

STCP18-4 Issue 006: Request for a Statement of Works

STC Procedure Document Authorisation

| Party | Name of Party Representative | Signature | Date |
|--|-------------------------------------|------------------|-------------|
| The Company | | | |
| National Grid Electricity Transmission plc | | | |
| SP Transmission plc | | | |
| Scottish Hydro Electric Transmission plc | | | |
| Offshore Transmission Owners | | | |

STC Procedure Change Control History

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|-----------|------------|--|
| Issue 001 | 23/03/2007 | First Issue |
| Issue 002 | 17/12/2009 | Issue 002 incorporating changes for offshore regime. |
| Issue 003 | 27/05/2017 | Issue 003 Introduction of Lead Person(s) and Admin updates |
| Issue 004 | 01/04/2019 | Issue 004 incorporating National Grid Legal Separation changes |
| Issue 005 | 09/05/2019 | Housekeeping Modification to align STCP18-1 - STCP18-6 with existing working practices |
| Issue 006 | 25/04/2023 | Issue 006 incorporating use of 'The Company' definition as made in the STC PM0130 |

1 Introduction

1.1 Scope

1.1.1 This process defines the data exchange required between The Company, as defined in the STC and meaning the licence holder with system operator responsibilities, and the TO(s) for the purposes of User Applications for [the Evaluation of Transmission Impact Assessment, Requests for Statements of Works and Transmission Impact Assessments.](#)

1.1.2 This procedure describes [the following](#):

1.1.2.1 [The process of how TO\(s\) respond to a The Company Request Evaluation of Transmission Impact Assessment for a Statement of Works as a result of a User \(the DNO\) applying to The Company for a Request for a Statement of Works or Transmission Impact Assessment.](#)

1.1.2.2 [It defines the tasks, formal documentation, interface requirements, timescales and responsibilities between The Company and the Host TO, Affected TO\(s\) and Other Affected TO\(s\) from receipt of such Request for Evaluation of Transmission Impact Assessment, Request for Statement of Works, through production of TO Statement of Works Notices, to either the closure of the Statement of Works \(SoW\) Analysis or the further progression of the project through STCP18-1 Connection and Modification Application or Transmission Impact Assessment.](#)

1.1.2.3 [The process for the Evaluation of Transmission Impact assessment \(ETI\) which must be carried out prior to any individual or collectively relevant embedded generation that has a Significant Impact on the NETS connects to the network. The ETI process output determines whether reinforcement works are required or not allowing for either the Statement of Works process or Transmission Impact Assessment process to be followed.](#)

1.1.2.4 [The Transmission Impact Assessment process whereby generation capacity is managed \(subject to reinforcement works\) for the connection of single or collective embedded generation whilst providing monthly progress updates on the connected volume.](#)

1.1.2.5 [The data exchange requirements in order for The Company to determine when a single or collectively relevant connection of generator\(s\) has a significant impact on the NETS in the form of trigger criteria for each GSP.](#)

4.1.2

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1.1.3 This procedure applies to The Company and each TO.

1.1.4 For the purposes of this document, the TOs are:

- NGET;
- SPT;
- SHET; and
- All Offshore Transmission Licence holders as appointed by Ofgem from time to time.

1.2 Objectives

1.2.1 The objective of this procedure is to detail:

- how the Request for a Statement of Works is addressed across The Company ~ TO interface and the TO ~ TO interface;
- how the request for a Transmission Impact Assessment is addressed across the The Company-TO interface and the TO-TO interface
- the requirements for exchange of information in relation to these activities; and
- the lines of communication to be used.
- the Significant Impact Criteria requirements for the TO to supply to The Company at each GSP.
- The process for establishing and renewing reference Materiality Trigger limit values.

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2 Key Definitions

2.1 For the purposes of STCP18-4:

2.1.1 **Affected Parties** means the Host TO, Affected TO(s) and Other Affected TO(s), as appropriate, involved in assessing a The Company Request for a Statement of Works relating to a particular Request for Statement of Works.

2.1.2 **Affected TO(s)** means any Transmission Owner whose Transmission System would be affected by the proposed Statement of Works Project and satisfies the criteria set out in the STC, Schedule Four. [See STC Section D, Part 4, paragraph 1.1.2]

2.1.3 **Application Programme** means a programme to manage the application process and forms part of the Statement of Works Briefing Note. The Application Programme lists the milestones and the dates agreed by all parties are inserted.

2.1.4 **Developer** means the party responsible for applying to the DNO in respect of the Relevant Embedded Power Station which is to be connected to that DNO network,

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and which is the subject of the Request for a Statement of Works. For the avoidance of doubt, in Scotland the provisions will only be applicable to Small Power Stations.

2.1.42.1.5 **ETI (Evaluation of Transmission Impact)** is an assessment process whereby upon application a TO supplies The Company with a reference capacity available at a GSP subject to reinforcement works being carried out.

2.1.52.1.6 **Host TO** means the Transmission Owner to which the DNO (who the Developer is applying for connection to) is connected.

2.1.62.1.7 **Lead Person(s)** means representatives from The Company, the Host TO, Affected TO(s) and Other Affected TO(s) (as appropriate), the “Lead Person(s)”, shall oversee the application process. The remit of the Lead Person(s) is to agree the Application Programme, monitor progress and agree any changes. The Lead Person(s) are also responsible for resolving any disagreements relating to a The Company TEC Exchange Rate Application at first instance, prior to any necessary escalation. Dialogue will take place in person, by email, telephone or video conferencing as appropriate.

2.1.8 **Material Impact** means anything that The Company or an Affected Party reasonably assess would prevent The Company notifying the User of the outcome of the Request for a Statement of Works.

2.1.72.1.9 **Materiality Trigger** means a reference mega-watt (MW) limit determined by the relevant TO in relation to a specific GSP for a specific connected DNO to enable management of relevant small and relevant medium embedded generation without requiring individual Statement of Works referrals in most cases. The reference capacity is related to the difference between the relevant rating of local or regional transmission assets and the connected and relevant contracted usages (both directly transmission connected and embedded DNO connected). For the avoidance of doubt the Materiality Trigger of additional capacity may be 0MW where the current contracted usages of the relevant transmission system mean that there is no additional capacity for new connections until transmission works are completed.

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2.1.82.1.10 **Named Contact** means in terms of the TO, the person to initially receive The Company Request for a Statement of Works, and in terms of The Company, the person to whom a Request for a Statement of Works is sent in accordance with the CUSC.

2.1.92.1.11 **Other Affected TO(s)** means any Transmission Owner who is not a Host TO or an Affected TO, but which receives Statement of Works Planning Assumptions or The Company otherwise identifies that it is likely to be required to submit to The Company a TO Statement of Works Notice in respect of the Statement of Works Project.

2.1.102.1.12 **SoW Analysis** means all work relating to the assessment of a The Company Request for a Statement of Works.

2.1.112.1.13 **SoW Analysis Closure Process** means the process to be followed when the SoW Analysis has been completed, and is as defined in section 3.3 of this STCP.

2.1.122.1.14 **Site Specific Requirements** means any technical design or operational criteria that a TO has assumed will apply to User Equipment at the Relevant Connection Site in assessing a The Company Request for a Statement of Works.

2.1.132.1.15 **Statement of Works Briefing Note** means the note that is provided from The Company to the TO to update the status and details of the application (see proforma in Appendix B).

2.1.16 **Statement of Works Charges Report** is a report produced by a TO on completion of a Scheme and includes the information specified in section 3.3.2 of this STCP.

2.1.142.1.17 **Significant Impact Criteria** consists of Active Power, Apparent Power, Reactive Power or Amperage. Any single or collective embedded generation planned to be connected by the DNO that exceeds any of these limits would be

considered a significant impact on the transmission network which will require an ETI to be carried out prior to connecting.

2.1.18 Submission Date is the date on which a TO submits a TO Statement of Works Notice to The Company.

2.1.152.1.19 TIA, Transmission Impact Assessment is a process used to assess the impact of embedded connections and mitigates the need for a Statement of Works application. The DNO is provided with a TO developed reference Materiality Trigger limit at a GSP and establishes an enduring TIA with regular updates provided.

2.1.162.1.20 User is as defined in the CUSC, but in this instance refers only to a DNO.

3 Procedure

3.1 Nuclear Site Licence Provision

3.1.1 When following this process where this may interact with, impact upon or fall within the boundary of a Nuclear Site Licence holder's site, or may otherwise have any form of affect and/or implication for a nuclear power station, consideration must be given to the relevant provisions of the applicable Nuclear Site Licence Provisions Agreement, the CUSC Bilateral Connection Agreement for that site, paragraph 6.9.4 of the CUSC and Section G3 of the STC to ensure compliance with all of these obligations.

3.2 Basic Process Introduction

3.2.1 The ETI process sets out the trigger criteria for the DNOs to enable them to make either a Statement of Works (or straight to project progression) or a Transmission Impact Assessment application.

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3.2.2 The TIA is a process which facilitates the application for relevant embedded small, relevant embedded medium, or 'collectively relevant' embedded power stations on an aggregated basis as detailed in Section 4 of this document.

3.3 Evaluation of Transmission Impact

3.3.1 The Evaluation of Transmission Impact Assessment may require the TO to supply The Company with the Significant Impact Criteria for Active Power (MW), Apparent Power (MVA), Reactive Power (MVAR), Amperage (KA) at each GSP. The TO will supply the Significant Impact Criteria to The Company on a timetable agreed with The Company.

3.3.2 The DNOs will use the Significant Impact Criteria to determine whether any single or collection of embedded generation to be connected within their network will exceed any of the Criteria on the GSP and therefore require an Evaluation of Transmission Impact Assessment to take place.

