier Request for a Statement of Works had been processed, and the relevant fee paid (i.e. only the difference between the two fees would then be payable).
- 3.38 Under the CA016/017 Evaluation Phase, the working group commissioned by the STC Committee reviewed the proposed legal text for the CA016

Alternative Amendment. Whilst no alterations to the overall process were required, a number of changes to the drafting were made (and the above commentary refers to this updated text):

- The initially proposed approach of referring to projects in Part Four of Section D as “Construction Projects” was replaced with the introduction of a new term “Statement of Works Projects”;
- A new paragraph 2.8 was added to Part Four of Section D to replicate paragraph 3.8 in Part Two;
- Paragraphs 3.1 and 3.2 were merged and reworded;
- The timescales referred to in paragraph 3.7 (now 3.6) were redefined;
- Additional sub-paragraphs were added to Section H to give effect to the provisions regarding Disputes;
- Minor changes were made to some definitions.

3.39 Full legal text for the CA016 Alternative Amendment is attached as Part B of Annex 2 of this document.

### **CA017 Original Proposal**

3.40 The CA017 Original Proposal was proposed by National Grid to facilitate in the STC the CAP097 WGAA1 and CAA5. The proposed CAP097 WGAA1 process is that any required Transmission Works that do not involve Connection Works should be progressed without any contractual commitment by the DNO or Power Station. As such, this process is entirely unprecedented, and a new Part Four to Section D is therefore proposed.

3.41 Where the identified Works do involve Connection Works, a Modification Application would be raised. The initial assessment would therefore be undertaken using the new Part Four, but the resulting Modification Application would then be progressed via the existing Part Two of Section D.

3.42 The term “Embedded Power Station Notification” would be defined in the STC as the notification made by the DNO pursuant to the CUSC. However, the CUSC would require National Grid to respond to this notification within 28 days stating whether any Transmission Works were required as a result of the connection of the Power Station. Therefore, the process to be followed by National Grid and the TOs in progressing such a notification is actually very similar to that in the CA016 Alternative, and the same “NGET Request for a Statement of Works” term is used in the STC drafting.

3.43 Again, paragraphs 1 and 2 of the new Part Four of Section would deal with the submission of such requests and the generation of Statement of Works Planning Assumptions, and largely replicate paragraphs 2 and 3 of Part Two of Section D. However, as no Application Fee would be payable by the DNO under the proposed CUSC notification process, there would be no User fee for National Grid to pass onto the TO. Paragraph 1.5 therefore states that “NGET shall not be liable to pay Engineering Charges in relation to a NGET Request for Statement of Works”.

3.44 Paragraph 3.1 of the new Part Four would then oblige the TO to submit to National Grid a “TO Statement of Works Notice”, which would state whether or not the TO required Connection Works or any other Works to be undertaken in respect of the relevant Power Station. Paragraph 3.2 would specify the timescales in which such a “TO Statement of Works Notice” should be submitted, replicating the timescales in paragraph 4.1 of Part Two

- of Section D, and which would allow National Grid to meet the 28 day CUSC requirement.
- 3.45 Where Connection Works were required, National Grid would submit a NGET Modification Application in respect of any Works identified in the TO Statement of Works Notice, and this would be progressed using the existing Part Two of Section D of the STC.
- 3.46 Where Connection Works were not required, but other Works were required ("Transmission Infrastructure Works"), such Transmission Infrastructure Works would be progressed by the TO, and the TO would update its Transmission Investment Plan accordingly. National Grid would notify the TO if the proposed date of connection for the Power Station changed (having been informed by the DNO through the CUSC process), and the TO would notify National Grid when the relevant Transmission Infrastructure Works had been completed (such that National Grid could then inform the DNO).
- 3.47 Under the CA016/017 Evaluation Phase, the working group commissioned by the STC Committee reviewed the proposed legal text for the CA017 Original Process. The working group made significant revisions to paragraph 3. These were principally to separately allow for the identification of any Connection Works in the "TO Statement of Works Notice". Where such Works were required, the process would then be that any Works would be progressed via the new paragraph 3.5. Where Connection Works were not required, but other Works (Transmission Infrastructure Works) were, the requirements would be as stated in paragraph 3.6.
- 3.48 A number of other, more minor changes to the drafting were also made:
- A new paragraph 2.8 was added to Part Four to replicate paragraph 3.8 in Part Two;
  - Additional sub-paragraphs were added to Section H to give effect to the provisions regarding Disputes;
  - Minor changes were made to some definitions.
- 3.49 Full legal text for the CA017 Original Proposal is attached as Part C of Annex 2 of this document.

### **CA017 Alternative Amendment**

- 3.50 The CA017 Alternative Amendment was proposed by National Grid to facilitate in the STC the CAP097 CAA1. The proposed CAP097 CAA1 process is virtually identical to that proposed under WGAA1 (and therefore reflected in the CA017 Original Proposal). However, there are some additional requirements over and above those contained in WGAA1.
- 3.51 The CA017 Alternative Amendment is therefore virtually identical to the CA017 Original Proposal. However, there is an additional paragraph (3.5) containing the requirement that the TO should notify National Grid of the proposed completion date of any required Works in timescales consistent with National Grid being able to inform the DNO within 90 days. There is also an additional sub-paragraph 3.7.3, stating that the TO should inform National Grid of any changes to this date.
- 3.52 Other than the above, the CA017 Alternative Amendment is identical to the CA017 Original Proposal. Therefore, under the CA016/017 Evaluation Phase, the working group commissioned by the STC Committee made

revisions to the proposed legal text for the CA017 Alternative Amendment identical in content as those for the CA017 Original Process (and detailed in paragraphs 3.47 and 3.48 above).

- 3.53 Full legal text for the CA017 Alternative Amendment is attached as Part D of Annex 2 of this document.

### **CA019 Original Proposal**

- 3.54 The CA019 Original Proposal was proposed by SPTL to facilitate in the STC the CAP097 WGAA1 and CAA5, which are the same CAP097 options addressed by the CA017 Original Proposal. However, SPTL had two major concerns with CA017, and consequently proposed CA019.
- 3.55 The first of these concerns related to Application Fees. Under the CAP097 Original Proposal and WGAA2 an Application Fee would be payable by the DNO to National Grid when the Request for a Statement of Works was made. Under the CA016 Original Proposal and CA016 Alternative Amendment therefore, this fee (or part of it) is passed on to the relevant TO as an Engineering Charge.
- 3.56 However, under the notification process in the CAP097 WGAA1, no application fee is payable by the DNO. Therefore, CA017, as proposed by National Grid, explicitly states that no Engineering Charge is payable by National Grid to the TO.
- 3.57 SPTL believes that National Grid should pay TOs for work done in assessing embedded connections. They therefore proposed CA019, which contains a paragraph 1.5 stating that National Grid should pay Engineering Charges in relation to NGET Requests for Statements of Works.
- 3.58 The other area of concern for SPTL was the mechanism by which Transmission Infrastructure Works should be progressed. In the working group discussions of CA017, National Grid expressed a view that the Embedded Power Station triggering such Works may not necessarily be included in National Grid's "best view" Planning Assumptions, as there would be no firm commitment from either the Power Station or the DNO. Therefore, such Works would solely be progressed by the TO, with the TO updating its Transmission Investment Plan accordingly.
- 3.59 However, SPTL felt that such an approach appeared to be inconsistent with the TOs' licence obligations to "plan and develop the licensee's transmission system in accordance with the GB Security and Quality of Supply Standard version 1, together with the STC or such other standard of planning and operation as the Authority may approve from time to time" (Standard Condition D3). In particular, the STC requires TOs to "plan and develop its Transmission System taking into account the Planning Assumptions provided to it by NGET and any other information provided to it under this Code [the STC]" (Section D, Part One, Paragraph 2.2.7).
- 3.60 SPTL therefore believed that, if Transmission Infrastructure Works were required, National Grid should be required to update the Planning Assumptions to take account of whether and when the embedded Power Station would be built. The TO would then update its Transmission Investment Plan. The CA019 Original Proposal therefore includes additional sub-paragraphs as 3.7.1 and 3.7.2 to facilitate this process.

- 3.61 Full legal text for the CA019 Original Proposal is attached as Part E of Annex 2 of this document.

#### **CA019 Alternative Amendment**

- 3.62 The CA019 Alternative Amendment was proposed by SPTL to facilitate in the STC the CAP097 CAA1, which is the same CAP097 option addressed by the CA017 Alternative Amendment. However, SPTL had the same two major concerns with the CA017 Alternative Amendment as described above, and consequently proposed the CA019 Alternative Amendment.
- 3.63 The legal text proposed for the CA019 Alternative Amendment is therefore identical to that for the CA017 Alternative Amendment, except for paragraph 1.5, which relates to Engineering Charges, and sub-paragraphs 3.8.1 and 3.8.2, which relate to the Planning Assumptions.
- 3.64 Full legal text for the CA019 Alternative Amendment is attached as Part F of Annex 2 of this document.

### **4.0 EVALUATION PHASE**

- 4.1 The STC Committee considered that CA016 and CA017 should be referred to the Evaluation Phase, and therefore commissioned a working group to review and develop legal text for the proposals. The working group met twice on 9<sup>th</sup> January 2006 and 1<sup>st</sup> February 2006, and held an additional teleconference on 15<sup>th</sup> February 2006.
- 4.2 The revisions to CA016 and CA017 developed by the working group are described in Section 3 above. As a result of these working group discussions, CA019 was proposed by SPTL, and this is also described in Section 3.
- 4.3 The working group reported back to the STC Committee Meeting on 21<sup>st</sup> February 2006, and, following a final review of all six sets of legal text, the Evaluation Phase was concluded on 1<sup>st</sup> March 2006.

### **5.0 STC PARTIES' ASSESSMENTS**

- 5.1 This section contains a summary of the analysis and impact assessment provided by STC Parties during the Assessment Phase in respect of the Proposed Amendments, in accordance with Section B, Paragraph 7.2.5.2 of the STC.

#### **National Grid Assessment**

- 5.2 The implementation of any of the proposed amendments would have an impact on National Grid's Transmission System insofar that any one of them would provide a clear and unambiguous mechanism for preventing the energisation of Medium (and, in some cases, certain Small) Embedded Power Stations until such time as any Transmission Works required to permit the energisation of such a Power Station had been completed. However, only the CA016 Original Proposal and the CA016 Alternative Amendment provide an appropriate means by which Transmission Works not including Connection Works could be progressed.

- 5.3 No additional works would be required to implement any of the proposed changes. Under the CA016 or CA017 Original Proposals, or the CA016 or CA017 Alternative Amendments, no additional monies would be required. However, both the CA019 Original Proposal and CA019 Alternative Amendment would require National Grid to pay Engineering Charges to the relevant TO without having received an Application Fee from the User which could be “passed through”. Therefore, were the Authority to approve the CA019 Original Proposal or the CA019 Alternative Amendment, National Grid would wish to explore with Ofgem the possibility that allowance for such Engineering Charges should be provided for as part of National Grid’s price controlled revenue.

### **SHETL Assessment**

- 5.4 The implementation of any of the proposed amendments would have an impact on SHETL’s Transmission System insofar as that any one of them would provide a clear and unambiguous mechanism for preventing the energisation of Medium and certain Small Embedded Power Stations until such time as any Transmission Works required to permit the energisation of such a Power Station had been completed.
- 5.5 It is SHETL’s assessment that none of the arrangements proposed in the CA017 Original Proposal, CA017 Alternative Amendment, CA019 Original Proposal or CA019 Alternative Amendment adequately provide a mechanism for co-ordinating the construction and energisation of Medium and certain Small Embedded Power Stations with Transmission Reinforcement Works.
- 5.6 No additional works would be required to implement any of the proposed changes. However, it is SHETL’s view that the CA016 Original Proposal simply exacerbates an already tight construction offer timetable of 3 months by including a number of additional and time-consuming processes in respect of co-ordination between the TOs, NGET, the DNO and the User. SHETL believe this expectation to be both unrealistic and unachievable.
- 5.7 SHETL notes that under the CA016 Original Proposal, the CA016 Alternative Amendment, the CA019 Original Proposal and the CA019 Alternative Amendment it would be required to carry out engineering work for which it would be adequately funded. However, under either the CA017 Original Proposal or the CA017 Alternative Amendment it would be required to carry out engineering work for which there would be explicitly no compensation.

### **SPTL Assessment**

- 5.8 The implementation of either the CA016 Original Proposal or the CA016 Alternative Amendment would have an impact on SPTL’s Transmission System insofar as that either would provide a clear and unambiguous mechanism for preventing the energisation of Medium (and certain Small) Embedded Power Stations until such time as any Transmission Works required to permit the energisation of such a Power Station had been completed.
- 5.9 It is SPTL’s assessment that none of the arrangements proposed in the CA017 Original Proposal, CA017 Alternative Amendment, CA019 Original Proposal or CA019 Alternative Amendment adequately provide a mechanism for co-ordinating the construction and energisation of Medium (and certain Small) Embedded Power Stations with Transmission Reinforcement. The impact would be significant uncertainty for SPTL in respect of their obligations to reinforce the SPTL Transmission System.

- 5.10 No additional works would be required to implement any of the proposed changes. It is SPTL's assessment that the CA016 Original Proposal takes an already rushed construction offer timetable of three months – and adds into the middle of it a number of additional and time-consuming processes in respect of co-ordination between the TOs, NGET, the DNO and the User and the decision as to whether the User would go ahead with an application. SPTL believe this timetable to be infeasible to implement.
- 5.11 SPTL notes that under the CA016 Original Proposal, the CA016 Alternative Amendment, the CA019 Original Proposal and the CA019 Alternative Amendment it would be required to carry out engineering work for which it would be adequately funded. However, under either the CA017 Original Proposal or the CA017 Alternative Amendment it would be required to carry out engineering work for which there would be explicitly no compensation.

## **6.0 IMPACT ON THE STC**

- 6.1 The CA016 Original Proposal would require amendments to Section D (Planning Co-ordination), Section J (Interpretation and Definitions) and Schedule 6 (NGET Modification Applications) of the STC.
- 6.2 The CA016 Alternative Amendment would require amendments to Section D (Planning Co-ordination), Section H (Disputes), Section J (Interpretation and Definitions), Schedule 3 (Information and Data Exchange Specification) and Schedule 6 (NGET Modification Applications) of the STC. A new Schedule 13 (NGET Requests for Statements of Works) would also be required.
- 6.3 CA017 and CA019 would require amendments to Section D (Planning Co-ordination), Section H (Disputes), Section J (Interpretation and Definitions), and Schedule 3 (Information and Data Exchange Specification) of the STC. A new Schedule 13 (NGET Requests for Statements of Works) would also be required.
- 6.4 The text required to give effect to the Proposed Amendments is contained as Parts A-F of Annex 2 of this document.

## **7.0 IMPACT ON CORE INDUSTRY DOCUMENTS**

- 7.1 CA016/017/019 cause no impact on Core Industry Documents or other Industry Documents.
- 7.2 However, they have been triggered by CUSC Amendment Proposal CAP097, and the CAP097 Amendment Report has already been submitted to the Authority. In that document, National Grid recommended that the Authority should take its decision on CAP097 and CA016/017/019 concurrently. The STC Committee concurs with National Grid's recommendation that the Authority should take the decision on CAP097 and CA016/017/019 concurrently.

## 8.0 STC COMMITTEE VIEWS AND RECOMMENDATION

- 8.1 Pending any representations to the Committee following the circulation of this Proposed Amendment Report, this section details the provisional recommendations of the Committee and the Parties.
- 8.2 The STC Committee is unable to make a single positive recommendation as to which amendment proposal should be approved for implementation. However, there are many similarities in the views of the Parties, and the Committee recommends that a number of the amendment proposals should not be approved by the Authority.

