

SCHEDULE THREE

INFORMATION AND DATA EXCHANGE SPECIFICATION

This Schedule sets out the information and data permitted to be Disclosed by a Party to a Transmission Owner in accordance with Section F of the Code.

1. Information and Data Exchange During the Transition Period

During the Transition Period, a Party may Disclose to a Transmission Owner such information and data as shall:

- 1.1 be reasonably requested by a relevant Party or Parties for the purpose of Section I and approved by the Authority from time to time; or
- 1.2 otherwise be notified by the Authority from time to time.

2. Information and Data Exchange Other than During the Transition Period

2.1 General Principles

2.1.1 For the purposes of this Schedule Three:

- (a) "**BM Unit**" as defined in the Grid Code as at the Code Effective Date;
- (b) "**Boundary of Influence**" in relation to a Transmission System, means the area identified as the boundary of influence for such Transmission System in Schedule Four;
- (c) "**Demand**" as defined in the Grid Code as at the Code Effective Date;
- (d) "**De-synchronised Island Procedure**" as defined in the Grid Code as at the Code Effective Date;
- (e) "**Export and Import Limits**" shall have the same meaning as the term "Export and Import Limits" in the Grid Code as at the Code Effective Date;
- (f) "**Generating Unit**" as defined in the Grid Code as at the Code Effective Date;
- (g) "**Ranking Order**" means The Company's forecast of available Generating Units, listed in order of likely operation, whose generated output would contribute to meeting forecast Demand;

- (h) **"Receiving Transmission Owner"** means a Transmission Owner to whom information is Disclosed;
- (i) **"Relevant Unit"** means any Generating Unit, Power Station, Plant or Apparatus forming part of a Power Station, Non-Embedded Customer or User System which is:
 - (a) Connected to, or is otherwise Connected within the Boundary of Influence of, a Receiving Transmission Owner's Transmission System; or
 - (b) directly connected to a User System which is Connected to, or is otherwise Connected within the Boundary of Influence of, such Transmission Owner's Transmission System.
- (j) **"FES Scenarios"** means the forecast future generation (listed in order of likely operation) and Demand backgrounds to be provided by The Company which are to be utilised for the purposes of the development of the Network Options Assessment.
- (k) **"Network Options Assessment"** means the process and the report produced by The Company in accordance with condition C13 of its **ESO Licence**(The Network Options Assessment process and reporting requirements).

2.1.2 A Party may Disclose any information or data to a Transmission Owner other than User Data or Transmission Information, which may only be Disclosed in accordance with this Schedule Three.

2.1.3 Where required to Disclose User Data or Transmission Information to a Transmission Owner, in accordance with a provision of this Code, a Party shall:

- (a) only Disclose User Data or Transmission Information which, in its reasonable opinion, is necessary for the Receiving Transmission Owner to comply with this Code or a TO Construction Agreement;
- (b) be entitled to Disclose Transmission Information derived from information already held by the Receiving Transmission Owner or derived from information which a Party is permitted to Disclose to such Transmission Owner; and
- (c) be entitled to Disclose correction(s) to any error(s) in User Data or Transmission Information previously Disclosed by it to the Receiving Transmission Owner.

2.1.4 For the avoidance of doubt:

- (a) nothing in this Schedule Three shall be taken to require a Party to Disclose User Data or Transmission Information to a Transmission Owner;
- (b) sub-paragraph 2.1.3(c) is limited to the correction of errors and shall not permit a Party to update User Data or Transmission Information held by a Transmission Owner other than in accordance with the process or timeframe specified for such updates in this Code; and
- (c) Transmission Information shall not include information related to or forming part of any administrative process under this Code including, without limitation, invoices, credit notes, contact details of staff and office locations.

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

2.1.6 Without limitation to sub-paragraph 2.1.5, a Party may disclose to a Transmission Owner any Transmission Information or User Data necessary for the Receiving Transmission Owner and the Party Disclosing such Transmission Information or User Data to harmonise:

- (a) their TO Offers for a Construction Project
- (b) their preparation of Network Options for The Company
 - (i) as part of the annual Network Options Assessment
 - (ii) as part of the development of Strategic Wider Works submissions
 - (iii) as part of the development of small TO schemes
- (c) their respective design options following, or as part of, any feasibility studies being undertaken in respect of a proposed Construction Project.