3.3.3 Significant Impact Criteria should be created following the commissioning of any new GSP.

3.23.4 Statement of Works

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3.2.13.4.1 The Company receives the Request for Statement of Works

3.2.1.13.4.1.1 The Company Named Contact shall receive a completed Request for Statement of Works proforma from a User. This may include the results of any feasibility study work.

3.2.23.4.2 The Company checks the User Application

3.2.2.13.4.2.1 The Company Named Contact shall appoint The Company Lead Person. The Company Lead Person shall check that the Request for Statement of Works is completed correctly. Where the Request for Statement of Works is not completed correctly, The Company Lead Person shall inform the User as soon as they determine that it is not correct.

3.2.2.23.4.2.2 The Company Lead Person shall determine who is the Host TO, Affected TO(s) and Other Affected TO(s).

3.2.2.33.4.2.3 The Company Lead Person shall utilise the information in the Request for Statement of Works to produce The Company Request for a Statement of Works, in accordance with Schedule 13 of the STC, for each of the Affected Parties. The Company Lead Person shall initially complete the appropriate Statement of Works Briefing Notes, with details from the Request for a Statement of Works, the draft Application Programme dates, the Affected Parties, The Company Lead Person and a The Company unique SoW Analysis number.

3.2.2.43.4.2.4 Within 3 Business Days of receipt of the Request for Statement of Works, The Company Lead Person shall send by e-mail and by post the relevant The Company Request for a Statement of Works and the appropriate Statement of Works Briefing Note to the TO Named Contacts.

3.2.2.53.4.2.5 The Company Request for a Statement of Works will be sent to the Affected Parties within 3 Business Days of receipt of the User Application, regardless of whether the User Application is effective or not, so that the TO(s) are aware a Request for Statement of Works has been received. Should any Party decide to undertake any work on The Company Request for a Statement of Works before it is effective, then this will be at such Party's own risk.

3.2.2.63.4.2.6 An effective The Company Request for a Statement of Works is one that is technically effective and The Company has informed the TO via the appropriate Statement of Works Briefing Note that the Application Fee has been cleared.

3.2.33.4.3 Receipt of a The Company Request for a Statement of Works acknowledged by TO(s)

3.2.3.13.4.3.1 Within 2 Business Days of receipt of The Company Request for a Statement of Works, the Affected Parties shall acknowledge receipt of The Company Request for a Statement of Works to The Company Lead Person by e-mail, and advise The Company Lead Person of the name and contact details of their Lead Person. The Company Lead Person shall update the Statement of Works Briefing Notes with details of the Lead Person of the Affected Parties to whom all formal communication for the application will be addressed. The Company Lead Person shall e-mail the

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appropriate updated Statement of Works Briefing Notes to the Affected Parties' Lead Person(s).

[3.2.3.23.4.3.2](#) The Company Lead Person and Affected Parties Lead Person(s) shall agree the date to meet to discuss the Application Programme, and The Company shall enter this date on the Statement of Works Briefing Notes.

[3.2.43.4.4](#) **Application fee not cleared**

[3.2.4.13.4.4.1](#) If the Application Fee has not cleared, The Company Lead Person shall seek to obtain the Application Fee from the User.

[3.2.53.4.5](#) **The Company confirms that Application Fee cleared**

[3.2.5.13.4.5.1](#) When the Application Fee is cleared, The Company Lead Person shall update the Statement of Works Briefing Notes with the clearance date and e-mail the appropriate Statement of Works Briefing Notes to the Affected Parties' Lead Person(s).

[3.2.5.23.4.5.2](#) The TO(s) shall invoice The Company with their relevant TO component of the Application Fee in accordance with STCP 19-6 Application Fees.

[3.2.63.4.6](#) **The Company shall be informed as to whether The Company Request for a Statement of Works is technically effective or not**

[3.2.6.13.4.6.1](#) Within 5 Business Days of receipt of The Company Request for a Statement of Works, the Affected Parties Lead Person(s) shall notify The Company Lead Person by e-mail, as to whether The Company Request for a Statement of Works is technically effective or not. Where The Company Request for a Statement of Works is considered to be technically non-effective, then the Affected Parties Lead Person(s) shall e-mail to The Company Lead Person with detailed reasons as to why it considers it incomplete or unclear in a material respect and the amendments it considers are required to make it technically effective. The Host TO will also identify the DNO network data required to process The Company Request for a Statement of Works.

[3.2.73.4.7](#) **User and TO(s) shall be informed that User Application is technically non-effective**

[3.2.7.13.4.7.1](#) A technically non-effective Request for Statement of Works is one where all technical data (both data received by the User from the Developer and the User's DNO network data) has not been received.

[3.2.7.23.4.7.2](#) If the Request for Statement of Works is technically non-effective, The Company Lead Person shall inform the User of what data is missing. The Company Lead Person shall ask the User for any missing data from the Developer or for any DNO network data identified as being required by the Host TO in section [3.4.6.13.2.6.4](#). The Company Lead Person shall update the Statement of Works Briefing Notes with the date the User was contacted and e-mail the appropriate Statement of Works Briefing Notes to the Affected Parties.

[3.2.83.4.8](#) **Resolve technical non-effectiveness**

[3.2.8.13.4.8.1](#) Where a The Company Request for a Statement of Works is technically non-effective as a consequence of the Request for Statement of Works being technically non-effective, the Affected Parties shall use reasonable endeavours to liaise and assist The Company to resolve their elements of the technical non-effectiveness. In order to achieve this, The Company may request the TO to resolve the technical non-effectiveness with the User directly.

[3.2.8.23.4.8.2](#) If the User cannot submit the data (e.g. because data is not available for new technology) then the Lead Person(s) shall assess and advise the Parties whether to progress The Company Request for a Statement of Works or not and note/agree

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any assumptions made. If The Company Request for a Statement of Works is to continue then alternative data may be requested from the User.

~~3.2.8.33.4.8.3~~ If the Lead Person(s) assess that The Company Request for a Statement of Works cannot progress without the missing technical data then The Company Request for a Statement of Works will be put on hold as being non-effective. If and when the missing technical data is supplied to The Company then the process will recommence from ~~3.4.93-2.9~~.

~~3.2.93.4.9~~ **The Company informed that The Company Request for a Statement of Works is technically effective**

~~3.2.9.13.4.9.1~~ On receipt of the missing/additional data from the User (data from the Developer and/or any DNO network data), The Company Lead Person shall circulate the data to the Affected Parties Lead Person(s). The Company Lead Person shall also record on the Statement of Works Briefing Notes the date of when the missing/additional technical data has been received, and e-mail the appropriate Statement of Works Briefing Note to each Affected Party.

3.2.9.2 Within 3 Business Days of receipt of the missing/additional data, the Affected Parties Lead Person(s) shall confirm to The Company Lead Person by e-mail whether The Company Request for a Statement of Works is now technically effective. If The Company Request for a Statement of Works is still not technically effective then the process returns to ~~3.4.63-2.6~~, but otherwise proceeds to ~~3.4.103-2.10~~.

~~3.2.103.4.10~~ **The Company confirms User Application Date and The Company Application Date**

~~3.2.10.13.4.10.1~~ The Company Lead Person shall update the Statement of Works Briefing Notes with the Request for Statement of Works Date, The Company Application Date and the draft Application Programme dates, and e-mail the appropriate Statement of Works Briefing Note to each Affected Party.

~~3.2.113.4.11~~ **Affected Parties provided with the Statement of Works Planning Assumptions**

~~3.2.11.13.4.11.1~~ If The Company generates Statement of Works Planning Assumptions it shall forward the Statement of Works Planning Assumptions, including any updates to the network model, to the Affected Parties' Lead Person(s) within 5 Business Days of the Request for Statement of Works Date.

~~3.2.11.23.4.11.2~~ In the event that The Company does not intend to generate a set of Statement of Works Planning Assumptions, The Company shall notify the TO(s) within 2 Business Days of the Request for Statement of Works Date and advise the Affected Parties which set of Construction Planning Assumptions or Statement of Works Planning Assumptions that have previously been submitted, should be used as the Statement of Works Planning Assumptions.

~~3.2.11.33.4.11.3~~ If there is a delay between receipt of the Request for Statement of Works and the Request for Statement of Works being effective, it may be necessary

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for The Company to provide the Affected Parties with revised and updated Statement of Works Planning Assumptions.

~~3.2.11.4~~~~3.4.11.4~~ 3.2.11.4 The Company may change, or Affected Parties may request a change to, the Statement of Works Planning Assumptions (see ~~3.6.23.4.2~~).

~~3.2.123.4.12~~ **3.2.123.4.12 Affected Parties assess the Statement of Works Planning Assumptions and draft Application Programme**

~~3.2.12.4~~~~3.4.12.1~~ 3.2.12.4 The Affected Parties shall assess the Statement of Works Planning Assumptions and consider any implications to the draft Application Programme.

~~3.2.12.23.4.12.2~~ 3.2.12.23.4.12.2 The Affected Parties' Lead Person(s) shall amend or confirm the draft Application Programme to The Company Lead Person one Business Day prior to the meeting to agree the Application Programme.

~~3.2.133.4.13~~ **3.2.133.4.13 Application Programme agreed by The Company and the Affected Parties**

~~3.2.13.4~~~~3.4.13.1~~ 3.2.13.4 The Application Programme shall be agreed by The Company Lead Person and Affected Parties' Lead Person(s) within 10 Business Days of the Request for Statement of Works Date. The Application Programme may be agreed at a meeting of the Lead Person(s), if necessary, date fixed at step 3.2.3.2 above.