### STC Committee Views and Recommendation

- 8.3 The STC Committee believes that the generic mechanism proposed under the two versions of CA016 is far superior to the process contained in CA017 and CA019. Whilst CA017 and CA019 would provide a clear and unambiguous mechanism for preventing the energisation of Medium Embedded Power Stations until such time as any Transmission Works required to permit the energisation of such a Power Station had been completed, in the view of the Committee they would not provide an appropriate means by which Transmission Works not including Connection Works ("Transmission Infrastructure Works") could be progressed.
- 8.4 This is because under neither CA017 nor CA019 would such Transmission Infrastructure Works be covered by a TO Construction Agreement. The Parties' disagreement as to whether CA017 or CA019 is the "best" method of "backing-off" the relevant versions of CAP097 is actually reflective of the fact that neither is appropriate. ("Best" in this context should therefore be read as "least bad".)
- 8.5 Without commitment from any User (either the DNO or the Power Station developer), it may not be possible for TOs to prove to Ofgem that Capital Expenditure required to provide such reinforcement had been efficiently incurred. This also means that there would be no guarantee as to when, and indeed if, such reinforcement would be completed. So, although the Parties have proposed two different methods of "backing off" such a process, all Parties agree that it would be much better that reinforcement works be covered by a CUSC Construction Agreement with the relevant DNO, and therefore a TO Construction Agreement between National Grid and the TO (i.e. one of the versions of CA016).
- 8.6 The Committee believes that another problem with the versions of CAP097 relevant to CA017 and CA019 is the lack of an Application Fee. This means that the User would not pay for the initial assessment of whether Works are required to permit energisation of the Power Station (and whether any of these Works are Connection Works). Whilst the Parties differ in how best to "back this off" (in CA017 the TO is not paid for the assessment; in CA019 National Grid pays the TO but is exposed to this liability), the Parties agree that the real issue is that there is no payment from the DNO (and ultimately the embedded Generator). The Parties therefore again agree that either of the versions of CA016 (which "back off" versions of CAP097 in which an Application Fee is payable by the DNO) are far superior.
- 8.7 The Committee also believes that there is a further issue with those versions of CAP097 relevant to CA017 and CA019 (i.e. the CUSC Amendment Proposals WGAA1, CAA1 and CAA5). A key element of CAP097 Original Proposal (and WGAA2) is the ability for National Grid to pass through the

relevant Site Specific Requirements for an Embedded Power Station, where such Site Specific Requirements have been established in accordance with the provisions of the Grid Code. The recently approved LEEMPS proposals (Grid Code Consultation D/05) also reference the ability to pass through such Site Specific Requirements in accordance with the provisions of the CUSC. However, the CUSC changes proposed by WGAA1, CAA1, and CAA5 do not allow for this pass through of Site Specific Requirements to the Embedded Generator, and as such present a significant disadvantage to the CA016 proposals, which seek to back off these versions of CAP097.

- 8.8 The Committee therefore recommends that that neither the CA017 or CA019 Original Proposals, nor the CA017 or CA019 Alternative Amendments, should be approved for implementation.

### **National Grid Views and Recommendation**

- 8.9 National Grid believes that the CA016 Original Proposal would best facilitate achievement of the relevant STC objectives. In particular, it would best facilitate the “development, maintenance and operation of an efficient, economical and coordinated system of electricity transmission”. As the process would require a contractual commitment from the DNO in relation to Medium (and some Small) Power Stations, which would also be liable for Final Sums security, such Power Stations would be treated in a manner consistent with Large Power Stations, and this would best facilitate “effective competition in the generation ... of electricity”. The User Commitment this implied would also mean that Transmission Owners were able to prove that all reinforcement had been undertaken in an efficient manner.
- 8.10 National Grid does not believe that the CA016 Alternative Amendment would facilitate achievement of the relevant STC objectives to the same extent as the CA016 Original Proposal, in that the extended timescales in the process would, in the view of National Grid, be less efficient and would therefore less effectively facilitate competition. However, the CA016 Alternative Amendment does contain all of the other benefits of the CA016 Original Proposal (User commitment, demonstrable efficiency and cost reflectivity), and National Grid therefore believes that it is far superior to either CA017 or CA019.
- 8.11 None of the Parties, including National Grid, would recommend of either the CA017 or CA019 Original Proposals, nor the CA017 or CA019 Alternative Amendments. However, in the event that the Authority were to approve a relevant version of CAP097, National Grid would recommend that the Authority approve either the CA017 Original Proposal or the CA017 Alternative Amendment, as appropriate, as opposed to the CA019 Original Proposal or CA019 Alternative Amendment.
- 8.12 The two areas in which CA017 differs from CA019 are Planning Assumptions and Engineering Charges.
- 8.13 CA019 specifies that, were Transmission Infrastructure Works required, National Grid should “consider whether the relevant Power Stations will be built”, and should then “update the Planning Assumptions to take account of the possible connection of the relevant Power Station”. These Assumptions would then be provided to the TO, and would act as a “trigger” for the TO to undertake the Works.
- 8.14 National Grid considers that it would be inappropriate for the Planning Assumptions to be used in this way. The Planning Assumptions should

represent National Grid's "best view" of power flows onto and off the TO's Transmission System. Without any commitment from the DNO or the Power Station developer, Power Stations captured under the CA019 process would not necessarily figure in National Grid's "best view". Indeed there may be reasons (for example, the Power Station's planning consents expiring before the required reinforcement can be completed) why such Power Stations may be specifically excluded from the Planning Assumptions. However, under the CA019 process, if a Power Station was not included in the Planning Assumptions, it could not be energised, regardless of the User commitment, as the reinforcement would never be completed.

- 8.15 National Grid also notes an additional problem in the CA019 Original Proposal, which is that, under sub-paragraphs 3.7.1 and 3.7.2, National Grid would be required to consider the proposed date of connection of the Power Station, and to update the Planning Assumptions accordingly. At this stage in the process, National Grid would have had no indication from the TO as to when the required Works could be completed, and would therefore be in no position to be able to consider the likely date of connection.
- 8.16 National Grid therefore considers that the CA017 process is a more appropriate mechanism to "back off" the relevant CAP097 proposals. Under CA017, following the production of a TO Statement of Works in which a requirement for Transmission Infrastructure Works was identified, the TO would update its Transmission Investment Plan with the Works it intended to undertake. National Grid would then be able to consider a full range of factors when updating the Planning Assumptions, including the TO's planned reinforcement, and therefore the TO's implicit view as to whether the Power Station would be developed. Given the lack of contractual relationship between National Grid and the DNO or Power Station developer in respect of the Power Station, National Grid considers that it would be most appropriate for the TO to assess whether the likelihood of the Power Station development proceeding was sufficient to warrant progressing the required reinforcement.
- 8.17 The other area in which CA017 differs from CA019 is Engineering Charges. The fundamental problem is that the User would not be liable to pay an Application Fee under the relevant CAP097 processes. When National Grid then submits a "NGET Request for a Statement of Works" to the TO there would be no Fee to be "passed through" to the TO. CA019 proposes that National Grid would be liable to pay Engineering Charges, thereby leaving National Grid exposed. If the Authority were to approve the either version of CA019, National Grid would therefore wish to explore with Ofgem the possibility that allowance for such Engineering Charges should be provided for as part of National Grid's price controlled revenue. It would seem far more logical that the exposure remain with the parties undertaking the work (i.e. the TOs), and that they and Ofgem should liaise directly to determine how the costs should be recovered.
- 8.18 National Grid therefore recommends that the CA016 Original Proposal be approved for implementation.
- 8.19 Although National Grid does not recommend that the CA016 Alternative Amendment be approved, National Grid believes that it would facilitate the applicable STC objectives to nearly the same extent as the CA016 Original Proposal, and is certainly far superior to any version of CA017 or CA019.
- 8.20 Again, National Grid does not recommend that any version of CA017 or CA019 be approved. However, in the event that the Authority wished to approve a relevant version of CAP097, National Grid would recommend that

the Authority approve the CA017 Original Proposal or CA017 Alternative Amendment, as appropriate, as opposed to either version of CA019.

### **SHETL Views and Recommendation**

- 8.21 SHETL believes that the CA016 Alternative Amendment would best facilitate the achievement of the relevant STC objectives. In particular it would best facilitate the “development, maintenance and operation of an efficient economical and co-ordinated system of electricity transmission”.
- 8.22 The CA016 Alternative Amendment establishes a visible contractual framework that encompasses the TOs, NGET, DNO and the embedded Generator. All parties would have the certainty that the necessary transmission investment would be carried out, both efficiently and economically, to enable the embedded generator to connect and operate, whilst minimising any financial risk to any individual party.
- 8.23 SHETL does not believe the CA016 Original Proposal to be a workable solution. The expectation of what can be ‘squeezed’ into the 3 months offer period is both unrealistic and unachievable, and likely to lead to rushed decisions being made. SHETL does acknowledge that the CA016 Original Proposal does contain the other benefits of firm contractual certainty contained within the CA016 Alternative Amendment, and is thus superior to any of the CA017 or CA019 proposals.
- 8.24 None of the Parties, including SHETL, would recommend any of the CA017 Original Proposal, CA017 Alternative Amendment, CA019 Original Proposal or CA019 Alternative Amendment. However, in the event that the Authority wished to approve one of the CA017 or CA019 proposals, it is SHETL’s strong view that the CA019 proposals are to be preferred.
- 8.25 The CA019 Original Proposal and the CA019 Alternative Amendment are consistent with a TO’s obligations to plan and develop its Transmission System in accordance with its Licence and the existing provisions of the STC. Additionally, the CA019 proposals make provision for the TO to be paid for any engineering work that they are required to carry out.

### **SPTL Views and Recommendation**

- 8.26 SPTL believes that the CA016 Alternative Amendment would best facilitate the achievement of the relevant STC objectives. In particular it would best facilitate the “development, maintenance and operation of an efficient economical and co-ordinated system of electricity transmission”.
- 8.27 The CA016 Alternative Amendment provides for a firm contractual chain from the generator, to the DNO, to NGET to the TO which would give certainty to all parties that necessary transmission investment would be carried out to enable the embedded generator to operate, while minimising the risk of the TO carrying out nugatory investment – which could then be deemed to be inefficient. This would help facilitate effective competition in the generation of electricity.
- 8.28 SPTL does not believe that the CA016 Original Proposal would facilitate the achievement of the relevant STC objectives to the same extent as the CA016 Alternative Amendment. The CA016 Original Proposal takes an already rushed construction offer timetable of three months. It adds into the middle of the process a number of additional and time-consuming processes in respect of co-ordination between the TOs, NGET, the DNO and the User in respect of

whether the User would go ahead with an application. SPTL believe this new timetable to be inadequate to provide any of the parties in the chain sufficient time to make considered decisions. This would therefore less effectively facilitate competition. However, SPTL acknowledges that the CA016 Original Proposal does contain the other benefits of firm contractual certainty contained within the CA016 Alternative Amendment, and is thus superior to any of the CA017 or CA019 proposals.

8.29 None of the Parties, including SPTL, would recommend any of the CA017 Original, CA017 Alternative, CA019 Original or CA019 Alternative Proposals. However, in the event that the Authority wished to approve one of the CA017 or CA019 proposals, it is SPTL's strong view that the CA019 proposals are to be preferred for the reasons below.

8.30 In particular, it is SPTL's view that none of the arrangements proposed in the CA017 Original, CA017 Alternative, CA019 Original or CA019 Alternative Proposals adequately provide a mechanism for co-ordinating the construction and energisation of Medium (and certain Small) Embedded Power Stations with Transmission Reinforcement. In the absence of a proper contractual relationship between NGET and the embedded power station, there is no clear route for either:

- (i) the Transmission companies to begin the reinforcement of the transmission system ahead of knowing the power station project will go ahead. This would then give the generator the comfort to know that when completed his power station will be permitted to energise and permit the generator to go ahead with its project, or
- (ii) the generator to go-ahead with its project ahead of knowing that the Transmission company will then go-ahead and complete the necessary infrastructure works.

8.31 However, were the Authority to decide to approve any of these proposals, it is SPTL's clear view that the CA019 Original Proposal and the CA019 Alternative Amendment are clearly superior to either the CA017 Original Proposal or the CA017 Alternative Amendment – in that the CA019 Original Proposal and the CA019 Alternative Amendment at least have the merit of being consistent with the TO's obligations to plan and develop its Transmission System in accordance with its Licence and the existing provisions of the STC. Additionally, the CA019 proposals facilitate the TOs in being paid for any engineering work they are required to carry out.

## **9.0 IMPLEMENTATION AND TIMESCALES**

9.1 Should the Authority approve either the CA016 Original Proposal or the CA016 Alternative Amendment, the STC Committee recommends that the STC be modified 30 days after the Authority's decision.

9.2 Should the Authority approve either the CA017 or CA019 Original Proposals, or the CA017 or CA019 Alternative Amendments, the STC Committee recommends that the STC be modified 10 business days after the Authority's decision.

9.3 These recommendations are consistent with those determined by the CUSC Panel for CAP097 (30 days for the CAP097 Original Proposal, WGAA2, CAA2, CAA3, CAA4 and CAA6, and 10 business days for WGAA1, CAA1 and CAA5).

## **10.0 INDUSTRY VIEWS AND REPRESENTATIONS**

- 10.1 Views are invited from Industry parties upon the Amendments contained within this Proposed Amendment Report.

## 11.0 COMMENTS ON DRAFT AMENDMENT REPORT

11.1 STC Committee received # responses following the publication of the Proposed Amendment Report. The following table provides an overview of each representation. Copies of the representations are attached as Annex 3 of this document.

Reference	Company	Summary of Comments
CA016/017/019 -AR-01		

**Annex 1 - Amendment Proposal Form****STC Amendment Proposal Form****CA016****1. Title of Amendment Proposal**

Modification Applications in Respect of Certain Embedded Power Stations

**2. Description of the Proposed Amendment (mandatory field)**

This Amendment Proposal seeks to establish a process in the STC for the assessment of the impact on the GB Transmission System of certain Embedded Power Stations in the licensed area, or within the boundary of influence, of a Transmission Owner.

In the event that a requirement for reinforcement of the transmission system was identified in this initial assessment, the User (in this case, the relevant Distribution Network Operator) would have the option to proceed via a Modification Application. If such reinforcement works were in the licensed area of a Transmission Owner, the initial assessment would then become a NGET Modification Application under the STC.

This Amendment Proposal reflects the original CUSC Amendment Proposal CAP097 (as proposed by National Grid), which seeks to clarify National Grid's requirements of Small and Medium Embedded Power Stations as GBSO. National Grid is also proposing an Alternative Amendment to CA016, which would facilitate the revised process proposed by both the CAP097 Working Group Alternative Amendment 2 and the CAP097 Consultation Alternative Amendment 4 proposed by SP Transmission & Distribution.

National Grid is also concurrently proposing CA017 (Assessment of the Impact of Certain Embedded Power Stations), and it is envisaged that, were the Authority to approve either the CAP097 original proposal or one of the alternatives to CAP097, the Authority would also approve a version of CA016 or CA017 consistent with this decision (and reject the other STC Amendment Proposal).

**3. Description of Issue or Defect that Proposed Amendment seeks to Address (mandatory field)**

In order to facilitate the process proposed by CUSC Amendment Proposal CAP097, an STC process needs to be established to allow for the assessment of relevant Power Stations in the licensed area, or within the boundary of influence, of a Transmission Owner.

In the event that a requirement for reinforcement of the transmission system was identified in this initial assessment, the User would have 5 Business Days in which to decide whether or not to proceed via a Modification Application. This period would need to be reflected in the process for a NGET Modification Application in the STC. In the CA016 Alternative Amendment the period for the User would be 90 Business Days.

**4. Impact on the STC (information should be given where possible)**

Changes to Section D, to Schedule 3 and to Schedule 6 would be required.

The Alternative Amendment would require more substantive changes to Section D, and the creation of a new Schedule 13.

**5. Impact upon the STCPs**

Changes to STCP18-2 Use of System Application would be required. Such changes will be progressed through the normal STCP Amendment Process in the event that CA016 is approved.

**6. Impact on other frameworks e.g. CUSC, BSC (information should be given where possible)**

None, although the proposal is related to CUSC Amendment Proposal CAP097.

<p><b>7. <u>Impact on Core Industry Documentation</u></b> (information should be given where possible)</p> <p>None</p>
<p><b>8. <u>Impact on Computer Systems and Processes used by STC Parties</u></b> (information should be given where possible)</p> <p>None</p>
<p><b>9. <u>Details of any Related Modifications to Other Industry Codes</u></b> (where known)</p> <p>None</p>
<p><b>10. <u>Justification for Proposed Amendment with Reference to Applicable STC Objectives</u></b> (mandatory field)</p> <p>Establishment of a process in the STC to allow for the assessment of the impact of certain Small and Medium Embedded Power Stations would aid licensees in the development, maintenance and operation of an efficient, economical and coordinated system of electricity transmission.</p>

<p><b>Details of Proposer</b> Organisation's Name</p>	<p><b>National Grid Electricity Transmission plc</b></p>
<p><b>Capacity in which the Amendment is being proposed</b> (i.e. STC Party or other Party as designated by the Authority pursuant to STC section B7.2.2.1 (b))</p>	<p><b>STC Party</b></p>
<p><b>Details of Proposer's Representative</b> Name Organisation Telephone Number Email Address</p>	<p>Andrew Truswell National Grid Electricity Transmission plc 01926 656388 <a href="mailto:andrew.truswell@uk.ngrid.com">andrew.truswell@uk.ngrid.com</a></p>
<p><b>Details of Representative's Alternate</b> Name Organisation Telephone Number Email Address</p>	<p>Ben Graff National Grid Electricity Transmission plc 01926 656312 <a href="mailto:ben.graff@uk.grid.com">ben.graff@uk.grid.com</a></p>
<p><b>Attachments (Yes/No):</b> Yes If yes, title and number of pages of each attachment: Summary of CAP097 Proposals, 2 Pages</p>	

**Notes:**

- Those wishing to propose an Amendment to the STC should do so by filling in this "Amendment Proposal Form" that is based on the provisions contained in Section 7.2 of the STC.
- The Committee Secretary will check that the form has been completed, in accordance with the requirements of the STC, prior to submitting it to the Committee. If the Committee Secretary accepts the Amendment Proposal form as complete, then she/he will write back to the Proposer informing them of the reference number for the Amendment Proposal and the date on which the Committee will consider the Proposal. If, in the opinion of the Committee Secretary, the form fails to provide the information required in the STC, then he/she may reject the Proposal. The Committee Secretary will inform the Proposer of the rejection and report the matter to the Committee at their next meeting. The Committee can reverse the Committee Secretary's decision and if this happens the Committee Secretary will inform the Proposer.