2.2 **General Transmission Information**

2.2.1 A Party may Disclose the following Transmission Information to a Transmission Owner:

- (a) specifications of any current or future IT or communications system(s) of the Disclosing Party and the operation and maintenance of such system(s);
- (b) information incidental to the development of the form of any Services Capability Specification;

- (c) information incidental to Party Entry Processes or Decommissioning Actions;
- (d) any information in, or related to the development of, a Restoration Plan or De-synchronised Island Procedure for the Receiving Transmission Owner's Transmission System;
- (e) information forming part of or related to the conduct of a Joint Investigation;
- (f) numbering or nomenclature information;
- (g) information for the purpose of safety co-ordination including, without limitation, Safety Rules, Site Responsibility Schedules and Local Safety Instructions;
- (h) information related to the development or conduct of tests, but not including the results of such tests (except and to the extent that such results are otherwise permitted to be Disclosed under this Schedule Three);
- (i) information related to the subject matter of any Dispute referred to arbitration under Section D, paragraph 5 or an Independent Engineer under a Construction Agreement;
- (j) information in relation to any direction or notice issued or proposed by The Company in respect of Nuclear Installations under Section G, paragraph 3;
- (k) technical or other information under Section G, paragraph 6, following the disposal or the whole or any part of the Disclosing Party's business or undertaking;
- (l) information forming part of any notice of Force Majeure;
- (m) technical information for the modelling of control systems included in an Offshore Transmission System to provide dynamic control of reactive capability and voltage in accordance with Section K of this STC; and
- (n) technical information for the modelling of control systems included in an embedded HVDC scheme or 'bootstrap'.

2.2.2 Where information is being Disclosed under Party Entry Processes, a Party may Disclose to a Transmission Owner pursuant to the Party Entry Processes any information which would otherwise be permitted to be Disclosed to such Transmission Owner if the Party Entry Processes were completed and all relevant parts of the Code applied to the entering Party who is the subject of the Part Entry Processes at the time of the Disclosure.

2.3 **Transmission Information required for the configuration and operation of the National Electricity Transmission System**

2.3.1 The Company may Disclose the following Transmission Information to a Transmission Owner in relation to such Receiving Transmission Owner's Transmission System or any neighbouring circuits of a neighbouring Transmission System which are directly connected to the Receiving Transmission Owner's Transmission System:

- (a) information related to the actual or designed physical properties, including, but not limited to:
 - (i) the voltage of any part;
 - (ii) the electrical current flowing in or over any part;
 - (iii) the temperature of any part;
 - (iv) the pressure of any fluid part;
 - (v) the electromagnetic properties of any part; and
 - (vi) the technical specifications, settings or operation of any Protection Systems associated with any part;
- (b) any estimation made by The Company of the physical properties referred to in sub-paragraph (a);
- (c) details of and reasons for Operational Capability Limits or other limits or conditions notified pursuant to Section C, Part One, paragraph 4.14 being exceeded or breached on the Receiving Transmission Owner's Transmission System;
- (d) details of any Event, Significant Incident or other circumstance which will or is likely to materially affect the provision of Transmission Services by the Receiving Transmission Owner including, but not limited to, the information set out in Section C, Part Three, sub-paragraph 4.1.4; and
- (e) information in respect of a Disaster Recovery Plan or System Incident Centre.

2.3.2 A Party may Disclose to a Transmission Owner Transmission Information including, but not limited to, the matters set out in sub-paragraphs 2.4.7(a)-(g), related to the past or present physical properties, including both actual and designed physical properties, of any circuits of the Disclosing Party's Transmission System which are directly connected to the Receiving Transmission Owner's Transmission System.

2.3.3 Any Party may Disclose to a Transmission Owner, Transmission Information related to the current or future configuration of:

- (a) the Receiving Transmission Owner's Transmission System; and
- (b) any circuits of a neighbouring Transmission System which are directly connected to the Receiving Transmission Owner's Transmission System.

2.4 User Data

2.4.1 A Party may Disclose the following User Data to a Transmission Owner:

- (a) numbering or nomenclature information;
- (b) information which has been made available in accordance with the CUSC to all CUSC Parties (including where such information is made available pursuant to the Grid Code);
- (c) information which has been made available in accordance with the BSC to all BSC Parties;
- (d) information for the purpose of safety co-ordination including, without limitation, Safety Rules, Site Responsibility Schedules and Local Safety Instructions;
- (e) information specified in the Grid Code; and
- (f) the Export and Import Limits of a Relevant Unit as part of the implementation of a Restoration Plan or De-synchronised Island Procedure.