~~3.2.143.4.14~~ **3.2.143.4.14 The Company and the Affected Parties create GB models**

~~3.2.14.4~~~~3.4.14.1~~ 3.2.14.4 The Company and the Affected Parties shall, where required for an application each take the Statement of Works Planning Assumptions provided by The Company in step ~~3.4.113.2.44~~, together with the relevant network models and create a series of consistent National Electricity Transmission System models in accordance with STCP22-1 Production of Models for National Electricity Transmission System Planning.

~~3.2.153.4.15~~ **3.2.153.4.15 The Affected Parties assess the impact of The Company Request for a Statement of Works**

~~3.2.15.4~~~~3.4.15.1~~ 3.2.15.4 The Affected Parties shall assess the impact of The Company Request for a Statement of Works on their respective Transmission System. The Affected Parties shall carry out the assessment in accordance with the Application Programme.

~~3.2.163.4.16~~ **3.2.163.4.16 The Company is provided with TO Statement of Works Notice(s)**

~~3.2.16.4~~~~3.4.16.1~~ 3.2.16.4 Each Affected Party shall submit to The Company the TO Statement of Works Notice resulting from their assessment by e-mail. The timescales of the

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submission is to be in line with the Application Programme and STC Section D, part 4, paragraph 3.2.

~~3.2.16.2~~~~3.4.16.2~~ The TO Statement of Works Notice should specify whether or not the relevant Affected Party would require Transmission Construction Works to be undertaken in respect of the Statement of Works Project.

~~3.2.16.3~~~~3.4.16.3~~ Where the TO Statement of Works Notice specifies that Transmission Construction Works would be required, the TO Statement of Works Notice may also include an indication of such required Transmission Construction Works, although there is no obligation on the Affected Party to provide this.

~~3.2.16.4~~~~3.4.16.4~~ Where the TO Statement of Works Notice specifies that Transmission Construction Works would not be required, the TO Statement of Works Notice should specify whether or not, in planning and developing its Transmission System, the Affected Party has assumed that any Site Specific Requirements will apply, and details of any such requirements.

~~3.2.17~~~~3.4.17~~ **The Company notifies the User**

~~3.2.17.1~~~~3.4.17.1~~ The Company shall notify the User of the outcome of the Request for a Statement of Works.

~~3.2.17.2~~~~3.4.17.2~~ Where no requirement for Transmission Construction Works has been identified:

~~3.2.17.2.1~~~~3.4.17.2.1~~ The Company and the Affected Parties shall undertake the SoW Analysis Closure Process in accordance with 3.3.

~~3.2.17.2.2~~~~3.4.17.2.2~~ In the event of any Site Specific Requirements, The Company shall progress an agreement to vary the Bilateral Agreement with the User.

~~3.2.17.3~~~~3.4.17.3~~ Where a requirement for Transmission Construction Works has been identified:

~~3.2.17.3.1~~~~3.4.17.3.1~~ If the User requests clarification on certain aspects of the outcome of the Request for a Statement of Works or requests a meeting to clarify these aspects, The Company and the Affected Parties shall provide all reasonable assistance to answer any questions raised by the User. The Company and the Affected Parties shall accommodate a request for a meeting at the convenience of all relevant parties.

~~3.2.17.3.2~~~~3.4.17.3.2~~ If, within twenty-eight calendar days plus ninety-three Business Days of the Request for Statement of Works Date:

- The Company submits to the Affected Parties a The Company Modification Application in respect of the Statement of Works Project, such The Company Modification Application should be progressed by following STCP18-1 Connection and Modification Application. The Company Lead Person shall update and close the Statement of Works Briefing Note, and send to the TO Named Contacts.
- The Company does not submit to the Affected Parties a The Company Modification Application in respect of the Statement of Works Project, The Company and the Affected Parties shall undertake the Scheme Closure Process in accordance with 3.3.

~~3.33.5~~ **Statement of Works Analysis Closure Process**

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~~3.3.13.5.1~~ Following the submission by each Affected Party to The Company of the TO Statement of Works Notice resulting from their assessment, the SoW Analysis Closure Process in this section 3.3 shall be followed, except:

- where a requirement for Transmission Construction Works has been identified and The Company has submitted to the Affected Party a The Company Modification Application in respect of the Statement of Works Project; or
- where the User has elected to pay a fixed price application, in which case the SoW Analysis will be deemed to have been closed.

Otherwise, the SoW Analysis needs to be closed, and the final costs identified and provided within timescales agreed between the relevant Parties, but in any event within 12 months.

~~3.3.23.5.2~~ Within 8 months of the Submission Date but, in the event that a requirement for Transmission Construction Works has been identified, not less than twenty-eight calendar days plus ninety-three Business Days after the Request for Statement of Works Date (or as otherwise agreed), the TO shall send The Company a Statement of Works Charges Report which shall, where the User has not elected to pay a fixed price application, contain the following:

- details of the final costs incurred in the assessment of a The Company Request for a Statement of Works; and
- a signed statement from the TO(s) to the effect that all costs have been accounted for and that no further scheduled or planned financial payments are due, and, as at the date thereof, no financial claim has made in respect of any other matter pertaining to the SoW Analysis.

~~3.3.33.5.3~~ The Company shall check the contents of the Statement of Works Charges Report. If required, The Company shall request further detail/clarification from a TO, specifying a reasonable response time and details of the query.

~~3.3.43.5.4~~ The relevant TO shall supply the further detail or clarification regarding the contents of the Statement of Works Charges Report if requested by The Company.

~~3.3.53.5.5~~ Where a User has a query concerning the outturn charges based upon those figures provided in the Statement of Works Charges Report, the process set out in STCP14-3 Customer Charging Queries shall be followed.

~~3.3.63.5.6~~ When the closure process has been completed, The Company shall notify the TO(s) and confirm The Company's acceptance of the Statement of Works Charges Report.

~~3.3.73.5.7~~ In the event that The Company has over/underpaid given the figures in the Statement of Works Charges Report, the relevant TO shall submit a reconciling invoice to The Company.

~~3.3.83.5.8~~ The Company shall check the reconciling invoice and settle any outstanding sums in accordance with STCP13-1 Invoicing and Payment.

3.4.3.6 Subsidiary Processes

3.4.13.6.1 Amendments to Request for Statement of Works by User

3.4.1.13.6.1.1 If details of the Request for Statement of Works change after the Request for Statement of Works has been submitted, then The Company and the Affected Parties shall assess what impact this will have on the ability of the Affected Parties to respond to The Company Request for a Statement of Works to The Company in the required timescales. The Company shall then advise the User on whether the changes are likely to have a Material Impact on The Company's notification of the outcome of the Request for a Statement of Works.

3.4.1.23.6.1.2 If the change will not have a Material Impact on the Affected Parties' ability to respond to The Company Request for a Statement of Works to The Company and subsequently The Company's ability to notify the User of the outcome of the Request for a Statement of Works in the required timescales, then the Affected Parties shall proceed to make their response to The Company Request for a Statement of Works as planned.

3.4.1.33.6.1.3 If the change is to have a Material Impact on the Affected Parties' ability to respond to The Company Request for a Statement of Works to The Company and/or The Company's subsequent ability to notify the User of the outcome of the Request for a Statement of Works in the required timescales, then the User should be requested to withdraw the original User Application and submit a new User Application with the new details.

3.4.23.6.2 Modifications to Statement of Works Planning Assumptions

3.4.2.13.6.2.1 The Company initiated modifications to Statement of Works Planning Assumptions prior to receipt of a TO Statement of Works Notice

3.4.2.1.13.6.2.1.1 At any time after providing the Affected Parties with the Statement of Works Planning Assumptions and prior to receipt of the response to The Company Request for a Statement of Works, The Company may decide to change the Statement of Works Planning Assumptions.

3.4.2.1.23.6.2.1.2 Affected Parties may decide to convene a meeting of the Lead Person(s) to discuss the revision of the Statement of Works Planning Assumptions giving other Affected Parties reasonable notice in writing.

3.4.2.1.33.6.2.1.3 The Company Lead Person shall provide the revised Statement of Works Planning Assumptions to the Affected Parties Lead Person(s). The Affected Parties Lead Person(s) shall confirm receipt of the revised Statement of Works Planning Assumptions to The Company Lead Person.

3.4.2.23.6.2.2 TO initiated modifications to Statement of Works Planning Assumptions prior to submission of a TO Statement of Works Notice

3.4.2.2.13.6.2.2.1 At any time prior to issuing its response to The Company Request for a Statement of Works, the TO may submit a request to The Company for a change to the Statement of Works Planning Assumptions, including reasons for the request.

3.4.2.2.23.6.2.2.2 Affected Parties may decide to convene a meeting of the Lead Person(s) to discuss the request for revision of the Statement of Works Planning Assumptions giving other Affected Parties reasonable notice in writing.

3.4.2.2.33.6.2.2.3 The Company shall consider how it will address the request and notify the TO and any other TO materially affected by the requested change.

3.4.2.2.43.6.2.2.4 Notwithstanding any request submitted by the TO each Affected Party shall continue to take into account the Statement of Works Planning Assumptions provided by The Company.

3.4.2.3.33.6.2.3 The Company initiated modifications to Statement of Works Planning Assumptions after receipt of a TO Statement of Works Notice but prior to notification to the User of the outcome of the Request for a Statement of Works

3.4.2.3.33.6.2.3.1 At any time after receiving a TO Statement of Works Notice and prior to notifying the User of the outcome of the Request for a Statement of Works, The Company may decide to change the Statement of Works Planning Assumptions e.g. due to a Disconnection, a TEC increase etc.

3.4.2.3.33.6.2.3.2 In such circumstances, The Company shall convene a meeting of the Lead Person(s) to discuss the revision of the Statement of Works Planning Assumptions and impact on the TO Statement of Works Notices.