The completed form should be returned to:

Lilian Macleod  
STC Committee Secretary  
Commercial Frameworks  
National Grid Company plc  
NGT House  
Warwick Technology Park  
Gallows Hill  
Warwick, CV34 6DA

Or via e-mail to: [STCTeam@uk.ngrid.com](mailto:STCTeam@uk.ngrid.com)

**STC Amendment Proposal Form****CA017****1. Title of Amendment Proposal**

Assessment of the Impact of Certain Embedded Power Stations

**2. Description of the Proposed Amendment** *(mandatory field)*

This Amendment Proposal seeks to establish a process in the STC for the assessment of the impact on the GB Transmission System of certain Embedded Power Stations in the licensed area, or within the boundary of influence, of a Transmission Owner.

In the event that a requirement for reinforcement of the transmission system in the licensed area of a Transmission Owner was identified in this initial assessment, notice would be given to National Grid by the Transmission Owner, and then to the User (in this case, the relevant Distribution Network Operator) by National Grid. Similar notice would also be given when such works have been completed (and that energisation of the Power Station would then be permitted).

This Amendment Proposal reflects the Working Group Alternative Amendment 1 to CUSC Amendment Proposal CAP097, which seeks to clarify National Grid's requirements of Small and Medium Embedded Power Stations as GBSO. National Grid is also proposing an Alternative Amendment to CA017, which would facilitate the revised process proposed by the CAP097 Consultation Alternative Amendment 1 proposed by CE Electric UK.

National Grid is also concurrently proposing CA016 (Modification Applications in Respect of Certain Embedded Power Stations), and it is envisaged that, were the Authority to approve either the CAP097 original proposal or one of the alternatives to CAP097, the Authority would also approve a version of CA016 or CA017 consistent with this decision (and reject the other STC Amendment Proposal).

**3. Description of Issue or Defect that Proposed Amendment seeks to Address** *(mandatory field)*

In order to facilitate the process proposed by CUSC Amendment Proposal CAP097 Working Group Alternative Amendment 1, an STC process needs to be established to allow for the assessment of relevant Power Stations in the licensed area, or within the boundary of influence, of a Transmission Owner. Notice would need to be given by the Transmission Owner to National Grid whether or not reinforcement to the transmission system was required, and again when such works were complete.

In the CA017 Alternative Amendment, Transmission Owners would additionally be required to notify National Grid of the timescales involved in the completion of such works, and also of any changes to these timescales.

**4. Impact on the STC** *(information should be given where possible)*

Changes to Section D and to Schedule 3, and the creation of a new Schedule 13, would be required.

**5. Impact upon the STCPs**

Changes to STCP 16-1 Investment Planning and STCP18-2 Use of System Application would be required. Such changes will be progressed through the normal STCP Amendment Process in the event that CA016 is approved.

**6. Impact on other frameworks e.g. CUSC, BSC** *(information should be given where possible)*

None, although the proposal is related to CUSC Amendment Proposal CAP097.

**7. Impact on Core Industry Documentation** *(information should be given where possible)*

None

<p><b>8. <u>Impact on Computer Systems and Processes used by STC Parties</u></b> (information should be given where possible)</p> <p>None</p>
<p><b>9. <u>Details of any Related Modifications to Other Industry Codes</u></b> (where known)</p> <p>None</p>
<p><b>10. <u>Justification for Proposed Amendment with Reference to Applicable STC Objectives</u></b> (mandatory field)</p> <p>Establishment of a process in the STC to allow for the assessment of the impact of certain Small and Medium Embedded Power Stations would aid licensees in the development, maintenance and operation of an efficient, economical and coordinated system of electricity transmission.</p>

<p><b>Details of Proposer</b> Organisation's Name</p>	National Grid Electricity Transmission plc
<p><b>Capacity in which the Amendment is being proposed</b> (i.e. STC Party or other Party as designated by the Authority pursuant to STC section B7.2.2.1 (b))</p>	STC Party
<p><b>Details of Proposer's Representative</b> Name Organisation Telephone Number Email Address</p>	<p>Andrew Truswell National Grid Electricity Transmission plc 01926 656388 <a href="mailto:andrew.truswell@uk.ngrid.com">andrew.truswell@uk.ngrid.com</a></p>
<p><b>Details of Representative's Alternate</b> Name Organisation Telephone Number Email Address</p>	<p>Ben Graff National Grid Electricity Transmission plc 01926 656312 <a href="mailto:ben.graff@uk.grid.com">ben.graff@uk.grid.com</a></p>
<p><b>Attachments (Yes/No):</b> Yes If yes, title and number of pages of each attachment: Summary of CAP097 Proposals, 2 Pages</p>	

**Notes:**

- Those wishing to propose an Amendment to the STC should do so by filling in this "Amendment Proposal Form" that is based on the provisions contained in Section 7.2 of the STC.
- The Committee Secretary will check that the form has been completed, in accordance with the requirements of the STC, prior to submitting it to the Committee. If the Committee Secretary accepts the Amendment Proposal form as complete, then she/he will write back to the Proposer informing them of the reference number for the Amendment Proposal and the date on which the Committee will consider the Proposal. If, in the opinion of the Committee Secretary, the form fails to provide the information required in the STC, then he/she may reject the Proposal. The Committee Secretary will inform the Proposer of the rejection and report the matter to the Committee at their next meeting. The Committee can reverse the Committee Secretary's decision and if this happens the Committee Secretary will inform the Proposer.

The completed form should be returned to:

Lilian Macleod  
STC Committee Secretary  
Commercial Frameworks  
National Grid Company plc  
NGT House  
Warwick Technology Park  
Gallows Hill  
Warwick, CV34 6DA

Or via e-mail to: [STCTeam@uk.ngrid.com](mailto:STCTeam@uk.ngrid.com)

## **STC Amendment Proposal Form** **CA019**

### **Title of Amendment Proposal**

Assessment of the Impact of Certain Embedded Power Stations

### **Description of the Proposed Amendment** *(mandatory field)*

This Amendment Proposal seeks to establish a process in the STC for the assessment of the impact on the GB Transmission System of certain Embedded Power Stations in the licensed area, or within the boundary of influence, of a Transmission Owner.

In the event that a requirement for reinforcement of the transmission system in the licensed area of a Transmission Owner was identified in this initial assessment, notice would be given to National Grid by the Transmission Owner, and then to the User (in this case, the relevant Distribution Network Operator) by National Grid. Similar notice would also be given when such works have been completed (and that energisation of the Power Station would then be permitted).

This Amendment Proposal reflects the Working Group Alternative Amendment 1 to CUSC Amendment Proposal CAP097, which seeks to clarify National Grid's requirements of Small and Medium Embedded Power Stations as GBSO. SP Transmission is also proposing an Alternative Amendment to CA019, which would facilitate the revised process proposed by the CAP097 Consultation Alternative Amendment 1 proposed by CE Electric UK.

It should be noted that National Grid put forward CA017 and an alternative proposal to back of the requirements of the CAP097 proposals Working Group Alternative 1 and Consultation Alternative Amendment 1 respectively. While SP Transmission have worked with National Grid in discussing their CA017 proposals, SP Transmission consider the CA017 proposals deficient in two respects

- They do not facilitate payment by National Grid to the TOs for work done in assessing embedded connections, and
- Their treatment of the TOs' obligations following the submission of a TO Statement of Works Notice appears to be inconsistent with the TOs' licence obligations.

National Grid is also concurrently proposing CA016 (Modification Applications in Respect of Certain Embedded Power Stations), and it is envisaged that, were the Authority to approve either the CAP097 original proposal or one of the alternatives to CAP097, the Authority would also approve a version of CA016, CA017 or CAP019 consistent with this decision (and reject the other STC Amendment Proposals).

### **Description of Issue or Defect that Proposed Amendment seeks to Address** *(mandatory field)*

In order to facilitate the process proposed by CUSC Amendment Proposal CAP097 Working Group Alternative Amendment 1, an STC process needs to be established to allow for the assessment of relevant Power Stations in the licensed area, or within the boundary of influence, of a Transmission Owner. Notice would need to be given by the Transmission Owner to National Grid whether or not reinforcement to the transmission system was required, and again when such works were complete.

In the CA019 proposals it is clear that National Grid must make payment to the TOs for carrying the assessment. Additionally, it is clear that should Transmission Infrastructure Works be required – then National Grid are required to update the Planning Assumptions to take account of whether and when the embedded Power Station would be built. The TOs respond by updating their Transmission Plans.

In the CA019, there is more explicit treatment of the obligation on the Transmission Owners to notify National Grid of the timescales involved in the completion of such works, and also of any changes to these timescales (although such details are implicit within the Transmission Owners Investment Plans).

**Impact on the STC** *(information should be given where possible)*

Changes to Section D and to Schedule 3, and the creation of a new Schedule 13, would be required.

**Impact upon the STCPs**

Changes to STCP 16-1 Investment Planning and STCP18-2 Use of System Application would be required. Such changes will be progressed through the normal STCP Amendment Process in the event that CA016 is approved.

**Impact on other frameworks e.g. CUSC, BSC** *(information should be given where possible)*

None, although the proposal is related to CUSC Amendment Proposal CAP097.

**Impact on Core Industry Documentation** *(information should be given where possible)*

None

**Impact on Computer Systems and Processes used by STC Parties** *(information should be given where possible)*

None

**Details of any Related Modifications to Other Industry Codes** *(where known)*

None

**Justification for Proposed Amendment with Reference to Applicable STC Objectives**

*(mandatory field)*

Establishment of a process in the STC to allow for the assessment of the impact of certain Small and Medium Embedded Power Stations would aid licensees in the development, maintenance and operation of an efficient, economical and coordinated system of electricity transmission.

**Details of Proposer**

Organisation's Name

**SP Transmission Ltd****Capacity in which the Amendment is being proposed**

(i.e. STC Party or other Party as designated by the Authority pursuant to STC section B7.2.2.1 (b))

**STC Party****Details of Proposer's Representative**

Name

Organisation

Telephone Number

Email Address

David Nicol

SP Transmission Ltd

01698 413504

[David.nicol@scottishpower.com](mailto:David.nicol@scottishpower.com)

**Details of Representative's Alternate**

Name

Organisation

Telephone Number

Email Address

David McMenemy

SP Power Systems

0141 776 2431

[David.McMenemy@SPPowerSystems.com](mailto:David.McMenemy@SPPowerSystems.com)

**Attachments (Yes/No):** Yes (as per attachment to CA017)

## Annex 2 - Proposed Text to Amend the STC

### Part A - Text to give effect to the CA016 Original Proposal

Insert the following new paragraph into Section D, Part Two (renumbering all subsequent paragraphs and updating all affected cross-references accordingly):

4.3 Where a Transmission Owner has notified NGET under paragraph 4.1 that it intends to submit a TO Construction Offer in respect of a Construction Project relating to a Request for a Statement of Works, NGET shall notify the Transmission Owner whether it wishes to continue with the NGET Modification Application. NGET shall give such notice as soon as reasonably practicable but, in any event, within seven Business Days of the Transmission Owner's notice that it intends to submit a TO Construction Offer. Where NGET fails to give such notice, or where the notice specifies that NGET does not wish to continue with the NGET Modification Application, the Transmission Owner shall no longer be obliged to submit a TO Construction Offer. Where the notice indicates that NGET wish to proceed with the NGET Modification Application, then the following provisions of Section D shall apply.

Amend the following paragraph in Schedule Six:

- 2.1 A NGET Modification Application submitted by NGET to a Transmission Owner pursuant to Section D, Part Two, sub-paragraph 2.2.2 shall contain the following information:
- 2.1.1 The User Application Date.
  - 2.1.2 Standard Planning Data.
  - 2.1.3 The User's intended Transmission Entry Capacity, or, in respect of a NGET Modification Application relating to a Request for a Statement of Works, the capacity of the Power Station connecting to the User's Distribution System.
  - 2.1.4 The date on which NGET wishes the Modification to made Operational.

Amend and insert the following definitions in Section J:

- “Modification” any:
- (a) actual or proposed replacement, renovation, modification, alteration, or construction by or on behalf of a User or a Transmission Owner to either the User's Plant or Apparatus or the manner of its operation or the Transmission Owner's Transmission Plant or Transmission Apparatus or the manner of its operation which in either case has or may have a Material Effect on a User at a particular Connection Site;
  - (b) Replacement of Assets (irrespective of whether such Replacement of Assets has a Material Effect on a User at a particular Connection Site); ~~or~~
  - (c) increase in Transmission Entry Capacity, not otherwise associated with the construction or modification of User Equipment, requested by a User under the CUSC; or
  - (d) Request for a Statement of Works (and (if any) any Transmission Construction Works associated with such Request for a Statement of Works) from a User received by NGET pursuant to the CUSC;

**“Request for a Statement of Works”**

an application made by a User to NGET under and pursuant to the CUSC in order that the impact on the GB Transmission System of a Power Station connecting to that User’s Distribution System may be assessed;

## Part B - Text to give effect to the CA016 Alternative Amendment

Amend the following paragraph in Section D, Part Three:

### PART THREE: ~~OTHER~~TEC EXCHANGE

Insert the following new paragraphs as Section D, Part Four:

### PART FOUR: STATEMENT OF WORKS

#### 1. STATEMENT OF WORKS PROCESS

1.1 If NGET considers it may be necessary, it shall submit a NGET Request for a Statement of Works in accordance with paragraph 1.2 to:

1.1.1 the Transmission Owner, if any, whose Transmission System is located at the Relevant Connection Site;

1.1.2 any Transmission Owner in relation to whose Transmission System the Relevant Connection Site satisfies the criteria set out in Schedule Four; and

1.1.3 any Transmission Owner which does not receive a NGET Request for a Statement of Works pursuant to sub-paragraphs 1.1.1 or 1.1.2, but which:

1.1.3.1 otherwise receives Statement of Works Planning Assumptions pursuant to paragraph 2.2 in relation to the Relevant Connection Site; or

1.1.3.2 NGET otherwise identifies is likely to be required to submit a TO Statement of Works Notice in respect of the Statement of Works Project,

(NGET and each Transmission Owner which receives a NGET Request for a Statement of Works shall be referred to in this Section as a “Statement of Works Party”).

1.2 NGET shall submit a NGET Request for a Statement of Works:

1.2.1 pursuant to sub-paragraphs 1.1.1 and 1.1.2, as soon as reasonably practicable, and in any event within three Business Days of the User Application Date in relation to such Relevant Connection Site; and

1.2.2 pursuant to sub-paragraph 1.1.3, at the same time as Statement of Works Planning Assumptions are submitted to a Transmission Owner under paragraph 2.2 or, where applicable, at the same time as NGET gives a Transmission Owner notice under paragraph 2.3.

1.3 For the purposes of this Section D, Part Four, a NGET Request for a Statement of Works shall be deemed to be effective if it is complete and clear in all material respects.

1.4 If a Transmission Owner reasonably considers that a NGET Request for a Statement of Works is not effective it shall, as soon as reasonably practicable and in any event within five Business Days of receipt of the NGET Request for a Statement of Works, notify NGET of:

1.4.1 the detailed reasons why it considers the NGET Request for a Statement of Works is incomplete or unclear in a material respect; and

1.4.2 the amendments (including clarifications, additional information, data or other material) it considers are required to make the NGET Request for a Statement of Works effective,

and shall otherwise use its best endeavours to liaise with and assist NGET (and, where reasonably requested by NGET, any relevant third parties) so that the NGET Request for a Statement of Works is made effective as soon as reasonably practicable. Any dispute in relation to the effectiveness of a NGET Request for a Statement of Works may be referred as a Dispute to the Authority in accordance with Section H, paragraph 4.1.

1.5 Each Transmission Owner shall charge NGET and NGET shall pay Engineering Charges in relation to a NGET Request for a Statement of Works in accordance with Schedule Ten.

1.6 NGET shall immediately notify each other Statement of Works Party following:

1.6.1 any change in the NGET Request for a Statement of Works or associated information provided to such Statement of Works Party; or

1.6.2 the withdrawal of the relevant User Application by a User, in which case such notice shall also constitute notice of a withdrawal by NGET of any relevant NGET Request for a Statement of Works.

## **2 PROVISION OF STATEMENT OF WORKS PLANNING ASSUMPTIONS FOLLOWING A NGET REQUEST FOR A STATEMENT OF WORKS**

2.2 In addition to Planning Assumptions used for general transmission planning pursuant to Section D, Part One, paragraph 2.2, NGET may, as a consequence of a User Application for a Request for a Statement of Works, also generate a separate set of Planning Assumptions which take into account the power flows which NGET expects are likely to result from the Statement of Works Project for use by each Transmission Owner only in the preparation of a TO Statement of Works Notice ("**Statement of Works Planning Assumptions**").