2.5 Investment Planning Data

2.5.1 A Party may Disclose to a Transmission Owner,

- (a) where the Disclosing Party is The Company:
 - (i) NGET's forecast(s) of the Ranking Order for the National Electricity Transmission System, specifying:
 - a. relevant individual Generation Units connected to the Receiving Party's Transmission System or connected within the Boundary of Influence of such Transmission System; and
 - b. relevant aggregations of Generation Units connected outside of the Boundary of Influence of such Transmission System,

at any time or times during the current or following nine Financial Years or more subject to agreement by the Joint Planning Committee or a sub-group thereof;

(ii) lists of all Generation Units which The Company forecasts will be synchronised to meet specified levels of Demand on the National Electricity Transmission System in the current and following nine Financial Years or more subject to agreement as above, including, but not limited to:

- a. the forecast minimum Demand;
- b. 60% of the forecast peak Demand;
- c. the forecast peak Demand;
- d. and at other levels of demand and generation plant mix as agreed in advance by the parties where deemed necessary:

(iii) the high level results of any economic studies undertaken for the purpose of assessing options for investment planning or Construction Projects, in each case involving the Receiving Transmission Owner, but not including the detailed content or analysis in such studies; and

(b) any changes which the Disclosing Party is planning to undertake to its Transmission System in the current or following nine Financial Years or more as agreed above, and which will materially affect the planning or development of the Receiving Transmission Owner's Transmission System as are located within the Boundary of Influence of the Disclosing Party's Transmission System.

2.5.2 A Party may Disclose to a Transmission Owner any part(s) of:

- (a) the Final Generation Outage Programme for Years 3 to 5 agreed pursuant to OC2.4.1.2.1(j) of the Grid Code;
- (b) any updated proposed Generation Outage Programme submitted to The Company under OC2.4.1.2.2(a) of the Grid Code; or
- (c) the revised Final Generation Outage Programme for Year 1 and Year 2 agreed pursuant to OC2.4.1.2.2(i) of the Grid Code,

which relates to outages or proposed outages of Relevant Units.

2.5.3 A Party may Disclose to a Transmission Owner information related to the past or present physical properties, including both actual and designed physical properties, of Plant and Apparatus forming part of any Relevant Units including, but not limited to:

- (a) the voltage of any part of such Plant and Apparatus;
- (b) the electrical current flowing in or over such Plant and Apparatus;
- (c) the configuration of any part of such Plant and Apparatus;
- (d) the temperature of any part of such Plant and Apparatus;
- (e) the pressure of any fluid forming part of such Plant and Apparatus
- (f) the electromagnetic properties of such Plant and Apparatus; and
- (g) the technical specifications, settings or operation of any Protection Systems forming part of such Plant and Apparatus.

2.6 Construction Projects

2.6.1 The Company may Disclose the following Transmission Information and User Data to a Transmission Owner which is party to a TO Construction Agreement provided that Disclosure is only made in connection with such TO Construction Agreement:

- (a) information about any Consents which materially affect the Works being undertaken by the Receiving Transmission Owner as part of the relevant Construction Project;
- (b) information related to commissioning or on-load testing;
- (c) information incidental to the disconnection of Users or removal of User Equipment or Plant and Apparatus;
- (d) information in relation to the sub-contractors of the relevant User;
- (e) the grounds for any discontinuation, postponement or delay of Works or other activities under paragraph 2.10 of the Construction Agreement;
- (f) regulations in relation to site access made by a relevant site owner or occupier;
- (g) information forming part of, or incidental to the development of, the Construction Programme or Commissioning Programme, including information in relation to User Works where this is necessary for the

development of such Construction Programme or Commissioning Programme;

- (h) reasons for any delay in the performance of a Construction Programme or Commissioning Programme;
- (i) any statement of Liquidated Damages; and
- (j) information related to the selection of an Independent Engineer.

2.7 Network Options Assessment Data

2.7.1 A Party may Disclose to a Transmission Owner:

- (a) where the Disclosing Party is The Company the FES Scenarios; and
- (b) the results of its assessments undertaken in connection with the development of the Future Energy Scenarios which will affect the assessments undertaken by another Transmission Owner in respect of its Transmission System;
- (c) where the Disclosing Party is The Company, the Network Options of one Transmission Owner to another Transmission Owner within a relevant Boundary of Influence, in accordance with a procedure agreed by the Joint Planning Committee or sub-group thereof.

2.7.2 A Transmission Owner may disclose to The Company:

- (a) a cost breakdown of the Transmission Connection Assets, the GAV and the risk margin
- (b) where no cost data is provided by the Transmission Owner to the agreed delivery timetable for NOA, The Company shall use substituted data. The Company shall indicate within the published report that Transmission Owner data was not received, that substituted data were used and how these data were derived. In such circumstances The Company shall inform the Transmission Owner of the data that have been substituted and how these data were derived.