3.4.2.3.33.6.2.3.3 The Company shall provide to each Affected Party the revised Statement of Works Planning Assumptions. The Affected Parties Lead Person(s) shall confirm receipt of the revised Statement of Works Planning Assumptions.

3.4.2.3.4 Affected Parties Lead Person(s) will re-submit their TO Statement of Works Notices to The Company Lead Person, taking in account the revised Statement of Works Planning Assumptions, within 1 Business Days after the receipt of the revised Statement of Works Planning Assumptions.

3.4.33.6.3 Withdrawal of a Request for Statement of Works by the User

3.6.3.1 Where a User withdraws their Request for Statement of Works, The Company shall update the Statement of Works Briefing Note and shall e-mail the Statement of Works Briefing Note to the Affected Parties within 2 Business Days. The Company and the Affected Parties shall then undertake the Scheme Closure Process in accordance with 3.3.

4 Transmission Impact Assessment (TIA)

4.1.1 The Transmission Impact Assessment will require the TO to carry out system studies to determine whether there is available capacity at a GSP subject to asset and network constraints.

4.1.2 The Company will then use this capacity to inform the DNO that they may connect embedded generation up to the limit subject to providing monthly progress updates.

4.1.3 If the Materiality Trigger limit is exceeded the TIA will be closed and a new request will need to be submitted by the DNO in order to connect additional embedded generation.

4.2 TIA Process

4.2.1 The Company receives the Request for a TIA

4.2.1.1 The Company Named Contact shall receive a completed Request for a TIA from a DNO which may be for a single or multiple generators.

4.2.2 The Company checks the DNO TIA Application

4.2.2.1 The Company Named Contact shall appoint The Company Lead Person. The Company Lead Person shall check that the Request for a TIA is completed

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correctly. Where the TIA is not completed correctly, The Company Lead Person shall inform the DNO as soon as they determine that it is not correct.

4.2.2.2 The Company Lead Person shall determine who is the Host TO, Affected TO(s) and Other Affected TO(s).

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4.2.2.3 The Company Lead Person shall utilise the information in the Request for a TIA to produce The Company Request for a Transmission Impact Assessment, in accordance with Schedule 13 of the STC, for each of the Affected Parties. The Company Lead Person shall initially complete the appropriate Transmission Impact Assessment Briefing Notes, with details from the Request for a TIA, the Affected Parties, The Company Lead Person, the CPA and a The Company unique TIA Analysis number.

4.2.2.4 In the event that The Company does not intend to generate a revised set of TIA Planning Assumptions for a TIA, The Company shall notify the TO(s) within 2 Business Days of the Request for TIA Date and advise the Affected Parties which set of TIA Planning Assumptions shall apply.

4.2.2.5 Within 3 Business Days of receipt of the technically effective Request for a TIA, The Company Lead Person shall send by e-mail the relevant The Company Request for a TIA and the appropriate TIA Briefing Note to the TO Named Contacts.

4.2.2.6 The Company Request for a TIA will be sent to the Affected Parties within 3 Business Days of receipt of the DNO Application, regardless of whether the DNO Application is effective or not, so that the TO(s) are aware a Request for a TIA has been received. Should any Party decide to undertake any work on The Company Request for a TIA before it is effective, then this will be at such Party's own risk.

4.2.2.7 An effective The Company Request for a TIA is one that is technically effective and The Company has informed the TO via the appropriate TIA Briefing Note that the Application Fee has been cleared.

4.2.3 Receipt of a The Company Request for a TIA acknowledged by TO(s)

4.2.3.1 Within 2 Business Days of receipt of The Company Request for a TIA, the Affected Parties shall acknowledge receipt of The Company Request for a TIA to The Company Lead Person by e-mail and advise The Company Lead Person of the name and contact details of their Lead Person.

4.2.3.2 The Company shall update the TIA Briefing Notes with details of the Lead Person of the Affected Parties to whom all formal communication for the application will be

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addressed. The Company shall e-mail the appropriate updated TIA Briefing Notes to the Affected Parties' Lead Person(s).

4.2.4 Application fee not cleared

4.2.4.1 If the Application Fee has not cleared within the terms set out, The Company Lead Person shall seek to obtain the Application Fee from the DNO.

4.2.4.2 If the application fee has not been paid within the timescales detailed within the invoice The Company shall inform all parties of the cancellation.

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4.2.5 The Company confirms that Application Fee cleared

4.2.5.1 When the Application Fee is cleared, The Company shall update the TIA Briefing Notes with the clearance date and e-mail the appropriate TIA Briefing Notes to the Affected Parties' Lead Person(s).

4.2.5.2 The TO(s) shall invoice The Company with their relevant TO component of the Application Fee in accordance with STCP 19-6 Application Fees.

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4.2.6 The Company shall be informed as to whether The Company Request for a TIA is technically effective or not

4.2.6.1 Within 5 Business Days of receipt of The Company Request for a TIA, the Affected Parties Lead Person(s) shall notify The Company Lead Person by e-mail, as to whether The Company Request for a TIA is technically effective or not.

4.2.6.2 Where The Company Request for a TIA is considered to be technically non-effective, then the Affected Parties Lead Person(s) shall e-mail to The Company Lead Person with detailed reasons as to why it considers it incomplete or unclear in a material respect and the amendments it considers are required to make it technically effective.

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4.2.7 DNO and TO(s) shall be informed that DNO Application is technically non-effective

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4.2.7.1 A technically non-effective Request for a TIA is one where all technical data (both data received by the DNO from the Developer and the DNO's DNO network data) has not been received.

4.2.7.2 If the Request for a TIA is technically non-effective, The Company Lead Person shall inform the DNO of what data is missing. The Company Lead Person shall ask the DNO for any missing data from the Developer or for any DNO network data identified as being required by the Host TO in section 4.1.6. The Company shall update the TIA Briefing Notes with the date the DNO was contacted and e-mail the appropriate TIA Briefing Notes to the Affected Parties.

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4.2.8 Resolve technical non-effectiveness

4.2.8.1 Where a The Company Request for a TIA is technically non-effective as a consequence of the Request for a TIA being technically non-effective, the Affected Parties shall use reasonable endeavours to liaise and assist The Company to resolve their elements of the technical non-effectiveness. In order to achieve this, The Company may request the TO to resolve the technical non-effectiveness with the DNO directly.

4.2.8.2 If the DNO cannot submit the data (e.g. because data is not available for new technology) then the Lead Person(s) shall assess and advise the Parties whether to progress The Company Request for a TIA or not and note/agree any

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assumptions made. If The Company Request for a TIA is to continue then alternative data may be requested from the DNO.

4.2.8.3 If the Lead Person(s) assess that The Company Request for a TIA cannot progress without the missing technical data then The Company Request for a TIA will be put on hold as being non-effective. If and when the missing technical data is supplied to The Company then the process will recommence from 3.4.94.2.9.

4.2.9 The Company informed that The Company Request for a TIA is technically effective

4.2.9.1 On receipt of the missing/additional data from the DNO (data from the Developer and/or any DNO network data), The Company Lead Person shall circulate the data to the Affected Parties Lead Person(s). The Company shall also record on the TIA Briefing Notes the date of when the missing/additional technical data has been received and e-mail the appropriate TIA Briefing Note to each Affected Party.

4.2.9.2 Within 3 Business Days of receipt of the missing/additional data, the Affected Parties Lead Person(s) shall confirm to The Company Lead Person by e-mail whether The Company Request for a TIA is now technically effective. If The Company Request for a TIA is still not technically effective then the process returns to 3.4.64.2.6, but otherwise proceeds to 3.4.104.2.10.

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4.2.10 The Company confirms DNO Application Date and The Company Application Date

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4.2.10.1 The Company shall update the TIA Briefing Notes with the Request for TIA Date, The Company Application Date and e-mail the appropriate TIA Briefing Note to each Affected Party.

4.2.10.2 TIA planning assumptions that have previously been submitted, should be used as the TIA planning assumptions.

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4.2.10.3 If there is a delay between receipt of the Request for TIA and the Request for TIA being effective, it may be necessary for The Company to provide the Affected Parties with revised and updated TIA planning assumptions.

4.2.10.4 The Company may change, or Affected Parties may request a change to, the TIA planning assumptions.

4.2.11 The Company and the Affected TOs create GB models

4.2.11.1 The Company and the Affected TOs shall, where required for an application each take the TIA planning assumptions provided by The Company in step 3.4.114.1.11, together with the relevant network models and create a series of consistent National Electricity Transmission System models in accordance with

STCP 22-1 Production of Models for National Electricity Transmission System Planning.

4.2.12 The Affected TOs assess the impact of The Company Request for a TIA

4.2.12.1 The Affected TOs shall assess the impact of The Company Request for a TIA on their respective Transmission System.

4.2.13 The Company is provided with TO Construction offers or Materiality Trigger limit values

4.2.13.1 Each Affected TO shall submit to The Company the Construction offer resulting from their assessment by e-mail. The timescales of the submission is within 2 months for a draft and 2 months and 14 days for a final offer.

4.2.13.2 Each affected TO should specify whether Transmission Construction Works are to be undertaken in respect of the TIA Project.

4.2.13.3 Where the TO specifies that Transmission Construction Works would not be required, the TO should specify whether or not, in planning and developing its Transmission System, the TO has assumed that any Site Specific Requirements will apply, and details of any such requirements.

4.2.13.4 Each host TO shall provide to The Company a Materiality Trigger limit for the relevant DNO for the relevant GSP that is subject to a Request for TIA within 2 months and 14 days of the Request for TIA being technically effective.

4.2.14 The Company notifies the DNO

4.2.14.1 The Company shall notify the DNO of the outcome of the Request for a TIA within 3 months of when the fee was cleared and the application deemed technically effective.