2.3 If NGET generates Statement of Works Planning Assumptions, it shall do so as soon as reasonably practicable and, in any event, within five Business Days of the User Application Date and shall:

2.3.1 immediately provide to each Transmission Owner such parts of the set of Statement of Works Planning Assumptions as NGET reasonably determines are likely to materially affect such Transmission Owner's Transmission System; and

2.3.2 at the same time as Statement of Works Planning Assumptions are provided to any Transmission Owner(s) pursuant to sub-paragraph 2.2.1, either:

2.3.2.1 identify the NGET Request for a Statement of Works already submitted to such Transmission Owner under sub-paragraphs 1.1.1 or 1.1.2 to which the Statement of Works Planning Assumptions relate; or

2.3.2.2 submit a new NGET Request for a Statement of Works to such Transmission Owner pursuant to sub-paragraph 1.1.3.

2.4 NGET shall notify each Transmission Owner which receives a NGET Request for a Statement of Works as soon as reasonably practicable and, in any event, within two Business Days of the User Application Date, if it does not intend to generate a set of Statement of Works Planning Assumptions in respect of the relevant Statement of Works Project. Following such notice the general Planning Assumptions provided to Transmission Owners pursuant to Section D, Part One, paragraph 2.2 shall be deemed to also be Statement of Works Planning Assumptions for the purposes of such Statement of Works Project.

- 2.5 NGET may, in its discretion, change a set of Statement of Works Planning Assumptions (including any deemed Statement of Works Planning Assumptions under paragraph 2.3) by giving notice to the relevant Transmission Owner(s), at any time up to the submission by the Transmission Owner(s) of the TO Statement of Works to which such Statement of Works Planning Assumptions apply.
- 2.6 A Transmission Owner may submit a request to NGET for a change to Statement of Works Planning Assumptions it has received pursuant to paragraphs 2.2 or 2.4 or which have been deemed pursuant to paragraph 2.3, provided that such request shall contain a description (in reasonable but not excessive detail) of the reason(s) for the request.
- 2.7 If NGET receives a request for a change to Statement of Works Planning Assumptions pursuant to paragraph 2.5 it shall, as soon as reasonably practicable:
- 2.7.1 notify the Transmission Owner submitting the request and any other Transmission Owner, which is likely to be materially affected by the requested change, whether or not and, where relevant, how NGET intends to accommodate such request; and
- 2.7.2 where relevant, change and re-issue such Statement of Works Planning Assumptions accordingly.
- 2.8 A Transmission Owner may refer to the Authority as a Dispute in accordance with Section H, paragraph 4.1:
- 2.8.1 any notice received from NGET under 2.6.1; or
- 2.8.2 any failure by NGET to respond to a request made by such Transmission Owner under paragraph 2.5 within a reasonable period of time, taking into account the nature, complexity and urgency of the request.
- 2.8 Notwithstanding any request submitted by a Transmission Owner pursuant to paragraph 2.5 above, each Transmission Owner shall continue to take account the Statement of Works Planning Assumptions provided by NGET pursuant to sub-paragraph 1.1.3 (or deemed pursuant to paragraph 2.3), for the purposes of paragraph 3.3 of this Section D, Part Four, subject to any subsequent changes made to such Statement of Works Planning Assumptions by NGET under paragraphs 2.4 or 2.6 or any determination of a Dispute referred to the Authority pursuant to paragraph 2.7.
- 2.9 For the avoidance of doubt, any change made to Statement of Works Planning Assumptions pursuant to paragraphs 2.4 or 2.6 shall change the existing set of Statement of Works Planning Assumptions and shall not constitute a separate set of Statement of Works Planning Assumptions.
- 2.10 NGET shall act in accordance with Good Industry Practice in deciding whether to generate any set of Statement of Works Planning Assumptions and, where relevant, in generating or modifying such Statement of Works Planning Assumptions pursuant to this paragraph 2.
- 3 TO STATEMENT OF WORKS NOTICE**
- 3.1 Each Transmission Owner which receives a NGET Request for a Statement of Works shall notify NGET in accordance with paragraph 3.2 whether or not such Transmission Owner requires Transmission Construction Works to be undertaken in respect of a Statement of Works Project (such notice to be referred to as a “**TO Statement of Works Notice**”). Where the TO Statement of Works Notice specifies that Transmission Construction Works are required, then, at any time within the period referred to at paragraph 3.6, NGET may submit to the Transmission Owner a NGET Modification Application. Where the TO Statement of Works Notice specifies that Transmission Construction Works are not required it shall specify whether or not,

- in planning and developing its Transmission System, the Transmission Owner has assumed that any technical design or operational criteria will apply to User Equipment at the Relevant Connection Site, and details of what such criteria are.
- 3.2 A Transmission Owner shall submit a TO Statement of Works Notice as soon as reasonably practicable but, in any event, on or before the later of:
- 3.2.1 twenty-five calendar days less one Business Day after the NGET Application Date; and
- 3.2.2 twenty-three calendar days less one Business Day after the Statement of Works Assumptions Date.
- 3.3 NGET may refer as a Dispute to the Authority in accordance with Section H, paragraph 4.1, any TO Statement of Works Notice:
- 3.3.1 that a Transmission Owner does not require Transmission Construction Works to be undertaken in respect of a Statement of Works Project; or
- 3.3.2 of any assumptions which a Transmission Owner intends to make in relation to User Equipment at a Relevant Connection Site.
- 3.4 A Transmission Owner shall prepare each TO Statement of Works Notice so that, if the Statement of Works Project to which it relates is constructed, such Transmission Owner would continue to comply with the obligations in respect of the planning and development of its Transmission System set out in Part One, paragraph 2.2 of this Section D by giving effect to such Transmission Construction Works, except that:
- 3.4.1 for the purpose of Part One, paragraph 2.2, such Transmission Owner shall take into account Statement of Works Planning Assumptions provided to it under paragraph 2 (as modified or updated pursuant to paragraphs 2.4 or 2.6) in respect of the Statement of Works Project in the place of any other Planning Assumptions; and
- 3.4.2 the technical design and operational criteria for the Relevant Connection Site shall be as set out in the NGET Request for a Statement of Works together with any site-specific information set out in the TO Statement of Works Notice.
- 3.5 In the event that NGET modifies Statement of Works Planning Assumptions after a Transmission Owner has submitted its TO Statement of Works Notice for the Statement of Works Project to which such Statement of Works Planning Assumptions apply, the Transmission Owner shall revise and re-submit its TO Statement of Works Notice to NGET, taking into account such modified Statement of Works Planning Assumptions, as soon as reasonably practicable.
- 3.6 At any time up to twenty-eight calendar days plus ninety-three Business Days after the User Application Date, NGET may submit to the Transmission Owner (and such submission shall be deemed to be) a NGET Modification Application in respect of a Statement of Works Project. Processing of such deemed NGET Modification Application shall be as set out in Part Two of this Section D.

**Amend the following paragraph in Section H:**

- 4.4 In addition to those matters falling under paragraph 4.3, the following matters shall constitute a Dispute referable to the Authority by a Dispute Party under the Code only where such matter(s) materially adversely affect(s) that Dispute Party's ability to develop and maintain an efficient, co-ordinated and economical system of electricity transmission in Great Britain:

- 4.4.1 a failure to agree a Services Restoration Proposal or any modification to a Services Restoration Proposal under Section C, Part One, paragraphs 4.7 and 4.8 or 4.9;
- 4.4.2 a dispute in relation to either a request by NGET or the adequacy of preparatory steps taken by a Transmission Owner pursuant to Section C, Part One, paragraph 4.13;
- 4.4.3 a dispute in relation to the manner in which matters contained in an Outage Proposal are included, or are not included, in an Outage Plan pursuant to Section C, Part Two, paragraph 2.4;
- 4.4.4 a failure to agree in relation to any Outage Plan or Outages Implementation Process pursuant to Section C, Part Two, paragraphs 5.7, 6.1 or 6.5;
- 4.4.5 a dispute in relation to a direction issued by NGET regarding discontinuation of an Outage or Outages pursuant to Section C, Part Two, paragraph 7.1;
- 4.4.6 a dispute in relation to a request for a change to Planning Assumptions pursuant to Section D, Part One, paragraph 2.2;
- 4.4.7 a dispute in relation to a Planning Request pursuant to Section D, Part One, sub-paragraph 2.4.4;
- 4.4.8 a dispute in relation to the reasonableness of a request by NGET for information pursuant to Section D, Part One, sub-paragraph 2.6.2;
- 4.4.9 a dispute in relation to a the effectiveness of a NGET Construction Application pursuant to Section D, Part Two, paragraph 2.5;
- 4.4.10 a dispute in relation to a request for a change to Construction Planning Assumptions pursuant to Section D, Part Two, paragraph 3.7;
- 4.4.11 a dispute in relation to a notice by the Transmission Owner that it does not intend to submit a TO Construction Offer or a notice of any assumptions which a Transmission Owner intends to make in relation to User Equipment at a Relevant Connection Site pursuant to Section D, Part Two, paragraph 4.3;
- 4.4.12 a dispute in connection with a TO Construction Offer pursuant to Section D, Part Two, paragraph 5.2; ~~and~~
- 4.4.13 a failure to agree Communications Plant under Section D, Part Two, paragraph 9.1;
- 4.4.14 a dispute in relation to the effectiveness of a NGET Request for a Statement of Works pursuant to Section D, Part Four, paragraph 1.4;
- 4.4.15 a dispute in relation to a request for a change to Statement of Works Planning Assumptions pursuant to Section D, Part Four, paragraph 2.7; and
- 4.4.16 a dispute in relation to a TO Statement of Works Notice by the Transmission Owner that it does not require Transmission Construction Works to be undertaken in respect of a Statement of Works Project or of any assumptions which a Transmission Owner intends to make in relation to User Equipment at a Relevant Connection Site pursuant to Section D, Part Four, paragraph 3.3.

**Amend the following paragraph in Schedule Three:**

- 2.1.5 NGET may Disclose to a Transmission Owner any User Data or Transmission Information specified in Schedules Five, Six, or Seven and forming part of a NGET Construction Application or Schedules Eleven or Thirteen.

**Amend the following paragraph in Schedule Six:**

- 2.1 A NGET Modification Application submitted by NGET to a Transmission Owner pursuant to Section D, Part Two, sub-paragraph 2.2.2 shall contain the following information:
- 2.1.1 The User Application Date.
  - 2.1.2 Standard Planning Data.
  - 2.1.3 The User's intended Transmission Entry Capacity, or, in respect of a NGET Modification Application following an earlier NGET Request for a Statement of Works, the capacity of the Power Station connecting to the User's Distribution System.
  - 2.1.4 The date on which NGET wishes the Modification to made Operational.

**Insert the following new paragraphs as Schedule Thirteen:****SCHEDULE THIRTEEN****NGET REQUESTS FOR STATEMENTS OF WORKS**

1. **Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1:**
  - 1.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1 shall contain the following information:
    - 1.1.1 The User Application Date.
    - 1.1.2 The name of the Connection Site.
    - 1.1.3 Standard Planning Data.
    - 1.1.4 The capacity of the Power Station connecting to the User's Distribution System.
    - 1.1.5 The date on which NGET would wish any subsequent Modification to be made Operational.
2. **Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2:**
  - 2.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2 shall contain the following information:
    - 2.1.1 The User Application Date.
    - 2.1.2 Standard Planning Data.

- 2.1.3 The capacity of the Power Station connecting to the User's Distribution System.
- 2.1.4 The date on which NGET would wish any subsequent Modification to be made Operational.
3. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3:
- 3.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3 shall contain the following information:
- 3.1.1 The User Application Date.
- 3.1.2 The date on which NGET would wish any subsequent Modification to be made Operational.

**Amend and insert the following definitions in Section J:**

- "Engineering Charges"** the charges levied, by each Transmission Owner, in relation to a NGET Construction Application or NGET Request for a Statement of Works;
- "Modification"** any:
- (a) actual or proposed replacement, renovation, modification, alteration, or construction by or on behalf of a User or a Transmission Owner to either the User's Plant or Apparatus or the manner of its operation or the Transmission Owner's Transmission Plant or Transmission Apparatus or the manner of its operation which in either case has or may have a Material Effect on a User at a particular Connection Site;
  - (b) Replacement of Assets (irrespective of whether such Replacement of Assets has a Material Effect on a User at a particular Connection Site); ~~or~~
  - (c) increase in Transmission Entry Capacity, not otherwise associated with the construction or modification of User Equipment, requested by a User under the CUSC; or
  - (d) Transmission Construction Works associated with an earlier Request for a Statement of Works;
- "NGET Application Date"** in respect of each Transmission Owner, the date on which such Transmission Owner receives an effective NGET Construction Application or NGET Request for a Statement of Works in relation to a Construction Project;
- "NGET Request for a Statement of Works"** an application made by NGET to a Transmission Owner pursuant to Section D, Part Four, paragraph 1.1 in relation the assessment of the impact on the GB Transmission System of a Power Station connecting to a Distribution System and containing the information set out in Schedule 13;
- "Relevant Connection Site"** in respect of each Construction Project, ~~or~~ Exchange Rate Request or Request for a Statement of Works;

- (a) the Connection Site or New Connection Site which is the subject of the relevant User Application; or
- (b) in the case of a User Application made to NGET by an Embedded User, the connection site of such Embedded User;

**“Request for a Statement of Works”** an application made by a User to NGET under and pursuant to the CUSC in order that the impact on the GB Transmission System of a Power Station connecting to that User’s Distribution System may be assessed;

**“Statement of Works Assumptions Date”** in respect of each Transmission Owner, the date on which such Transmission Owner:

- (a) receives Statement of Works Planning Assumptions from NGET pursuant to Section D, Part Four, paragraph 2.2; or
- (b) receives notice that NGET does not intend to generate a set of Statement of Works Planning Assumptions under Section D, Part Four, paragraph 2.3,

in relation to the Statement of Works Project to which such Statement of Works Planning Assumptions apply;

**“Statement of Works Party”** as defined in Section D, Part Four, paragraph 1.1;

**“Statement of Works Planning Assumptions”** as defined in Section D, Part Four, paragraph 2.1;

**“Statement of Works Project”** refers to the project associated with a NGET Request for a Statement of Works;

**“TO Statement of Works Notice”** as defined in Section D, Part Four, paragraph 3.1;

**"User Application"** an application made by a User to NGET under and pursuant to the CUSC in respect of:

- 5 a New Connection; or
- (a) a Modification; or
- (b) use of the GB Transmission System; or
- (c) an Exchange Rate Request; or
- (d) a Request for a Statement of Works by such User.

## Part C - Text to give effect to the CA017 Original Proposal

Amend the following paragraph in Section D, Part Three:

### **PART THREE: OTHERTEC EXCHANGE**

Insert the following new paragraphs as Section D, Part Four:

### **PART FOUR: STATEMENT OF WORKS**

#### **1. STATEMENT OF WORKS PROCESS**

1.1 If NGET considers it may be necessary, it shall submit a NGET Request for a Statement of Works in accordance with paragraph 1.2 to:

1.1.1 the Transmission Owner, if any, whose Transmission System is located at the Relevant Connection Site;

1.1.2 any Transmission Owner in relation to whose Transmission System the Relevant Connection Site satisfies the criteria set out in Schedule Four; and

1.1.3 any Transmission Owner which does not receive a NGET Request for a Statement of Works pursuant to sub-paragraphs 1.1.1 or 1.1.2, but which:

1.1.3.1 otherwise receives Statement of Works Planning Assumptions pursuant to paragraph 2.2 in relation to the Relevant Connection Site; or

1.1.3.2 NGET otherwise identifies is likely to be required to submit a TO Statement of Works Notice in respect of the Embedded Power Station Notification Project.

(NGET and each Transmission Owner which receives a NGET Request for a Statement of Works shall be referred to in this Section as a “**Statement of Works Party**”).

1.2 NGET shall submit a NGET Request for a Statement of Works:

1.2.1 pursuant to sub-paragraphs 1.1.1 and 1.1.2, as soon as reasonably practicable, and in any event within three Business Days of the User Notification Date in relation to such Relevant Connection Site; and

1.2.2 pursuant to sub-paragraph 1.1.3, at the same time as Statement of Works Planning Assumptions are submitted to a Transmission Owner under paragraph 2.2 or, where applicable, at the same time as NGET gives a Transmission Owner notice under paragraph 2.3.

1.3 For the purposes of this Section D, Part Four, a NGET Request for a Statement of Works shall be deemed to be effective if it is complete and clear in all material respects.

1.4 If a Transmission Owner reasonably considers that a NGET Request for a Statement of Works is not effective it shall, as soon as reasonably practicable and in any event within five Business Days of receipt of the NGET Request for a Statement of Works, notify NGET of:

1.4.1 the detailed reasons why it considers the NGET Request for a Statement of Works is incomplete or unclear in a material respect; and

- 1.4.2 the amendments (including clarifications, additional information, data or other material) it considers are required to make the NGET Request for a Statement of Works effective,
- and shall otherwise use its best endeavours to liaise with and assist NGET (and, where reasonably requested by NGET, any relevant third parties) so that the NGET Request for a Statement of Works is made effective as soon as reasonably practicable. Any dispute in relation to the effectiveness of a NGET Request for a Statement of Works may be referred as a Dispute to the Authority in accordance with Section H, paragraph 4.1.
- 1.5 NGET shall not be liable to pay Engineering Charges in relation to a NGET Request for a Statement of Works.
- 1.6 NGET shall immediately notify each other Statement of Works Party following:
- 1.6.1 any change in the NGET Request for a Statement of Works or associated information provided to such Statement of Works Party; or
- 1.6.2 the withdrawal of the relevant Embedded Power Station Notification by a User, in which case such notice shall also constitute notice of a withdrawal by NGET of any relevant NGET Request for a Statement of Works.
- 2. PROVISION OF STATEMENT OF WORKS PLANNING ASSUMPTIONS FOLLOWING A NGET REQUEST FOR A STATEMENT OF WORKS**
- 2.1 In addition to Planning Assumptions used for general transmission planning pursuant to Section D, Part One, paragraph 2.2, NGET may, as a consequence of a relevant Embedded Power Station Notification, also generate a separate set of Planning Assumptions which take into account the power flows which NGET expects are likely to result from the Embedded Power Station Notification Project for use by each Transmission Owner only in the preparation of a TO Statement of Works Notice (“**Statement of Works Planning Assumptions**”).
- 2.2 If NGET generates Statement of Works Planning Assumptions, it shall do so as soon as reasonably practicable and, in any event, within five Business Days of the User Notification Date and shall:
- 2.2.1 immediately provide to each Transmission Owner such parts of the set of Statement of Works Planning Assumptions as NGET reasonably determines are likely to materially affect such Transmission Owner’s Transmission System; and
- 2.2.2 at the same time as Statement of Works Planning Assumptions are provided to any Transmission Owner(s) pursuant to sub-paragraph 2.2.1, either:
- 2.2.2.1 identify the NGET Request for a Statement of Works already submitted to such Transmission Owner under sub-paragraphs 1.1.1 or 1.1.2 to which the Statement of Works Planning Assumptions relate; or
- 2.2.2.2 submit a new NGET Request for a Statement of Works to such Transmission Owner pursuant to sub-paragraph 1.1.3.
- 2.3 NGET shall notify each Transmission Owner which receives a NGET Request for a Statement of Works as soon as reasonably practicable and, in any event, within two Business Days of the User Notification Date, if it does not intend to generate a set of Statement of Works Planning Assumptions in respect of the relevant Embedded Power Station Notification Project. Following such notice the general Planning Assumptions provided to Transmission Owners pursuant to Section D, Part One, paragraph 2.2 shall be deemed to also be Statement of Works Planning Assumptions for the purposes of such Embedded Power Station Notification Project.

- 2.4 NGET may, in its discretion, change a set of Statement of Works Planning Assumptions (including any deemed Statement of Works Planning Assumptions under paragraph 2.3) by giving notice to the relevant Transmission Owner(s), at any time up to the submission by the Transmission Owner(s) of the TO Statement of Works Notice to which such Statement of Works Planning Assumptions apply.
- 2.5 A Transmission Owner may submit a request to NGET for a change to Statement of Works Planning Assumptions it has received pursuant to paragraphs 2.2 or 2.4 or which have been deemed pursuant to paragraph 2.3, provided that such request shall contain a description (in reasonable but not excessive detail) of the reason(s) for the request.
- 2.6 If NGET receives a request for a change to Statement of Works Planning Assumptions pursuant to paragraph 2.5 it shall, as soon as reasonably practicable:
- 2.6.1 notify the Transmission Owner submitting the request and any other Transmission Owner, which is likely to be materially affected by the requested change, whether or not and, where relevant, how NGET intends to accommodate such request; and
- 2.6.2 where relevant, change and re-issue such Statement of Works Planning Assumptions accordingly.
- 2.7 A Transmission Owner may refer to the Authority as a Dispute in accordance with Section H, paragraph 4.1:
- 2.7.1 any notice received from NGET under 2.6.1; or
- 2.7.2 any failure by NGET to respond to a request made by such Transmission Owner under paragraph 2.5 within a reasonable period of time, taking into account the nature, complexity and urgency of the request.
- 2.8 Notwithstanding any request submitted by a Transmission Owner pursuant to paragraph 2.5 above, each Transmission Owner shall continue to take account the Statement of Works Planning Assumptions provided by NGET pursuant to sub-paragraph 1.1.3 (or deemed pursuant to paragraph 2.3), for the purposes of paragraph 3.3 of this Section D, Part Four, subject to any subsequent changes made to such Statement of Works Planning Assumptions by NGET under paragraphs 2.4 or 2.6 or any determination of a Dispute referred to the Authority pursuant to paragraph 2.7.
- 2.9 For the avoidance of doubt, any change made to Statement of Works Planning Assumptions pursuant to paragraphs 2.4 or 2.6 shall change the existing set of Statement of Works Planning Assumptions and shall not constitute a separate set of Statement of Works Planning Assumptions.
- 2.10 NGET shall act in accordance with Good Industry Practice in deciding whether to generate any set of Statement of Works Planning Assumptions and, where relevant, in generating or modifying such Statement of Works Planning Assumptions pursuant to this paragraph 2.
- 3. TO STATEMENT OF WORKS NOTICE**
- 3.1 Each Transmission Owner which receives a NGET Request for a Statement of Works shall provide a “TO Statement of Works Notice” to NGET, in accordance with paragraph 3.2. Such notice shall state whether or not:
- 3.1.1 such Transmission Owner requires Transmission Connection Asset Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User’s Distribution System; and

- 3.1.2 such Transmission Owner requires any other Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System.
- 3.2 A Transmission Owner shall submit a TO Statement of Works Notice as soon as reasonably practicable but, in any event, on or before the later of:
- 3.2.1 twenty-five calendar days less one Business Day after the NGET Notification Date; and
- 3.2.2 twenty-three calendar days less one Business Day after the Statement of Works Assumptions Date.
- 3.3 NGET may refer as a Dispute to the Authority in accordance with Section H, paragraph 4.1, any TO Statement of Works Notice that a Transmission Owner does not require Works to be undertaken in respect of an Embedded Power Station Notification Project.
- 3.4 A Transmission Owner shall prepare each TO Statement of Works Notice so that, if the Embedded Power Station Notification Project to which it relates is constructed, such Transmission Owner would continue to comply with the obligations in respect of the planning and development of its Transmission System set out in Part One, paragraph 2.2 of this Section D by giving effect to such Works, except that:
- 3.4.1 for the purpose of Part One, paragraph 2.2, such Transmission Owner shall take into account Statement of Works Planning Assumptions provided to it under paragraph 2 (as modified or updated pursuant to paragraphs 2.4 or 2.6) in respect of the Embedded Power Station Notification Project in the place of any other Planning Assumptions; and
- 3.4.2 the technical design and operational criteria for the Relevant Connection Site shall be as set out in the NGET Request for a Statement of Works.
- 3.5 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner requires Transmission Connection Asset Works to be undertaken, NGET may submit (and this will be deemed to be) an NGET Modification Application in respect of any Works identified in the TO Statement of Works Notice.
- 3.6 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner does not require Transmission Construction Asset Works to be undertaken but that, pursuant to sub-paragraph 3.1.2, the Transmission Owner requires other Works to be undertaken, such other Works shall be classed as Transmission Infrastructure Works. Where such Transmission Infrastructure Works are required prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System:
- 3.6.1 the Transmission Owner shall update its Transmission Investment Plan in accordance with Section D, Part One, paragraph 2.1.2;
- 3.6.2 NGET shall notify the Transmission Owner if the proposed date of connection for the relevant Power Station changes; and
- 3.6.3 the Transmission Owner shall notify NGET when the Transmission Infrastructure Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System have been completed.

**Amend the following paragraph in Section H:**

- 4.5 In addition to those matters falling under paragraph 4.3, the following matters shall constitute a Dispute referable to the Authority by a Dispute Party under the Code only

where such matter(s) materially adversely affect(s) that Dispute Party's ability to develop and maintain an efficient, co-ordinated and economical system of electricity transmission in Great Britain:

- 4.5.1 a failure to agree a Services Restoration Proposal or any modification to a Services Restoration Proposal under Section C, Part One, paragraphs 4.7 and 4.8 or 4.9;
- 4.4.2 a dispute in relation to either a request by NGET or the adequacy of preparatory steps taken by a Transmission Owner pursuant to Section C, Part One, paragraph 4.13;
- 4.4.3 a dispute in relation to the manner in which matters contained in an Outage Proposal are included, or are not included, in an Outage Plan pursuant to Section C, Part Two, paragraph 2.4;
- 4.4.4 a failure to agree in relation to any Outage Plan or Outages Implementation Process pursuant to Section C, Part Two, paragraphs 5.7, 6.1 or 6.5;
- 4.4.5 a dispute in relation to a direction issued by NGET regarding discontinuation of an Outage or Outages pursuant to Section C, Part Two, paragraph 7.1;
- 4.4.6 a dispute in relation to a request for a change to Planning Assumptions pursuant to Section D, Part One, paragraph 2.2;
- 4.4.7 a dispute in relation to a Planning Request pursuant to Section D, Part One, sub-paragraph 2.4.4;
- 4.4.8 a dispute in relation to the reasonableness of a request by NGET for information pursuant to Section D, Part One, sub-paragraph 2.6.2;
- 4.4.9 a dispute in relation to a the effectiveness of a NGET Construction Application pursuant to Section D, Part Two, paragraph 2.5;
- 4.4.11 a dispute in relation to a request for a change to Construction Planning Assumptions pursuant to Section D, Part Two, paragraph 3.7;
- 4.4.11 a dispute in relation to a notice by the Transmission Owner that it does not intend to submit a TO Construction Offer or a notice of any assumptions which a Transmission Owner intends to make in relation to User Equipment at a Relevant Connection Site pursuant to Section D, Part Two, paragraph 4.3;
- 4.4.12 a dispute in connection with a TO Construction Offer pursuant to Section D, Part Two, paragraph 5.2; ~~and~~
- 4.4.13 a failure to agree Communications Plant under Section D, Part Two, paragraph 9.1.;
- 4.4.14 a dispute in relation to the effectiveness of a NGET Request for a Statement of Works pursuant to Section D, Part Four, paragraph 1.4;
- 4.4.15 a dispute in relation to a request for a change to Statement of Works Planning Assumptions pursuant to Section D, Part Four, paragraph 2.7; and
- 4.4.16 a dispute in relation to a TO Statement of Works Notice by the Transmission Owner that it does not require Works to be undertaken in respect of an Embedded Power Station Notification Project pursuant to Section D, Part Four, paragraph 3.3.

**Amend the following paragraph in Schedule Three:**

- 2.1.5 NGET may Disclose to a Transmission Owner any User Data or Transmission Information specified in Schedules Five, Six, or Seven and forming part of a NGET Construction Application or Schedules Eleven or Thirteen.

**Insert the following new paragraphs as Schedule Thirteen:****SCHEDULE THIRTEEN****NGET REQUESTS FOR STATEMENTS OF WORKS****1. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1:**

- 1.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1 shall contain the following information:

- 1.1.1 The User Notification Date.
- 1.1.2 The name of the Connection Site.
- 1.1.3 Standard Planning Data.
- 1.1.4 The capacity of the Power Station connecting to the User's Distribution System.
- 1.1.5 The proposed date of connection of the Power Station.

**2. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2:**

- 2.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2 shall contain the following information:

- 2.1.1 The User Notification Date.
- 2.1.2 Standard Planning Data.
- 2.1.3 The capacity of the Power Station connecting to the User's Distribution System.
- 2.1.4 The proposed date of connection of the Power Station.

**3. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3:**

- 3.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3 shall contain the following information:

- 3.1.1 The User Notification Date.
- 3.1.2 The proposed date of connection of the Power Station.

**Amend and insert the following definitions in Section J:**

- “Embedded Power Station Notification”** a notification made by a User to NGET under and pursuant to the CUSC in order that the impact on the GB Transmission System of a Power Station connecting to that User’s Distribution System may be assessed;
- “Embedded Power Station Notification Project”** a project relating to an Embedded Power Station Notification;
- “NGET Notification Date”** in respect of each Transmission Owner, the date on which such Transmission Owner receives an effective NGET Request for a Statement of Works in relation to an Embedded Power Station Notification Project;
- “NGET Request for a Statement of Works”** a request made by NGET to a Transmission Owner pursuant to Section D, Part Four, paragraph 1.1 in relation the assessment of the impact on the GB Transmission System of a Power Station connecting to a Distribution System and containing the information set out in Schedule 13;
- “Relevant Connection Site”** in respect of each Construction Project, ~~or Exchange Rate Request~~ or Embedded Power Station Notification:
- (a) the Connection Site or New Connection Site which is the subject of the relevant User Application; or
  - (b) in the case of a User Application made to NGET by an Embedded User, the connection site of such Embedded User;
- “Statement of Works Assumptions Date”** in respect of each Transmission Owner, the date on which such Transmission Owner:
- (a) receives Statement of Works Planning Assumptions from NGET pursuant to Section D, Part Four, paragraph 2.2; or
  - (b) receives notice that NGET does not intend to generate a set of Statement of Works Planning Assumptions under Section D, Part Four, paragraph 2.3,
- in relation to the Embedded Power Station Notification Project to which such Statement of Works Planning Assumptions apply;
- “Statement of Works Party”** as defined in Section D, Part Four, paragraph 1.1;
- “Statement of Works Planning Assumptions”** as defined in Section D, Part Four, paragraph 2.1;
- “System Construction”** Transmission Reinforcement Works or any other Works (except any Transmission Infrastructure Works) required to be undertaken by a Transmission Owner in order to facilitate the use or change in use of the GB Transmission System by a User;
- “TO Statement of Works Notice”** as defined in Section D, Part Four, paragraph 3.1;

**“Transmission Infrastructure Works”**

any Changes to a Transmission Owner’s Transmission System not triggered by a TO Construction Agreement, including those potentially required prior to the Energisation of an Embedded Power Station Notification Project;

**“User Notification Date”**

the date of receipt by NGET of an effective Embedded Power Station Notification pursuant to the CUSC;

**“Works”**

as the context admits or requires, Transmission Construction Works, Transmission Infrastructure Works, NGET Works and User Works.

## Part D - Text to give effect to the CA017 Alternative Amendment

Amend the following paragraph in Section D, Part Three:

### **PART THREE: OTHERTEC EXCHANGE**

Insert the following new paragraphs as Section D, Part Four:

### **PART FOUR: STATEMENT OF WORKS**

#### **1. STATEMENT OF WORKS PROCESS**

1.1 If NGET considers it may be necessary, it shall submit a NGET Request for a Statement of Works in accordance with paragraph 1.2 to:

1.1.1 the Transmission Owner, if any, whose Transmission System is located at the Relevant Connection Site;

1.1.2 any Transmission Owner in relation to whose Transmission System the Relevant Connection Site satisfies the criteria set out in Schedule Four; and

1.1.3 any Transmission Owner which does not receive a NGET Request for a Statement of Works pursuant to sub-paragraphs 1.1.1 or 1.1.2, but which:

1.1.3.1 otherwise receives Statement of Works Planning Assumptions pursuant to paragraph 2.2 in relation to the Relevant Connection Site; or

1.1.3.2 NGET otherwise identifies is likely to be required to submit a TO Statement of Works Notice in respect of the Embedded Power Station Notification Project.

(NGET and each Transmission Owner which receives a NGET Request for a Statement of Works shall be referred to in this Section as a “**Statement of Works Party**”).

1.2 NGET shall submit a NGET Request for a Statement of Works:

1.2.1 pursuant to sub-paragraphs 1.1.1 and 1.1.2, as soon as reasonably practicable, and in any event within three Business Days of the User Notification Date in relation to such Relevant Connection Site; and

1.2.2 pursuant to sub-paragraph 1.1.3, at the same time as Statement of Works Planning Assumptions are submitted to a Transmission Owner under paragraph 2.2 or, where applicable, at the same time as NGET gives a Transmission Owner notice under paragraph 2.3.

1.3 For the purposes of this Section D, Part Four, a NGET Request for a Statement of Works shall be deemed to be effective if it is complete and clear in all material respects.