4.2.15 Open Transmission Impact Assessments

The Company lead person will provide monthly updates to the relevant TO on the remaining Materiality Trigger limit of an open TIA by email where such information has been provided by the DNO. Specific timescales for the exchange will be agreed between The Company and the Relevant TO in line with DNO submissions during the implementation phase'

4.2.15.1 A TIA will remain open until The Company informs the relevant TO of that either

4.2.15.1.1 the Materiality Trigger limit has been used at which time The Company shall request the DNO submit a new Request for TIA, or

4.2.15.1.2 some or all of the Materiality Trigger limit is no longer required by the DNO, or

4.2.15.1.3 the unused Materiality Trigger limit is required to be utilised elsewhere using the interactivity processes. The relevant TIA application will then be closed in accordance with 4.1.18

4.2.15.2 Where The Company submits a new set of TIA Planning Assumptions to the TO, the TO should recalculate and provide a new Materiality Trigger limit to The Company where it is different to one previously submitted.

4.2.16 Closing Transmission Impact Assessments

3.4.3.14.2.16.1 The Company will inform the affected TOs of any TIAs which are to be closed via the monthly capacity update.

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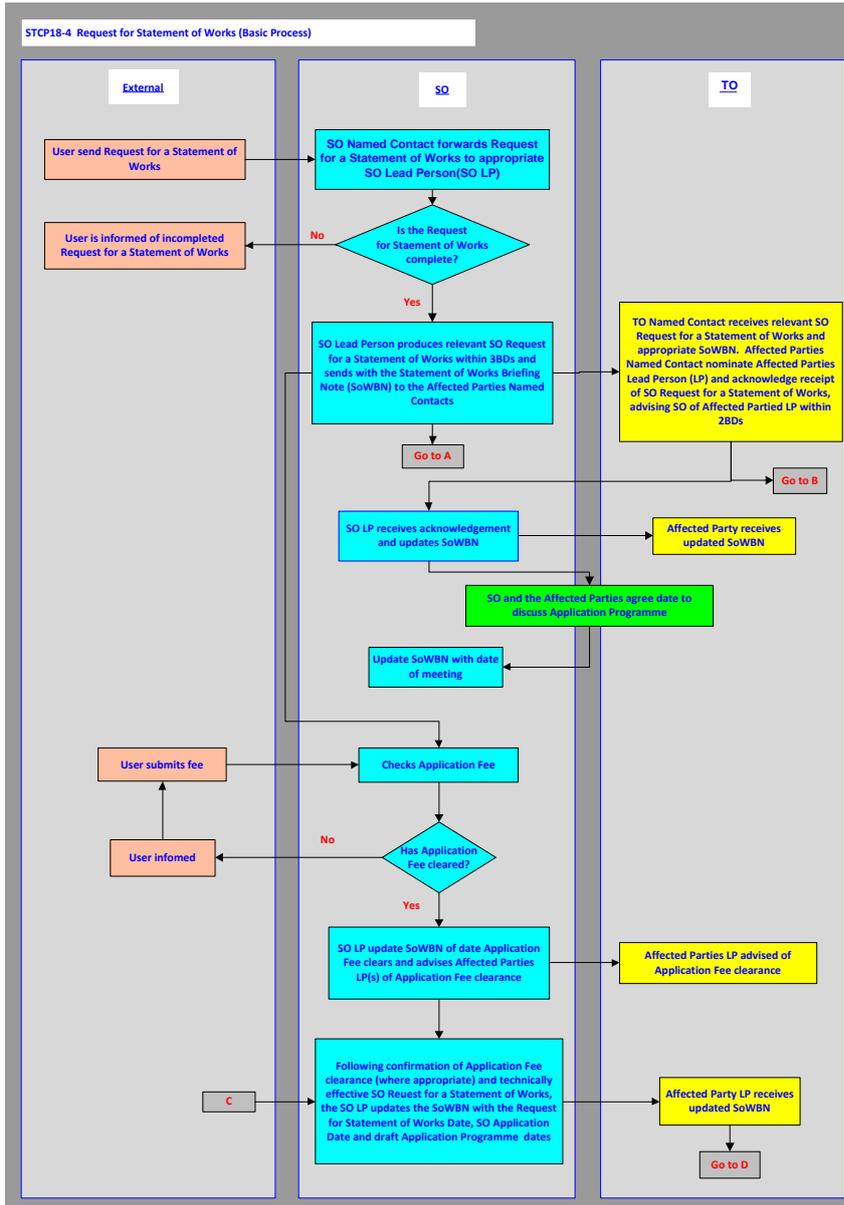
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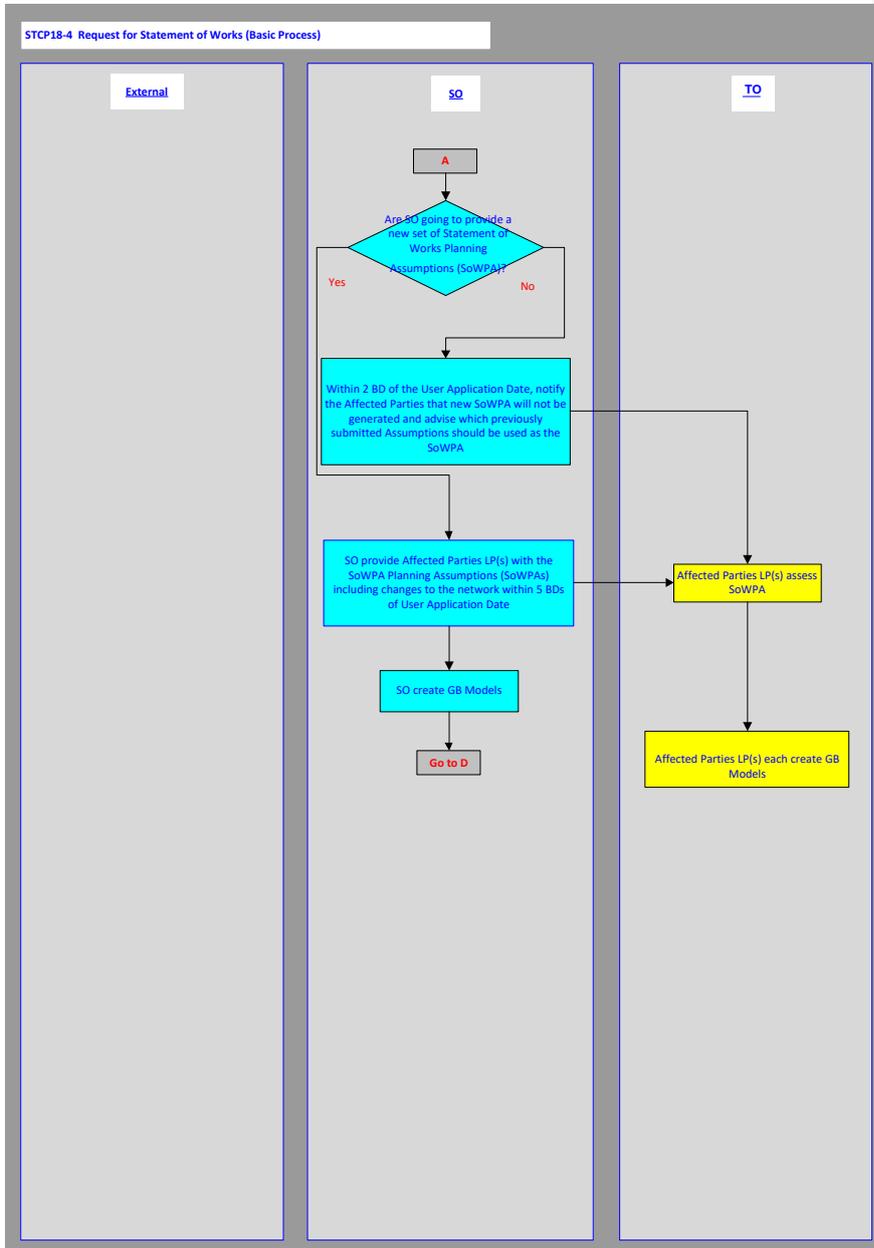
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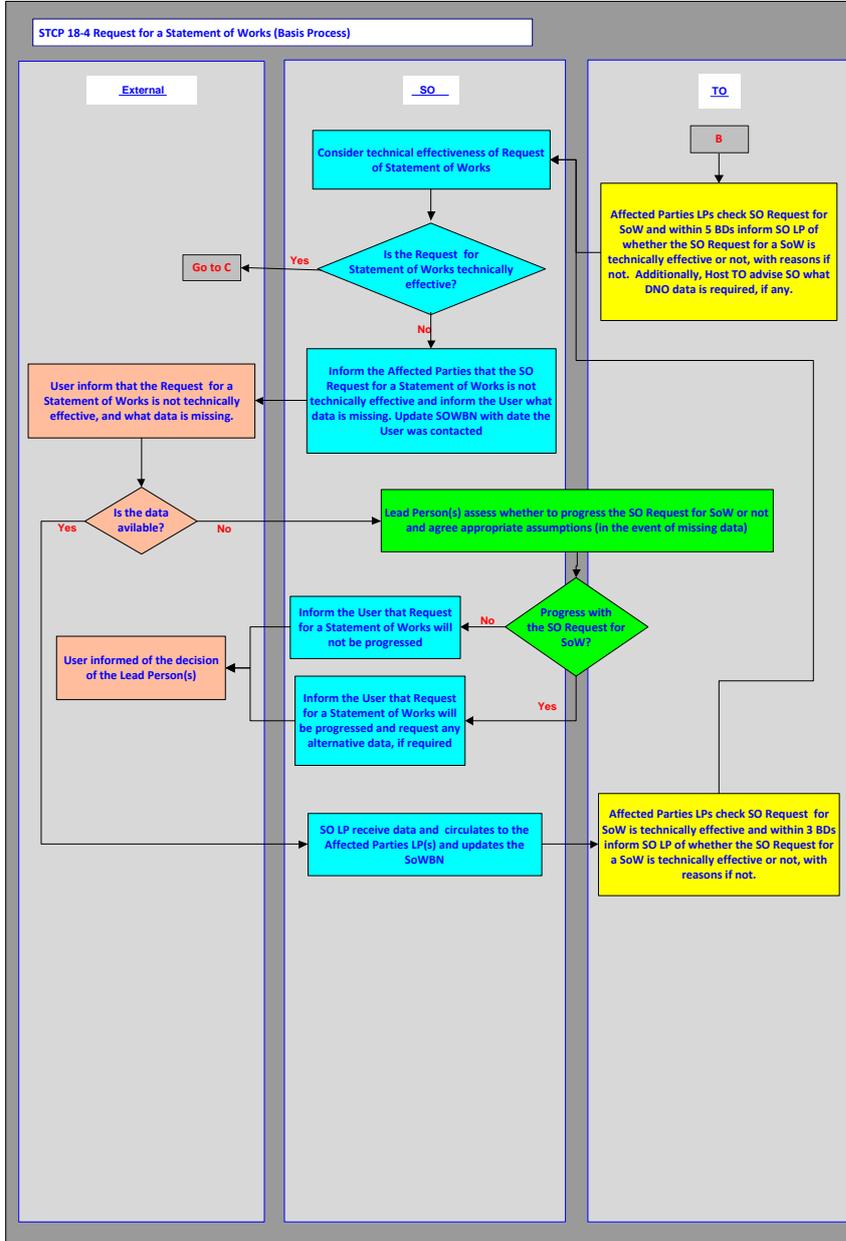
Appendix A: Flow Diagram