1.4 If a Transmission Owner reasonably considers that a NGET Request for a Statement of Works is not effective it shall, as soon as reasonably practicable and in any event within five Business Days of receipt of the NGET Request for a Statement of Works, notify NGET of:

1.4.1 the detailed reasons why it considers the NGET Request for a Statement of Works is incomplete or unclear in a material respect; and

- 1.4.2 the amendments (including clarifications, additional information, data or other material) it considers are required to make the NGET Request for a Statement of Works effective,
- and shall otherwise use its best endeavours to liaise with and assist NGET (and, where reasonably requested by NGET, any relevant third parties) so that the NGET Request for a Statement of Works is made effective as soon as reasonably practicable. Any dispute in relation to the effectiveness of a NGET Request for a Statement of Works may be referred as a Dispute to the Authority in accordance with Section H, paragraph 4.1.
- 1.5 NGET shall not be liable to pay Engineering Charges in relation to a NGET Request for a Statement of Works.
- 1.6 NGET shall immediately notify each other Statement of Works Party following:
- 1.6.1 any change in the NGET Request for a Statement of Works or associated information provided to such Statement of Works Party; or
- 1.6.2 the withdrawal of the relevant Embedded Power Station Notification by a User, in which case such notice shall also constitute notice of a withdrawal by NGET of any relevant NGET Request for a Statement of Works.
- 2. PROVISION OF STATEMENT OF WORKS PLANNING ASSUMPTIONS FOLLOWING A NGET REQUEST FOR A STATEMENT OF WORKS**
- 2.1 In addition to Planning Assumptions used for general transmission planning pursuant to Section D, Part One, paragraph 2.2, NGET may, as a consequence of a relevant Embedded Power Station Notification, also generate a separate set of Planning Assumptions which take into account the power flows which NGET expects are likely to result from the Embedded Power Station Notification Project for use by each Transmission Owner only in the preparation of a TO Statement of Works Notice (“**Statement of Works Planning Assumptions**”).
- 2.2 If NGET generates Statement of Works Planning Assumptions, it shall do so as soon as reasonably practicable and, in any event, within five Business Days of the User Notification Date and shall:
- 2.2.1 immediately provide to each Transmission Owner such parts of the set of Statement of Works Planning Assumptions as NGET reasonably determines are likely to materially affect such Transmission Owner’s Transmission System; and
- 2.2.2 at the same time as Statement of Works Planning Assumptions are provided to any Transmission Owner(s) pursuant to sub-paragraph 2.2.1, either:
- 2.2.2.1 identify the NGET Request for a Statement of Works already submitted to such Transmission Owner under sub-paragraphs 1.1.1 or 1.1.2 to which the Statement of Works Planning Assumptions relate; or
- 2.2.2.2 submit a new NGET Request for a Statement of Works to such Transmission Owner pursuant to sub-paragraph 1.1.3.
- 2.3 NGET shall notify each Transmission Owner which receives a NGET Request for a Statement of Works as soon as reasonably practicable and, in any event, within two Business Days of the User Notification Date, if it does not intend to generate a set of Statement of Works Planning Assumptions in respect of the relevant Embedded Power Station Notification Project. Following such notice the general Planning Assumptions provided to Transmission Owners pursuant to Section D, Part One, paragraph 2.2 shall be deemed to also be Statement of Works Planning Assumptions for the purposes of such Embedded Power Station Notification Project.

- 2.4 NGET may, in its discretion, change a set of Statement of Works Planning Assumptions (including any deemed Statement of Works Planning Assumptions under paragraph 2.3) by giving notice to the relevant Transmission Owner(s), at any time up to the submission by the Transmission Owner(s) of the TO Statement of Works Notice to which such Statement of Works Planning Assumptions apply.
- 2.5 A Transmission Owner may submit a request to NGET for a change to Statement of Works Planning Assumptions it has received pursuant to paragraphs 2.2 or 2.4 or which have been deemed pursuant to paragraph 2.3, provided that such request shall contain a description (in reasonable but not excessive detail) of the reason(s) for the request.
- 2.6 If NGET receives a request for a change to Statement of Works Planning Assumptions pursuant to paragraph 2.5 it shall, as soon as reasonably practicable:
- 2.6.1 notify the Transmission Owner submitting the request and any other Transmission Owner, which is likely to be materially affected by the requested change, whether or not and, where relevant, how NGET intends to accommodate such request; and
- 2.6.2 where relevant, change and re-issue such Statement of Works Planning Assumptions accordingly.
- 2.7 A Transmission Owner may refer to the Authority as a Dispute in accordance with Section H, paragraph 4.1:
- 2.7.1 any notice received from NGET under 2.6.1; or
- 2.7.2 any failure by NGET to respond to a request made by such Transmission Owner under paragraph 2.5 within a reasonable period of time, taking into account the nature, complexity and urgency of the request.
- 2.8 Notwithstanding any request submitted by a Transmission Owner pursuant to paragraph 2.5 above, each Transmission Owner shall continue to take account the Statement of Works Planning Assumptions provided by NGET pursuant to sub-paragraph 1.1.3 (or deemed pursuant to paragraph 2.3), for the purposes of paragraph 3.3 of this Section D, Part Four, subject to any subsequent changes made to such Statement of Works Planning Assumptions by NGET under paragraphs 2.4 or 2.6 or any determination of a Dispute referred to the Authority pursuant to paragraph 2.7.
- 2.9 For the avoidance of doubt, any change made to Statement of Works Planning Assumptions pursuant to paragraphs 2.4 or 2.6 shall change the existing set of Statement of Works Planning Assumptions and shall not constitute a separate set of Statement of Works Planning Assumptions.
- 2.10 NGET shall act in accordance with Good Industry Practice in deciding whether to generate any set of Statement of Works Planning Assumptions and, where relevant, in generating or modifying such Statement of Works Planning Assumptions pursuant to this paragraph 2.
- 3. TO STATEMENT OF WORKS NOTICE**
- 3.1 Each Transmission Owner which receives a NGET Request for a Statement of Works shall provide a “TO Statement of Works Notice” to NGET, in accordance with paragraph 3.2. Such notice shall state whether or not:
- 3.1.1 such Transmission Owner requires Transmission Connection Asset Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User’s Distribution System; and

- 3.1.2 such Transmission Owner requires any other Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System.
- 3.2 A Transmission Owner shall submit a TO Statement of Works Notice as soon as reasonably practicable but, in any event, on or before the later of:
- 3.2.1 twenty-five calendar days less one Business Day after the NGET Notification Date; and
- 3.2.2 twenty-three calendar days less one Business Day after the Statement of Works Assumptions Date.
- 3.3 NGET may refer as a Dispute to the Authority in accordance with Section H, paragraph 4.1, any TO Statement of Works Notice that a Transmission Owner does not require Works to be undertaken in respect of an Embedded Power Station Notification Project.
- 3.4 A Transmission Owner shall prepare each TO Statement of Works Notice so that, if the Embedded Power Station Notification Project to which it relates is constructed, such Transmission Owner would continue to comply with the obligations in respect of the planning and development of its Transmission System set out in Part One, paragraph 2.2 of this Section D by giving effect to such Works, except that:
- 3.4.1 for the purpose of Part One, paragraph 2.2, such Transmission Owner shall take into account Statement of Works Planning Assumptions provided to it under paragraph 2 (as modified or updated pursuant to paragraphs 2.4 or 2.6) in respect of the Embedded Power Station Notification Project in the place of any other Planning Assumptions; and
- 3.4.2 the technical design and operational criteria for the Relevant Connection Site shall be as set out in the NGET Request for a Statement of Works.
- 3.5 Following submission of a TO Statement of Works Notice by a Transmission Owner, the Transmission Owner shall notify NGET of the proposed date for completion of any Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System. Such notice shall be submitted to NGET as soon as reasonably practicable and, in any event, on or before the later of:
- 3.5.1 three months less thirteen Business Days after the NGET Notification Date; and
- 3.5.2 where relevant, three months less fifteen Business Days after the Statement of Works Assumptions Date.
- 3.6 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner requires Transmission Connection Asset Works to be undertaken, NGET may submit (and this will be deemed to be) an NGET Modification Application in respect of any Works identified in the TO Statement of Works Notice.
- 3.7 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner does not require Transmission Connection Asset Works to be undertaken but that, pursuant to sub-paragraph 3.1.2, the Transmission Owner requires other Works to be undertaken, such other Works shall be classed as Transmission Infrastructure Works. Where such Transmission Infrastructure Works are required prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System:
- 3.7.1 the Transmission Owner shall update its Transmission Investment Plan in accordance with Section D, Part One, paragraph 2.1.2;

- 3.7.2 NGET shall notify the Transmission Owner if the proposed date of connection for the relevant Power Station changes;
- 3.7.3 the Transmission Owner shall notify NGET if the proposed date for completion of the Transmission Infrastructure Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System changes; and
- 3.7.4 the Transmission Owner shall notify NGET when the Transmission Infrastructure Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System have been completed.

**Amend the following paragraph in Section H:**

- 4.6 In addition to those matters falling under paragraph 4.3, the following matters shall constitute a Dispute referable to the Authority by a Dispute Party under the Code only where such matter(s) materially adversely affect(s) that Dispute Party's ability to develop and maintain an efficient, co-ordinated and economical system of electricity transmission in Great Britain:
- 4.6.1 a failure to agree a Services Restoration Proposal or any modification to a Services Restoration Proposal under Section C, Part One, paragraphs 4.7 and 4.8 or 4.9;
  - 4.4.2 a dispute in relation to either a request by NGET or the adequacy of preparatory steps taken by a Transmission Owner pursuant to Section C, Part One, paragraph 4.13;
  - 4.4.3 a dispute in relation to the manner in which matters contained in an Outage Proposal are included, or are not included, in an Outage Plan pursuant to Section C, Part Two, paragraph 2.4;
  - 4.4.4 a failure to agree in relation to any Outage Plan or Outages Implementation Process pursuant to Section C, Part Two, paragraphs 5.7, 6.1 or 6.5;
  - 4.4.5 a dispute in relation to a direction issued by NGET regarding discontinuation of an Outage or Outages pursuant to Section C, Part Two, paragraph 7.1;
  - 4.4.6 a dispute in relation to a request for a change to Planning Assumptions pursuant to Section D, Part One, paragraph 2.2;
  - 4.4.7 a dispute in relation to a Planning Request pursuant to Section D, Part One, sub-paragraph 2.4.4;
  - 4.4.8 a dispute in relation to the reasonableness of a request by NGET for information pursuant to Section D, Part One, sub-paragraph 2.6.2;
  - 4.4.9 a dispute in relation to a the effectiveness of a NGET Construction Application pursuant to Section D, Part Two, paragraph 2.5;
  - 4.4.12 a dispute in relation to a request for a change to Construction Planning Assumptions pursuant to Section D, Part Two, paragraph 3.7;
  - 4.4.11 a dispute in relation to a notice by the Transmission Owner that it does not intend to submit a TO Construction Offer or a notice of any assumptions which a Transmission Owner intends to make in relation to User Equipment at a Relevant Connection Site pursuant to Section D, Part Two, paragraph 4.3;
  - 4.4.12 a dispute in connection with a TO Construction Offer pursuant to Section D, Part Two, paragraph 5.2; ~~and~~

- 4.4.13 a failure to agree Communications Plant under Section D, Part Two, paragraph 9.1.;
- 4.4.14 a dispute in relation to the effectiveness of a NGET Request for a Statement of Works pursuant to Section D, Part Four, paragraph 1.4;
- 4.4.15 a dispute in relation to a request for a change to Statement of Works Planning Assumptions pursuant to Section D, Part Four, paragraph 2.7; and
- 4.4.16 a dispute in relation to a TO Statement of Works Notice by the Transmission Owner that it does not require Works to be undertaken in respect of an Embedded Power Station Notification Project pursuant to Section D, Part Four, paragraph 3.3.

**Amend the following paragraph in Schedule Three:**

- 2.1.5 NGET may Disclose to a Transmission Owner any User Data or Transmission Information specified in Schedules Five, Six, or Seven and forming part of a NGET Construction Application or Schedules Eleven or Thirteen.

**Insert the following new paragraphs as Schedule Thirteen:**

**SCHEDULE THIRTEEN**

**NGET REQUESTS FOR STATEMENTS OF WORKS**

- 1. **Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1:**
  - 1.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1 shall contain the following information:
    - 1.1.1 The User Notification Date.
    - 1.1.2 The name of the Connection Site.
    - 1.1.3 Standard Planning Data.
    - 1.1.4 The capacity of the Power Station connecting to the User's Distribution System.
    - 1.1.5 The proposed date of connection of the Power Station.
- 2. **Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2:**
  - 2.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2 shall contain the following information:
    - 2.1.1 The User Notification Date.
    - 2.1.2 Standard Planning Data.
    - 2.1.3 The capacity of the Power Station connecting to the User's Distribution System.

2.1.4 The proposed date of connection of the Power Station.

**3. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3:**

3.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3 shall contain the following information:

3.1.1 The User Notification Date.

3.1.2 The proposed date of connection of the Power Station.

**Amend and insert the following definitions in Section J:**

**“Embedded Power Station Notification”** a notification made by a User to NGET under and pursuant to the CUSC in order that the impact on the GB Transmission System of a Power Station connecting to that User’s Distribution System may be assessed;

**“Embedded Power Station Notification Project”** a project relating to an Embedded Power Station Notification;

**“NGET Notification Date”** in respect of each Transmission Owner, the date on which such Transmission Owner receives an effective NGET Request for a Statement of Works in relation to an Embedded Power Station Notification Project;

**“NGET Request for a Statement of Works”** a request made by NGET to a Transmission Owner pursuant to Section D, Part Four, paragraph 1.1 in relation the assessment of the impact on the GB Transmission System of a Power Station connecting to a Distribution System and containing the information set out in Schedule 13;

**“Relevant Connection Site”** in respect of each Construction Project, ~~or~~ Exchange Rate Request ~~or~~ Embedded Power Station Notification:

(a) the Connection Site or New Connection Site which is the subject of the relevant User Application; or

(b) in the case of a User Application made to NGET by an Embedded User, the connection site of such Embedded User;

**“Statement of Works Assumptions Date”** in respect of each Transmission Owner, the date on which such Transmission Owner:

(a) receives Statement of Works Planning Assumptions from NGET pursuant to Section D, Part Four, paragraph 2.2; or

(b) receives notice that NGET does not intend to generate a set of Statement of Works Planning Assumptions under Section D, Part Four, paragraph 2.3,

in relation to the Embedded Power Station Notification Project to which such Statement of Works Planning Assumptions apply;

**“Statement of Works Party”** as defined in Section D, Part Four, paragraph 1.1;

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<b><u>“Statement of Works Planning Assumptions”</u></b>	<u>as defined in Section D, Part Four, paragraph 2.1;</u>
<b>“System Construction”</b>	Transmission Reinforcement Works or any other Works <u>(except any Transmission Infrastructure Works)</u> required to be undertaken by a Transmission Owner in order to facilitate the use or change in use of the GB Transmission System by a User;
<b><u>“TO Statement of Works Notice”</u></b>	<u>as defined in Section D, Part Four, paragraph 3.1;</u>
<b><u>“Transmission Infrastructure Works”</u></b>	<u>any Changes to a Transmission Owner’s Transmission System not triggered by a TO Construction Agreement, including those potentially required prior to the Energisation of an Embedded Power Station Notification Project;</u>
<b><u>“User Notification Date”</u></b>	<u>the date of receipt by NGET of an effective Embedded Power Station Notification pursuant to the CUSC;</u>
<b>“Works”</b>	as the context admits or requires, Transmission Construction Works, <u>Transmission Infrastructure Works</u> , NGET Works and User Works.

## Part E - Text to give effect to the CA019 Original Proposal

Amend the following paragraph in Section D, Part Three:

### **PART THREE: OTHERTEC EXCHANGE**

Insert the following new paragraphs as Section D, Part Four:

### **PART FOUR: STATEMENT OF WORKS**

#### **1. STATEMENT OF WORKS PROCESS**

1.1 If NGET considers it may be necessary, it shall submit a NGET Request for a Statement of Works in accordance with paragraph 1.2 to:

1.1.1 the Transmission Owner, if any, whose Transmission System is located at the Relevant Connection Site;

1.1.2 any Transmission Owner in relation to whose Transmission System the Relevant Connection Site satisfies the criteria set out in Schedule Four; and

1.1.3 any Transmission Owner which does not receive a NGET Request for a Statement of Works pursuant to sub-paragraphs 1.1.1 or 1.1.2, but which:

1.1.3.1 otherwise receives Statement of Works Planning Assumptions pursuant to paragraph 2.2 in relation to the Relevant Connection Site; or

1.1.3.2 NGET otherwise identifies is likely to be required to submit a TO Statement of Works Notice in respect of the Embedded Power Station Notification Project.

(NGET and each Transmission Owner which receives a NGET Request for a Statement of Works shall be referred to in this Section as a “**Statement of Works Party**”).

1.2 NGET shall submit a NGET Request for a Statement of Works:

1.2.1 pursuant to sub-paragraphs 1.1.1 and 1.1.2, as soon as reasonably practicable, and in any event within three Business Days of the User Notification Date in relation to such Relevant Connection Site; and

1.2.2 pursuant to sub-paragraph 1.1.3, at the same time as Statement of Works Planning Assumptions are submitted to a Transmission Owner under paragraph 2.2 or, where applicable, at the same time as NGET gives a Transmission Owner notice under paragraph 2.3.

1.3 For the purposes of this Section D, Part Four, a NGET Request for a Statement of Works shall be deemed to be effective if it is complete and clear in all material respects.