Note that the Process Diagrams shown in this Appendix A are for information only. In the event of any contradiction between the process represented in this Appendix A and the process described elsewhere in this STCP, then the text elsewhere in this STCP shall prevail.

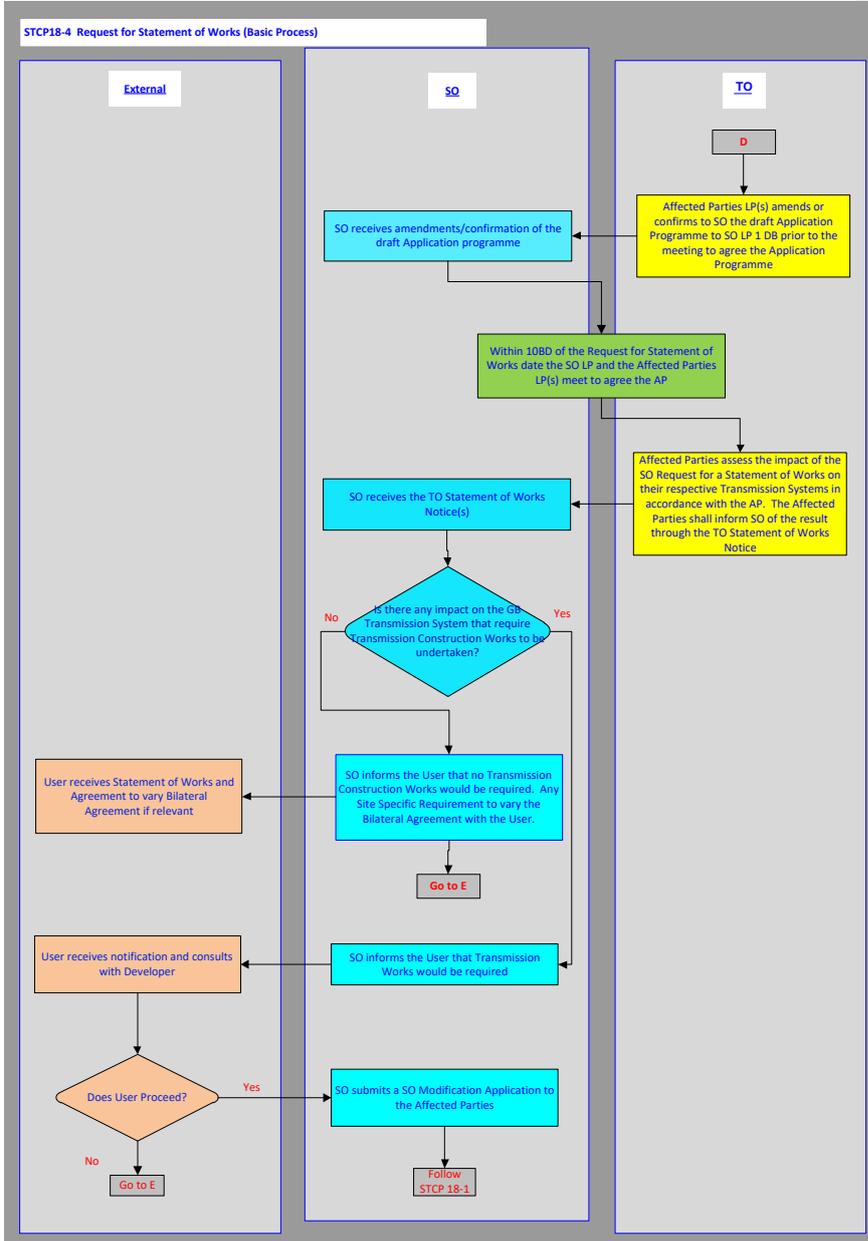


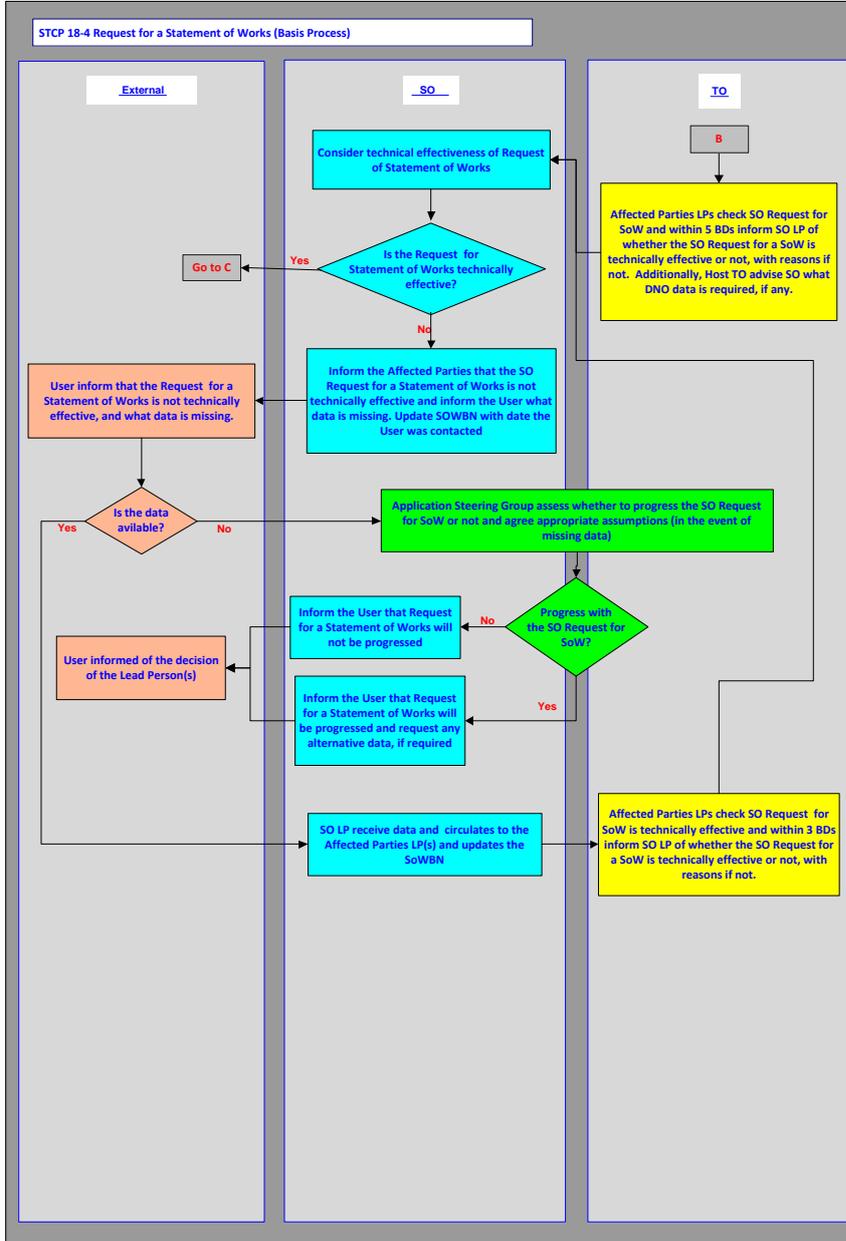
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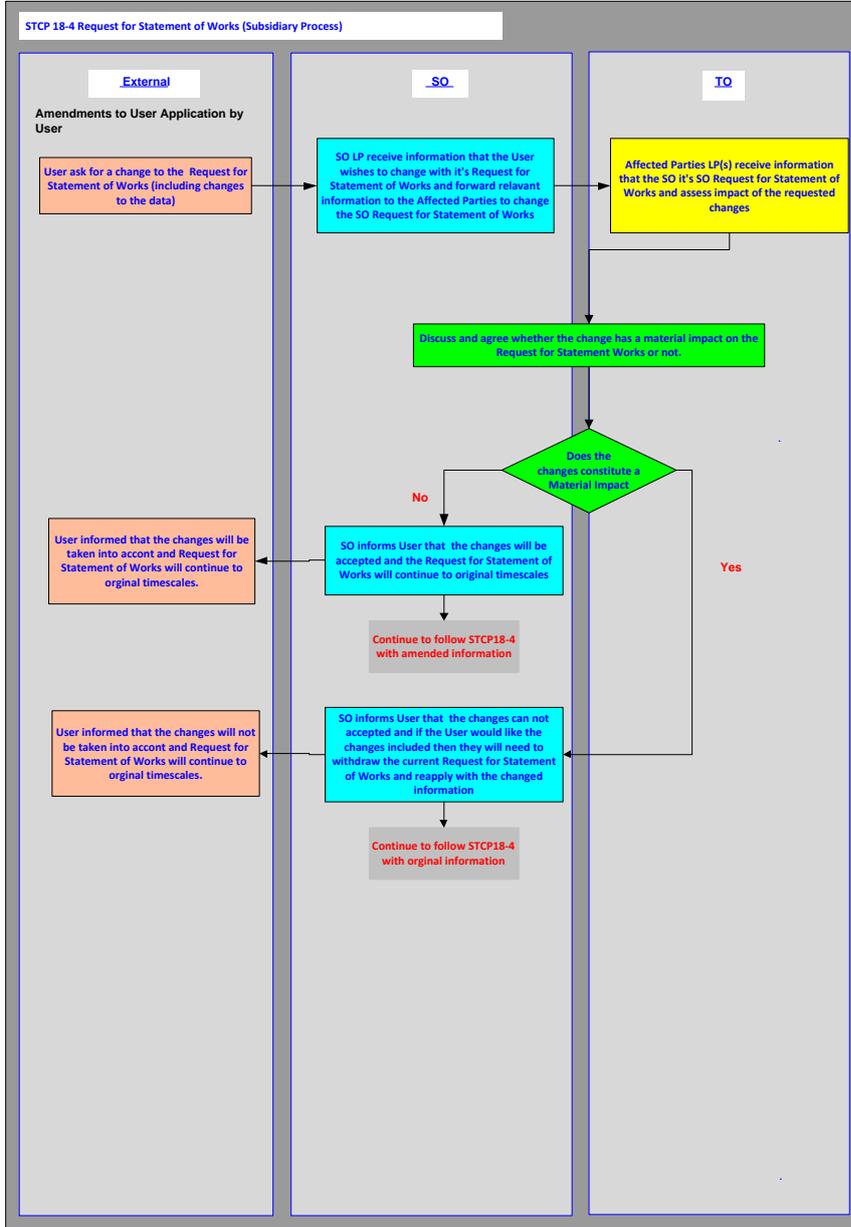


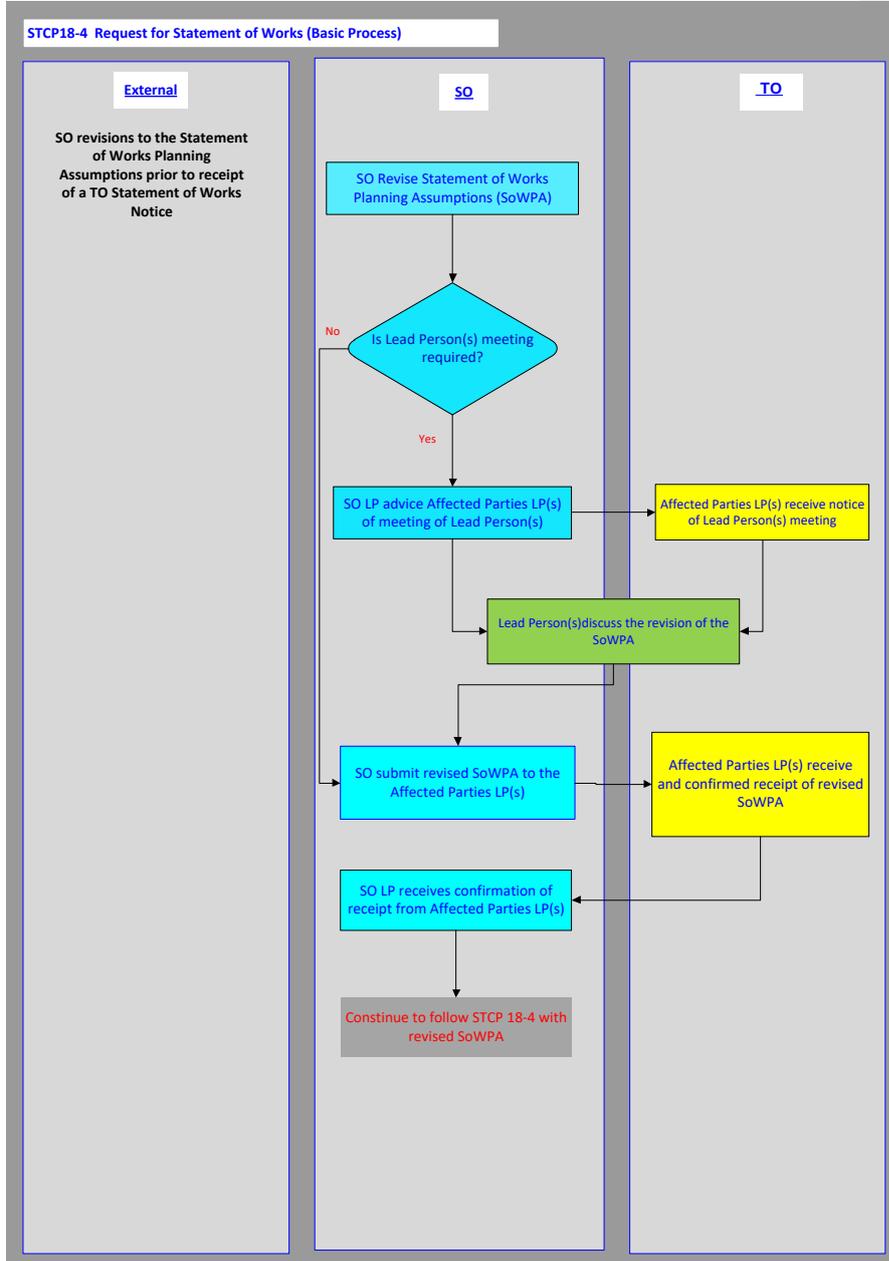
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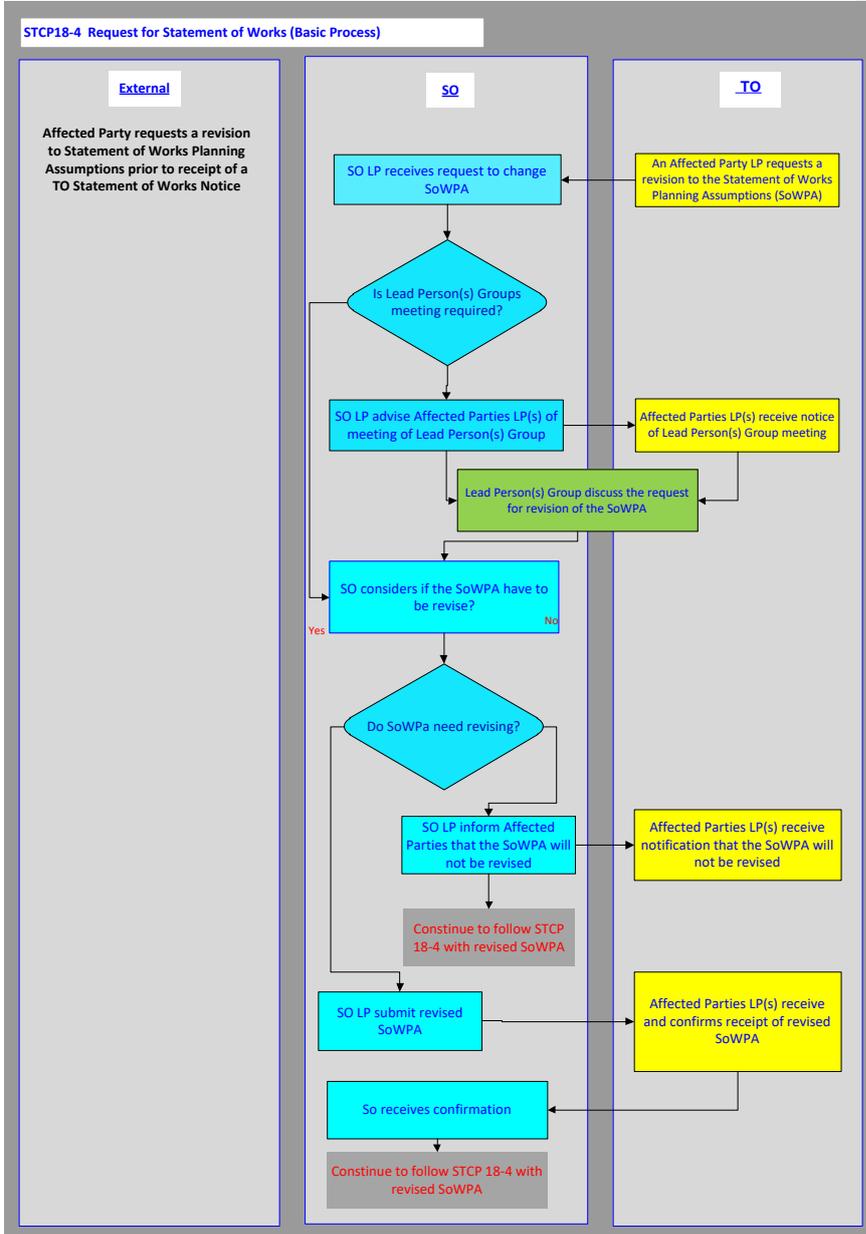