1.4 If a Transmission Owner reasonably considers that a NGET Request for a Statement of Works is not effective it shall, as soon as reasonably practicable and in any event within five Business Days of receipt of the NGET Request for a Statement of Works, notify NGET of:

1.4.1 the detailed reasons why it considers the NGET Request for a Statement of Works is incomplete or unclear in a material respect; and

1.4.2 the amendments (including clarifications, additional information, data or other material) it considers are required to make the NGET Request for a Statement of Works effective,

and shall otherwise use its best endeavours to liaise with and assist NGET (and, where reasonably requested by NGET, any relevant third parties) so that the NGET Request for a Statement of Works is made effective as soon as reasonably practicable. Any dispute in relation to the effectiveness of a NGET Request for a Statement of Works may be referred as a Dispute to the Authority in accordance with Section H, paragraph 4.1.

1.5 Each Transmission Owner shall charge NGET and NGET shall pay Engineering Charges in relation to a NGET Request for a Statement of Works in accordance with Schedule Ten.

1.6 NGET shall immediately notify each other Statement of Works Party following:

1.6.1 any change in the NGET Request for a Statement of Works or associated information provided to such Statement of Works Party; or

1.6.2 the withdrawal of the relevant Embedded Power Station Notification by a User, in which case such notice shall also constitute notice of a withdrawal by NGET of any relevant NGET Request for a Statement of Works.

## **2. PROVISION OF STATEMENT OF WORKS PLANNING ASSUMPTIONS FOLLOWING A NGET REQUEST FOR A STATEMENT OF WORKS**

2.1 In addition to Planning Assumptions used for general transmission planning pursuant to Section D, Part One, paragraph 2.2, NGET may, as a consequence of a relevant Embedded Power Station Notification, also generate a separate set of Planning Assumptions which take into account the power flows which NGET expects are likely to result from the Embedded Power Station Notification Project for use by each Transmission Owner only in the preparation of a TO Statement of Works Notice (“**Statement of Works Planning Assumptions**”).

2.2 If NGET generates Statement of Works Planning Assumptions, it shall do so as soon as reasonably practicable and, in any event, within five Business Days of the User Notification Date and shall:

2.2.1 immediately provide to each Transmission Owner such parts of the set of Statement of Works Planning Assumptions as NGET reasonably determines are likely to materially affect such Transmission Owner’s Transmission System; and

2.2.2 at the same time as Statement of Works Planning Assumptions are provided to any Transmission Owner(s) pursuant to sub-paragraph 2.2.1, either:

2.2.2.1 identify the NGET Request for a Statement of Works already submitted to such Transmission Owner under sub-paragraphs 1.1.1 or 1.1.2 to which the Statement of Works Planning Assumptions relate; or

2.2.2.2 submit a new NGET Request for a Statement of Works to such Transmission Owner pursuant to sub-paragraph 1.1.3.

2.3 NGET shall notify each Transmission Owner which receives a NGET Request for a Statement of Works as soon as reasonably practicable and, in any event, within two Business Days of the User Notification Date, if it does not intend to generate a set of Statement of Works Planning Assumptions in respect of the relevant Embedded Power Station Notification Project. Following such notice the general Planning Assumptions provided to Transmission Owners pursuant to Section D, Part One, paragraph 2.2 shall be deemed to also be Statement of Works Planning Assumptions for the purposes of such Embedded Power Station Notification Project.

- 2.4 NGET may, in its discretion, change a set of Statement of Works Planning Assumptions (including any deemed Statement of Works Planning Assumptions under paragraph 2.3) by giving notice to the relevant Transmission Owner(s), at any time up to the submission by the Transmission Owner(s) of the TO Statement of Works Notice to which such Statement of Works Planning Assumptions apply.
- 2.5 A Transmission Owner may submit a request to NGET for a change to Statement of Works Planning Assumptions it has received pursuant to paragraphs 2.2 or 2.4 or which have been deemed pursuant to paragraph 2.3, provided that such request shall contain a description (in reasonable but not excessive detail) of the reason(s) for the request.
- 2.6 If NGET receives a request for a change to Statement of Works Planning Assumptions pursuant to paragraph 2.5 it shall, as soon as reasonably practicable:
- 2.6.1 notify the Transmission Owner submitting the request and any other Transmission Owner, which is likely to be materially affected by the requested change, whether or not and, where relevant, how NGET intends to accommodate such request; and
- 2.6.2 where relevant, change and re-issue such Statement of Works Planning Assumptions accordingly.
- 2.7 A Transmission Owner may refer to the Authority as a Dispute in accordance with Section H, paragraph 4.1:
- 2.7.1 any notice received from NGET under 2.6.1; or
- 2.7.2 any failure by NGET to respond to a request made by such Transmission Owner under paragraph 2.5 within a reasonable period of time, taking into account the nature, complexity and urgency of the request.
- 2.8 Notwithstanding any request submitted by a Transmission Owner pursuant to paragraph 2.5 above, each Transmission Owner shall continue to take account the Statement of Works Planning Assumptions provided by NGET pursuant to sub-paragraph 1.1.3 (or deemed pursuant to paragraph 2.3), for the purposes of paragraph 3.3 of this Section D, Part Four, subject to any subsequent changes made to such Statement of Works Planning Assumptions by NGET under paragraphs 2.4 or 2.6 or any determination of a Dispute referred to the Authority pursuant to paragraph 2.7.
- 2.9 For the avoidance of doubt, any change made to Statement of Works Planning Assumptions pursuant to paragraphs 2.4 or 2.6 shall change the existing set of Statement of Works Planning Assumptions and shall not constitute a separate set of Statement of Works Planning Assumptions.
- 2.10 NGET shall act in accordance with Good Industry Practice in deciding whether to generate any set of Statement of Works Planning Assumptions and, where relevant, in generating or modifying such Statement of Works Planning Assumptions pursuant to this paragraph 2.
- 3. TO STATEMENT OF WORKS NOTICE**
- 3.1 Each Transmission Owner which receives a NGET Request for a Statement of Works shall provide a “TO Statement of Works Notice” to NGET, in accordance with paragraph 3.2. Such notice shall state whether or not:
- 3.1.1 such Transmission Owner requires Transmission Connection Asset Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User’s Distribution System; and

- 3.1.2 such Transmission Owner requires any other Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System.
- 3.2 A Transmission Owner shall submit a TO Statement of Works Notice as soon as reasonably practicable but, in any event, on or before the later of:
- 3.2.1 twenty-five calendar days less one Business Day after the NGET Notification Date; and
- 3.2.2 twenty-three calendar days less one Business Day after the Statement of Works Assumptions Date.
- 3.3 NGET may refer as a Dispute to the Authority in accordance with Section H, paragraph 4.1, any TO Statement of Works Notice that a Transmission Owner does not require Works to be undertaken in respect of an Embedded Power Station Notification Project.
- 3.4 A Transmission Owner shall prepare each TO Statement of Works Notice so that, if the Embedded Power Station Notification Project to which it relates is constructed, such Transmission Owner would continue to comply with the obligations in respect of the planning and development of its Transmission System set out in Part One, paragraph 2.2 of this Section D by giving effect to such Works, except that:
- 3.4.1 for the purpose of Part One, paragraph 2.2, such Transmission Owner shall take into account Statement of Works Planning Assumptions provided to it under paragraph 2 (as modified or updated pursuant to paragraphs 2.4 or 2.6) in respect of the Embedded Power Station Notification Project in the place of any other Planning Assumptions; and
- 3.4.2 the technical design and operational criteria for the Relevant Connection Site shall be as set out in the NGET Request for a Statement of Works.
- 3.5 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner requires Transmission Connection Asset Works to be undertaken, NGET may submit (and this will be deemed to be) an NGET Modification Application in respect of any Works identified in the TO Statement of Works Notice.
- 3.6 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner does not require Transmission Construction Asset Works to be undertaken but that, pursuant to sub-paragraph 3.1.2, the Transmission Owner requires other Works to be undertaken, such other Works shall be classed as Transmission Infrastructure Works.
- 3.7 Where such Transmission Infrastructure Works are required prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System, and NGET:
- 3.7.1 NGET shall consider whether the relevant Power Station will be built, and if so, the proposed date of connection.
- 3.7.2 in accordance with Section D, Part One, paragraph 2.2.1 NGET shall update the Planning Assumptions to take account of the possible connection of the relevant Power Station and shall promptly provide such updated Planning Assumptions to the Transmission Owners to be used by them in planning and developing their Transmission Systems.
- 3.7.3 each Transmission Owner shall update its Transmission Investment Plan in accordance with Section D, Part One, paragraph 2.1.2;
- 3.7.4 NGET shall notify the Transmission Owners if the proposed date of connection for the relevant Power Station changes and update the Planning Assumptions accordingly; and

3.7.5 each Transmission Owner shall notify NGET when the Transmission Infrastructure Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System have been completed.

**Amend the following paragraph in Section H:**

- 4.7 In addition to those matters falling under paragraph 4.3, the following matters shall constitute a Dispute referable to the Authority by a Dispute Party under the Code only where such matter(s) materially adversely affect(s) that Dispute Party's ability to develop and maintain an efficient, co-ordinated and economical system of electricity transmission in Great Britain:
- 4.7.1 a failure to agree a Services Restoration Proposal or any modification to a Services Restoration Proposal under Section C, Part One, paragraphs 4.7 and 4.8 or 4.9;
  - 4.4.2 a dispute in relation to either a request by NGET or the adequacy of preparatory steps taken by a Transmission Owner pursuant to Section C, Part One, paragraph 4.13;
  - 4.4.3 a dispute in relation to the manner in which matters contained in an Outage Proposal are included, or are not included, in an Outage Plan pursuant to Section C, Part Two, paragraph 2.4;
  - 4.4.4 a failure to agree in relation to any Outage Plan or Outages Implementation Process pursuant to Section C, Part Two, paragraphs 5.7, 6.1 or 6.5;
  - 4.4.5 a dispute in relation to a direction issued by NGET regarding discontinuation of an Outage or Outages pursuant to Section C, Part Two, paragraph 7.1;
  - 4.4.6 a dispute in relation to a request for a change to Planning Assumptions pursuant to Section D, Part One, paragraph 2.2;
  - 4.4.7 a dispute in relation to a Planning Request pursuant to Section D, Part One, sub-paragraph 2.4.4;
  - 4.4.8 a dispute in relation to the reasonableness of a request by NGET for information pursuant to Section D, Part One, sub-paragraph 2.6.2;
  - 4.4.9 a dispute in relation to a the effectiveness of a NGET Construction Application pursuant to Section D, Part Two, paragraph 2.5;
  - 4.4.13 a dispute in relation to a request for a change to Construction Planning Assumptions pursuant to Section D, Part Two, paragraph 3.7;
  - 4.4.11 a dispute in relation to a notice by the Transmission Owner that it does not intend to submit a TO Construction Offer or a notice of any assumptions which a Transmission Owner intends to make in relation to User Equipment at a Relevant Connection Site pursuant to Section D, Part Two, paragraph 4.3;
  - 4.4.12 a dispute in connection with a TO Construction Offer pursuant to Section D, Part Two, paragraph 5.2; ~~and~~
  - 4.4.13 a failure to agree Communications Plant under Section D, Part Two, paragraph 9.1.;
  - 4.4.14 a dispute in relation to the effectiveness of a NGET Request for a Statement of Works pursuant to Section D, Part Four, paragraph 1.4;

- 4.4.15 a dispute in relation to a request for a change to Statement of Works Planning Assumptions pursuant to Section D, Part Four, paragraph 2.7; and
- 4.4.16 a dispute in relation to a TO Statement of Works Notice by the Transmission Owner that it does not require Works to be undertaken in respect of an Embedded Power Station Notification Project pursuant to Section D, Part Four, paragraph 3.3.

**Amend the following paragraph in Schedule Three:**

- 2.1.5 NGET may Disclose to a Transmission Owner any User Data or Transmission Information specified in Schedules Five, Six, or Seven and forming part of a NGET Construction Application or Schedules Eleven or Thirteen.

**Insert the following new paragraphs as Schedule Thirteen:**

**SCHEDULE THIRTEEN**

**NGET REQUESTS FOR STATEMENTS OF WORKS**

- 1. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1:**
- 1.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1 shall contain the following information:
- 1.1.1 The User Notification Date.
- 1.1.2 The name of the Connection Site.
- 1.1.3 Standard Planning Data.
- 1.1.4 The capacity of the Power Station connecting to the User's Distribution System.
- 1.1.5 The proposed date of connection of the Power Station.
- 2. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2:**
- 2.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2 shall contain the following information:
- 2.1.1 The User Notification Date.
- 2.1.2 Standard Planning Data.
- 2.1.3 The capacity of the Power Station connecting to the User's Distribution System.
- 2.1.4 The proposed date of connection of the Power Station.
- 3. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3:**

3.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3 shall contain the following information:

3.1.1 The User Notification Date.

3.1.2 The proposed date of connection of the Power Station.

**Amend and insert the following definitions in Section J:**

**“Embedded Power Station Notification”** a notification made by a User to NGET under and pursuant to the CUSC in order that the impact on the GB Transmission System of a Power Station connecting to that User’s Distribution System may be assessed;

**“Embedded Power Station Notification Project”** a project relating to an Embedded Power Station Notification;

**“NGET Notification Date”** in respect of each Transmission Owner, the date on which such Transmission Owner receives an effective NGET Request for a Statement of Works in relation to an Embedded Power Station Notification Project;

**“NGET Request for a Statement of Works”** a request made by NGET to a Transmission Owner pursuant to Section D, Part Four, paragraph 1.1 in relation the assessment of the impact on the GB Transmission System of a Power Station connecting to a Distribution System and containing the information set out in Schedule 13;

**“Relevant Connection Site”** in respect of each Construction Project, ~~or~~ Exchange Rate Request or Embedded Power Station Notification;

(a) the Connection Site or New Connection Site which is the subject of the relevant User Application; or

(b) in the case of a User Application made to NGET by an Embedded User, the connection site of such Embedded User;

**“Statement of Works Assumptions Date”** in respect of each Transmission Owner, the date on which such Transmission Owner:

(a) receives Statement of Works Planning Assumptions from NGET pursuant to Section D, Part Four, paragraph 2.2; or

(b) receives notice that NGET does not intend to generate a set of Statement of Works Planning Assumptions under Section D, Part Four, paragraph 2.3,

in relation to the Embedded Power Station Notification Project to which such Statement of Works Planning Assumptions apply;

**“Statement of Works Party”** as defined in Section D, Part Four, paragraph 1.1;

**“Statement of Works Planning Assumptions”** as defined in Section D, Part Four, paragraph 2.1;

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<b>“System Construction”</b>	Transmission Reinforcement Works or any other Works <u>(except any Transmission Infrastructure Works)</u> required to be undertaken by a Transmission Owner in order to facilitate the use or change in use of the GB Transmission System by a User;
<b><u>“TO Statement of Works Notice”</u></b>	<u>as defined in Section D, Part Four, paragraph 3.1;</u>
<b><u>“Transmission Infrastructure Works”</u></b>	<u>any Changes to a Transmission Owner’s Transmission System not triggered by a TO Construction Agreement, including those potentially required prior to the Energisation of an Embedded Power Station Notification Project;</u>
<b><u>“User Notification Date”</u></b>	<u>the date of receipt by NGET of an effective Embedded Power Station Notification pursuant to the CUSC;</u>
<b>“Works”</b>	as the context admits or requires, Transmission Construction Works, <u>Transmission Infrastructure Works</u> , NGET Works and User Works.

## Part F - Text to give effect to the CA019 Alternative Amendment

Amend the following paragraph in Section D, Part Three:

### **PART THREE: OTHERTEC EXCHANGE**

Insert the following new paragraphs as Section D, Part Four:

### **PART FOUR: STATEMENT OF WORKS**

#### **1. STATEMENT OF WORKS PROCESS**

1.1 If NGET considers it may be necessary, it shall submit a NGET Request for a Statement of Works in accordance with paragraph 1.2 to:

1.1.1 the Transmission Owner, if any, whose Transmission System is located at the Relevant Connection Site;

1.1.2 any Transmission Owner in relation to whose Transmission System the Relevant Connection Site satisfies the criteria set out in Schedule Four; and

1.1.3 any Transmission Owner which does not receive a NGET Request for a Statement of Works pursuant to sub-paragraphs 1.1.1 or 1.1.2, but which:

1.1.3.1 otherwise receives Statement of Works Planning Assumptions pursuant to paragraph 2.2 in relation to the Relevant Connection Site; or

1.1.3.2 NGET otherwise identifies is likely to be required to submit a TO Statement of Works Notice in respect of the Embedded Power Station Notification Project.

(NGET and each Transmission Owner which receives a NGET Request for a Statement of Works shall be referred to in this Section as a “**Statement of Works Party**”).

1.2 NGET shall submit a NGET Request for a Statement of Works:

1.2.1 pursuant to sub-paragraphs 1.1.1 and 1.1.2, as soon as reasonably practicable, and in any event within three Business Days of the User Notification Date in relation to such Relevant Connection Site; and

1.2.2 pursuant to sub-paragraph 1.1.3, at the same time as Statement of Works Planning Assumptions are submitted to a Transmission Owner under paragraph 2.2 or, where applicable, at the same time as NGET gives a Transmission Owner notice under paragraph 2.3.

1.3 For the purposes of this Section D, Part Four, a NGET Request for a Statement of Works shall be deemed to be effective if it is complete and clear in all material respects.

1.4 If a Transmission Owner reasonably considers that a NGET Request for a Statement of Works is not effective it shall, as soon as reasonably practicable and in any event within five Business Days of receipt of the NGET Request for a Statement of Works, notify NGET of:

1.4.1 the detailed reasons why it considers the NGET Request for a Statement of Works is incomplete or unclear in a material respect; and

- 1.4.2 the amendments (including clarifications, additional information, data or other material) it considers are required to make the NGET Request for a Statement of Works effective,
- and shall otherwise use its best endeavours to liaise with and assist NGET (and, where reasonably requested by NGET, any relevant third parties) so that the NGET Request for a Statement of Works is made effective as soon as reasonably practicable. Any dispute in relation to the effectiveness of a NGET Request for a Statement of Works may be referred as a Dispute to the Authority in accordance with Section H, paragraph 4.1.
- 1.5 Each Transmission Owner shall charge NGET and NGET shall pay Engineering Charges in relation to a NGET Request for a Statement of Works in accordance with Schedule Ten.
- 1.6 NGET shall immediately notify each other Statement of Works Party following:
- 1.6.1 any change in the NGET Request for a Statement of Works or associated information provided to such Statement of Works Party; or
- 1.6.2 the withdrawal of the relevant Embedded Power Station Notification by a User, in which case such notice shall also constitute notice of a withdrawal by NGET of any relevant NGET Request for a Statement of Works.
- 2. PROVISION OF STATEMENT OF WORKS PLANNING ASSUMPTIONS FOLLOWING A NGET REQUEST FOR A STATEMENT OF WORKS**
- 2.1 In addition to Planning Assumptions used for general transmission planning pursuant to Section D, Part One, paragraph 2.2, NGET may, as a consequence of a relevant Embedded Power Station Notification, also generate a separate set of Planning Assumptions which take into account the power flows which NGET expects are likely to result from the Embedded Power Station Notification Project for use by each Transmission Owner only in the preparation of a TO Statement of Works Notice (“**Statement of Works Planning Assumptions**”).
- 2.2 If NGET generates Statement of Works Planning Assumptions, it shall do so as soon as reasonably practicable and, in any event, within five Business Days of the User Notification Date and shall:
- 2.2.1 immediately provide to each Transmission Owner such parts of the set of Statement of Works Planning Assumptions as NGET reasonably determines are likely to materially affect such Transmission Owner’s Transmission System; and
- 2.2.2 at the same time as Statement of Works Planning Assumptions are provided to any Transmission Owner(s) pursuant to sub-paragraph 2.2.1, either:
- 2.2.2.1 identify the NGET Request for a Statement of Works already submitted to such Transmission Owner under sub-paragraphs 1.1.1 or 1.1.2 to which the Statement of Works Planning Assumptions relate; or
- 2.2.2.2 submit a new NGET Request for a Statement of Works to such Transmission Owner pursuant to sub-paragraph 1.1.3.
- 2.3 NGET shall notify each Transmission Owner which receives a NGET Request for a Statement of Works as soon as reasonably practicable and, in any event, within two Business Days of the User Notification Date, if it does not intend to generate a set of Statement of Works Planning Assumptions in respect of the relevant Embedded Power Station Notification Project. Following such notice the general Planning Assumptions provided to Transmission Owners pursuant to Section D, Part One, paragraph 2.2 shall be deemed to also be Statement of Works Planning Assumptions for the purposes of such Embedded Power Station Notification Project.

- 2.4 NGET may, in its discretion, change a set of Statement of Works Planning Assumptions (including any deemed Statement of Works Planning Assumptions under paragraph 2.3) by giving notice to the relevant Transmission Owner(s), at any time up to the submission by the Transmission Owner(s) of the TO Statement of Works Notice to which such Statement of Works Planning Assumptions apply.
- 2.5 A Transmission Owner may submit a request to NGET for a change to Statement of Works Planning Assumptions it has received pursuant to paragraphs 2.2 or 2.4 or which have been deemed pursuant to paragraph 2.3, provided that such request shall contain a description (in reasonable but not excessive detail) of the reason(s) for the request.
- 2.6 If NGET receives a request for a change to Statement of Works Planning Assumptions pursuant to paragraph 2.5 it shall, as soon as reasonably practicable:
- 2.6.1 notify the Transmission Owner submitting the request and any other Transmission Owner, which is likely to be materially affected by the requested change, whether or not and, where relevant, how NGET intends to accommodate such request; and
- 2.6.2 where relevant, change and re-issue such Statement of Works Planning Assumptions accordingly.
- 2.7 A Transmission Owner may refer to the Authority as a Dispute in accordance with Section H, paragraph 4.1:
- 2.7.1 any notice received from NGET under 2.6.1; or
- 2.7.2 any failure by NGET to respond to a request made by such Transmission Owner under paragraph 2.5 within a reasonable period of time, taking into account the nature, complexity and urgency of the request.
- 2.8 Notwithstanding any request submitted by a Transmission Owner pursuant to paragraph 2.5 above, each Transmission Owner shall continue to take account the Statement of Works Planning Assumptions provided by NGET pursuant to sub-paragraph 1.1.3 (or deemed pursuant to paragraph 2.3), for the purposes of paragraph 3.3 of this Section D, Part Four, subject to any subsequent changes made to such Statement of Works Planning Assumptions by NGET under paragraphs 2.4 or 2.6 or any determination of a Dispute referred to the Authority pursuant to paragraph 2.7.
- 2.9 For the avoidance of doubt, any change made to Statement of Works Planning Assumptions pursuant to paragraphs 2.4 or 2.6 shall change the existing set of Statement of Works Planning Assumptions and shall not constitute a separate set of Statement of Works Planning Assumptions.
- 2.10 NGET shall act in accordance with Good Industry Practice in deciding whether to generate any set of Statement of Works Planning Assumptions and, where relevant, in generating or modifying such Statement of Works Planning Assumptions pursuant to this paragraph 2.
- 3. TO STATEMENT OF WORKS NOTICE**
- 3.1 Each Transmission Owner which receives a NGET Request for a Statement of Works shall provide a “TO Statement of Works Notice” to NGET, in accordance with paragraph 3.2. Such notice shall state whether or not:
- 3.1.1 such Transmission Owner requires Transmission Connection Asset Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User’s Distribution System; and

- 3.1.2 such Transmission Owner requires any other Works to be undertaken in respect of the relevant Embedded Power Station Notification Project prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System.
- 3.2 A Transmission Owner shall submit a TO Statement of Works Notice as soon as reasonably practicable but, in any event, on or before the later of:
- 3.2.1 twenty-five calendar days less one Business Day after the NGET Notification Date; and
- 3.2.2 twenty-three calendar days less one Business Day after the Statement of Works Assumptions Date.
- 3.3 NGET may refer as a Dispute to the Authority in accordance with Section H, paragraph 4.1, any TO Statement of Works Notice that a Transmission Owner does not require Works to be undertaken in respect of an Embedded Power Station Notification Project.
- 3.4 A Transmission Owner shall prepare each TO Statement of Works Notice so that, if the Embedded Power Station Notification Project to which it relates is constructed, such Transmission Owner would continue to comply with the obligations in respect of the planning and development of its Transmission System set out in Part One, paragraph 2.2 of this Section D by giving effect to such Works, except that:
- 3.4.1 for the purpose of Part One, paragraph 2.2, such Transmission Owner shall take into account Statement of Works Planning Assumptions provided to it under paragraph 2 (as modified or updated pursuant to paragraphs 2.4 or 2.6) in respect of the Embedded Power Station Notification Project in the place of any other Planning Assumptions; and
- 3.4.2 the technical design and operational criteria for the Relevant Connection Site shall be as set out in the NGET Request for a Statement of Works.
- 3.5 Following submission of a TO Statement of Works Notice by a Transmission Owner, the Transmission Owner shall notify NGET of the proposed date for completion of any Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System. Such notice shall be submitted to NGET as soon as reasonably practicable and, in any event, on or before the later of:
- 3.5.1 three months less thirteen Business Days after the NGET Notification Date; and
- 3.5.2 where relevant, three months less fifteen Business Days after the Statement of Works Assumptions Date.
- 3.6 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner requires Transmission Connection Asset Works to be undertaken, NGET may submit (and this will be deemed to be) an NGET Modification Application in respect of any Works identified in the TO Statement of Works Notice.
- 3.7 Where the TO Statement of Works Notice states that, pursuant to sub-paragraph 3.1.1, the Transmission Owner does not require Transmission Connection Asset Works to be undertaken but that, pursuant to sub-paragraph 3.1.2, the Transmission Owner requires other Works to be undertaken, such other Works shall be classed as Transmission Infrastructure Works.
- 3.8 Where such Transmission Infrastructure Works are required prior to the Energisation of the connection between the relevant Power Station and the User's Distribution System, and NGET:
- 3.8.1 NGET shall consider whether the relevant Power Station will be built, and if so, the proposed date of connection.

- 3.8.2 in accordance with Section D, Part One, paragraph 2.2.1 NGET shall update the Planning Assumptions to take account of the possible connection of the relevant Power Station and shall promptly provide such updated Planning Assumptions to the Transmission Owners to be used by them in planning and developing their Transmission Systems.
- 3.8.3 each Transmission Owner shall update its Transmission Investment Plan in accordance with Section D, Part One, paragraph 2.1.2;
- 3.8.4 NGET shall notify the Transmission Owners if the proposed date of connection for the relevant Power Station changes and update the Planning Assumptions accordingly;
- 3.8.5 each Transmission Owner shall notify NGET if the proposed date for completion of the Transmission Infrastructure Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System changes; and
- 3.8.6 each Transmission Owner shall notify NGET when the Transmission Infrastructure Works required to permit Energisation of the connection between the relevant Power Station and the User's Distribution System have been completed.

**Amend the following paragraph in Section H:**

- 4.8 In addition to those matters falling under paragraph 4.3, the following matters shall constitute a Dispute referable to the Authority by a Dispute Party under the Code only where such matter(s) materially adversely affect(s) that Dispute Party's ability to develop and maintain an efficient, co-ordinated and economical system of electricity transmission in Great Britain:
  - 4.8.1 a failure to agree a Services Restoration Proposal or any modification to a Services Restoration Proposal under Section C, Part One, paragraphs 4.7 and 4.8 or 4.9;
  - 4.4.2 a dispute in relation to either a request by NGET or the adequacy of preparatory steps taken by a Transmission Owner pursuant to Section C, Part One, paragraph 4.13;
  - 4.4.3 a dispute in relation to the manner in which matters contained in an Outage Proposal are included, or are not included, in an Outage Plan pursuant to Section C, Part Two, paragraph 2.4;
  - 4.4.4 a failure to agree in relation to any Outage Plan or Outages Implementation Process pursuant to Section C, Part Two, paragraphs 5.7, 6.1 or 6.5;
  - 4.4.5 a dispute in relation to a direction issued by NGET regarding discontinuation of an Outage or Outages pursuant to Section C, Part Two, paragraph 7.1;
  - 4.4.6 a dispute in relation to a request for a change to Planning Assumptions pursuant to Section D, Part One, paragraph 2.2;
  - 4.4.7 a dispute in relation to a Planning Request pursuant to Section D, Part One, sub-paragraph 2.4.4;
  - 4.4.8 a dispute in relation to the reasonableness of a request by NGET for information pursuant to Section D, Part One, sub-paragraph 2.6.2;
  - 4.4.9 a dispute in relation to a the effectiveness of a NGET Construction Application pursuant to Section D, Part Two, paragraph 2.5;

- 4.4.17 a dispute in relation to a request for a change to Construction Planning Assumptions pursuant to Section D, Part Two, paragraph 3.7;
- 4.4.11 a dispute in relation to a notice by the Transmission Owner that it does not intend to submit a TO Construction Offer or a notice of any assumptions which a Transmission Owner intends to make in relation to User Equipment at a Relevant Connection Site pursuant to Section D, Part Two, paragraph 4.3;
- 4.4.12 a dispute in connection with a TO Construction Offer pursuant to Section D, Part Two, paragraph 5.2; ~~and~~
- 4.4.13 a failure to agree Communications Plant under Section D, Part Two, paragraph 9.1.;
- 4.4.14 dispute in relation to the effectiveness of a NGET Request for a Statement of Works pursuant to Section D, Part Four, paragraph 1.4;
- 4.4.15 dispute in relation to a request for a change to Statement of Works Planning Assumptions pursuant to Section D, Part Four, paragraph 2.7; and
- 4.4.16 a dispute in relation to a TO Statement of Works Notice by the Transmission Owner that it does not require Works to be undertaken in respect of an Embedded Power Station Notification Project pursuant to Section D, Part Four, paragraph 3.3.

**Amend the following paragraph in Schedule Three:**

- 2.1.5 NGET may Disclose to a Transmission Owner any User Data or Transmission Information specified in Schedules Five, Six, or Seven and forming part of a NGET Construction Application or Schedules ~~Eleven~~ or Thirteen.

**Insert the following new paragraphs as Schedule Thirteen:**

**SCHEDULE THIRTEEN**

**NGET REQUESTS FOR STATEMENTS OF WORKS**

- 1. **Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1:**
  - 1.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.1 shall contain the following information:
    - 1.1.1 The User Notification Date.
    - 1.1.2 The name of the Connection Site.
    - 1.1.3 Standard Planning Data.
    - 1.1.4 The capacity of the Power Station connecting to the User's Distribution System.
    - 1.1.5 The proposed date of connection of the Power Station.
- 2. **Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2:**

- 2.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.2 shall contain the following information:
- 2.1.1 The User Notification Date.
  - 2.1.2 Standard Planning Data.
  - 2.1.3 The capacity of the Power Station connecting to the User's Distribution System.
  - 2.1.4 The proposed date of connection of the Power Station.
3. Requirements for a NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3:
- 3.1 A NGET Request for a Statement of Works submitted by NGET to a Transmission Owner pursuant to Section D, Part Four, sub-paragraph 1.1.3 shall contain the following information:
- 3.1.1 The User Notification Date.
  - 3.1.2 The proposed date of connection of the Power Station.

**Amend and insert the following definitions in Section J:**

- "Embedded Power Station Notification"** a notification made by a User to NGET under and pursuant to the CUSC in order that the impact on the GB Transmission System of a Power Station connecting to that User's Distribution System may be assessed;
- "Embedded Power Station Notification Project"** a project relating to an Embedded Power Station Notification;
- "NGET Notification Date"** in respect of each Transmission Owner, the date on which such Transmission Owner receives an effective NGET Request for a Statement of Works in relation to an Embedded Power Station Notification Project;
- "NGET Request for a Statement of Works"** a request made by NGET to a Transmission Owner pursuant to Section D, Part Four, paragraph 1.1 in relation the assessment of the impact on the GB Transmission System of a Power Station connecting to a Distribution System and containing the information set out in Schedule 13;
- "Relevant Connection Site"** in respect of each Construction Project, ~~or~~ Exchange Rate Request or Embedded Power Station Notification:
- (a) the Connection Site or New Connection Site which is the subject of the relevant User Application; or
  - (b) in the case of a User Application made to NGET by an Embedded User, the connection site of such Embedded User;

**“Statement of Works Assumptions Date”**

in respect of each Transmission Owner, the date on which such Transmission Owner:

- (a) receives Statement of Works Planning Assumptions from NGET pursuant to Section D, Part Four, paragraph 2.2; or
- (b) receives notice that NGET does not intend to generate a set of Statement of Works Planning Assumptions under Section D, Part Four, paragraph 2.3,

in relation to the Embedded Power Station Notification Project to which such Statement of Works Planning Assumptions apply;

**“Statement of Works Party”**

as defined in Section D, Part Four, paragraph 1.1;

**“Statement of Works Planning Assumptions”**

as defined in Section D, Part Four, paragraph 2.1;

**“System Construction”**

Transmission Reinforcement Works or any other Works (except any Transmission Infrastructure Works) required to be undertaken by a Transmission Owner in order to facilitate the use or change in use of the GB Transmission System by a User;

**“TO Statement of Works Notice”**

as defined in Section D, Part Four, paragraph 3.1;

**“Transmission Infrastructure Works”**

any Changes to a Transmission Owner’s Transmission System not triggered by a TO Construction Agreement, including those potentially required prior to the Energisation of an Embedded Power Station Notification Project;

**“User Notification Date”**

the date of receipt by NGET of an effective Embedded Power Station Notification pursuant to the CUSC;

**“Works”**

as the context admits or requires, Transmission Construction Works, Transmission Infrastructure Works, NGET Works and User Works.

### Annex 3 - Copies of Comments received on the Proposed Amendment Report

This Annex includes copies of any representations received following circulation of the Proposed Amendment Report (circulated on [date], requesting comments by close of business on [date]).

Representations were received from the following parties:

No.	Company	File Number
1		CA016/017/019-AR-01