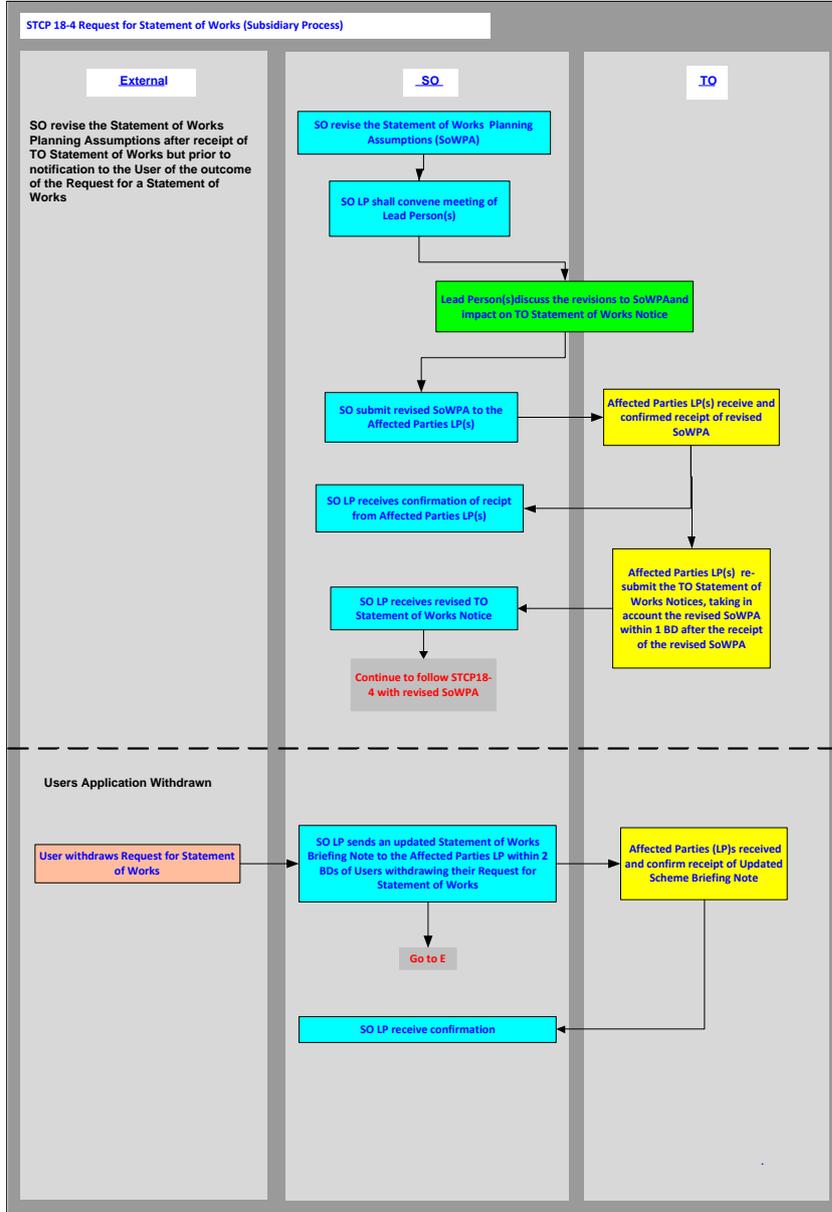
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Appendix B: Statement of Works Briefing Note

The Company DNO/Demand Application

For Statement of Works, Project Progression and Modification Applications from DNO's and Directly connected Demand

| <u>ESO Contact Details</u> | <u>Details/ Confirmation of Data</u> |
|--|---|
| <u>Contract Manager Name</u> | - |
| <u>Contract Manager Telephone Number</u> | #N/A |
| <u>TO Details</u> | |
| <u>TO Charging Zone</u> | <u>SPT2</u> |
| <u>Host TO</u> | <u>SPT</u> |
| <u>Affected TO</u> | <u>N/A</u> |
| <u>User Details</u> | |
| <u>ESO Reference</u> | - |
| <u>User</u> | - |
| <u>User's Registered Company Address</u> | - |
| <u>User's Registered Company Number</u> | - |
| <u>Customer Contact Details (If consent of sharing given)</u> | - |
| <u>Grid Supply Point (GSP) or Site Name</u> | - |
| <u>Application Details</u> | - |
| <u>User Application Date received by The Company</u> | [DD/MM/YYYY] |
| <u>Date SBN (and associated data) Request emailed to TO(s)</u> | [DD/MM/YYYY] |
| <u>Application Fee Type</u> | - |
| <u>Level of Application Fee (excl VAT)</u> | - |

| | |
|--|---|
| <u>Application Fee Calculation</u> | - |
| <u>Application Fee received</u> | No |
| <u>DNO Specific Details</u> | |
| <u>Is the Application for Embedded Generation</u> | Yes/No |
| <u>Total MW of additional developer capacity requested (MW)</u> | - |
| <u>Where demand driven, MW of additional demand required (MW)</u> | MW/MVA |
| <u>SOW Data Sheet included</u> | Yes/No |
| <u>SLD included showing preferred location of connection of the Embedded Generation to the DNO</u> | SLD Provided YES/NO |
| <u>Is the Application for Active Network Management (ANM)?</u> | YES/NO |
| <u>Standard Planning Data included?</u> | - |
| <u>Does the Application request an ESO product such as RDP?</u> | - |
| <u>General Detail</u> | - |
| <u>Connection Security Requested</u> | SQSS Compliant/Firm/Customer Choice |
| <u>Completion Date Requested</u> | - |
| <u>Has the User provided a high level programme and is it attached ?</u> | YES/NO |
| <u>Connection Charging Payment Options</u> | Capital Contributions/Annualised |
| <u>Additional customer information provided</u> | <u>Detail here scope of works required /additional site specific requirements</u> |

SBN

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| Data Required | Data Format [Where appropriate] |
|---|---------------------------------|
| Application Type | - |
| CCM Name | - |
| CCM Telephone Number | - |
| - | - |
| Host TO | - |
| Affected TO | - |
| - | - |
| User | - |
| User's Registered Address | - |
| User's Registered Company Number | - |
| Developer Name & Address | - |
| Site Name | - |
| Connection Site/GSP | - |
| Point Of Connection Co-ordinates | - |
| POC Connection Voltage | - |
| Site coordinates (if different) | - |
| Consents Status (Date if Consented) | - |
| - | - |
| User Application Date received by NGET | - |
| Date Application emailed to TO(s) | - |
| Application Fee Type | - |
| Level of Application Fee | - |
| Application Fee received | - |
| - | - |
| Overview of the Application | - |
| Is the User considering building any assets that would be identified as Transmission Connection Assets? | - |
| Details of the intended legal estate in the Connection Site in so far as NGET is aware. | - |
| Occupier of the Connection Site in so far as NGET is aware | - |
| Where a substation may be needed, User's suggested location for it, giving dimensions of the area. | - |

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| | |
|--|---|
| Is space available on the Connection Site for working storage and accommodation areas for the Transmission Owner contractors? If so, indicate location and approximate dimension of such areas. | - |
| Details (including copies of any surveys or reports) of the physical nature of any additional land in which the User has an interest at the Connection Site including the nature of the ground and the sub-soil | - |
| Details of any existing restrictions for access to or use of the Connection Site for the purposes of installing, maintaining and operating the User's Plant and Apparatus | - |
| Does User wish to participate in BM | - |
| If New Connection Site is located in Offshore waters, earliest date for entry of this project into the Offshore Tender Process (if no date is provided it will be assumed to be for entry into the first Offshore Tender Process following acceptance of the Offer) | - |
| If New Connection Site is located in Offshore waters, please indicate if any of the following items are included alongside the application: * Feasibility Studies * Crown Estate Lease * Identified sub-sea cable routes * Identified cable landing points * Other (please specify) | - |
| Connection Entry Capacity | - |
| Transmission Entry Capacity | - |
| Demand (If applicable) | - |
| Connection Security Requested | - |
| Planning Application Submitted | - |
| Planning Consent Awarded | - |
| Plant Ordered (i.e. Power Station or substation) | - |
| Construction Started (site mobilisation) | - |
| Construction Completed | - |
| Requested Completion Date | - |
| Connection Charging Payment Options | - |
| Standard Planning Data included? | - |
| Copy of User's Safety Rules | - |

Appendix C: Abbreviations & Definitions

| | |
|-------------------|--|
| Affected TO | Affected Transmission Owner |
| DNO | Distribution Network Operator |
| Host TO | Host Transmission Owner |
| OFTO | Offshore Transmission Owner |
| Other Affected TO | Other Affected Transmission Owner |
| SHET | Scottish Hydro Electric Transmission plc |
| SPT | SP Transmission plc |
| TEC | Transmission Entry Capacity |
| TO | Transmission Owner |

Definitions

STC definitions used:

Business Day
CUSC
The Company
NGET
The Company Application Date
The Company Modification Application
The Company Request for a Statement of Works
National Electricity Transmission System
Party
Planning Assumptions
Power Station
Relevant Connection Site
Request for a Statement of Works
Statement of Works Planning Assumptions
Statement of Works Project
TO Statement of Works Notice
Transmission Construction Works
Transmission Entry Capacity
Transmission Owner
Transmission System
User Application
User Application Date
User Equipment

CUSC definitions used:

Bilateral Agreement
Bilateral Connection Agreement
Disconnection

Definition used from other STCPs:

Application Fee STCP19-6: Application Fee