



POLICY 7
DATA EXCHANGES

P7 – Policy 7: Data Exchanges [E]



Chapters

A. Code of conduct and generic rules to handle the data

Introduction

In the UCTE, data from the transmission grid are required for various operational tasks and case studies. These data primarily belong to the parties and need to be matched in some way to be usable for the mentioned subjects. This Policy addresses the general rules for the data handling and the rules that the involved parties have to follow for the provision and usage of these data (code of conduct) between TSOs or TSO and other parties.

Policy 7 is a complementary document to existing rules described in the UCTE Articles of Association and Internal Regulations, especially concerning issues regarding the confidentiality of data.

For vertically integrated TSOs with one or more market players, this Policy refers, when using the terminology "TSO", to the businesses or departments dealing with the operational TSO business. The other parts of the vertically integrated company are referred to as market players or third parties.

History of changes

v. 0.4 final policy, approved by the UCTE Steering Committee on 03.05.2006

Current status

This policy will cancel and replace previous UCTE ground rules and recommendations regarding EXCHANGES OF DATA, "CODE OF CONDUCT". This version of the document (version 0.4, level E, dated 03.05.2006.) has "final policy" status.

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A. Rules to handle the data - Code of conduct

Introduction

The TSOs' technical and operational data required for operation, planning and studying of the interconnected UCTE transmission grid need to be handled under general rules concerning data confidentiality, acquisition, coordination and usage, the back-up procedures, intellectual property and hardship. All parties involved need to comply with the same rights and obligations to support UCTE's internal tasks and external communication policy.

Criteria

- C1. Operational TSO business.** The TSOs carry out periodical tasks and on request tasks for transmission system operation, planning and analysis that require exchange of data, as this information or a part of it is necessary to carry out their work properly. These tasks are referred to as “operational TSO business” in the UCTE.
- C2. Data exchange.** Transmission of information related to an operational TSO business among parties.
 - C2.1. Provider (Data Source).** The party disclosing the information.
 - C2.2. Recipient (Data Consumer).** The party receiving the information.
 - C2.3. Parties.** The providers and the recipients of the data exchanged.
 - C2.3.1.TSO.** A TSO and departments dealing with operational TSO business in a vertically integrated company are always one of the providers or the recipients of the data exchanged.
 - 2.3.1.1. **UCTE TSO.** When speaking about TSO in this policy, we mean a TSO which is a member of the UCTE;
 - 2.3.1.2. **Non UCTE TSO.** All other TSOs.
 - C2.3.2.Non-TSO.** Provider or recipient which is not a TSO or departments which are not dealing with operational TSO business in vertically integrated companies. They can be classified into the following subcategories:
 - 2.3.2.1. **Market Players.** Generation companies, customers, traders, distributors or grid operators;
 - 2.3.2.2. **Authorities.** Governments, regulators and decision makers (administrations, members of parliament etc.);
 - 2.3.2.3. **UCTE;**
 - 2.3.2.4. **Third parties.** All other parties not mentioned above (engineering offices, universities, manufacturers, consultants etc.).
- C2.4. On-request data collection.** Collections of data on request are usually carried out to support a single analysis or report on operational or security aspects.
- C2.5. Periodic data collection.** A collection of data on a periodic basis is carried out to support the operational TSO business (e.g. real time, hourly, daily, weekly, monthly, yearly or seasonal basis).

- C2.6. Real-time data collection.** A collection of data describing a current situation, which can be done periodically, on request or after a change of status or value, in order to support the TSOs in monitoring, coordinating and operating the transmission system.
- C2.7. Bilateral or multilateral data exchange.** When only one provider and one recipient are concerned, the data exchange is defined as bilateral; otherwise it is defined as multilateral.
- C3. Information.** The term includes, but is not limited to, technical, financial, commercial and operational data in whatever form (whether written, electronical or by any other means) related to one specific operational TSO business.
 - C3.1. Individual information.** Data belonging to one party.
 - C3.2. Common information.** The data set, resulting from the merging of the shared individual information and all derived data.
 - C3.3. Forecast information.** All data related to a coming situation.
 - C3.4. Real-time information.** All data related to a current situation.
 - C3.5. Historical information.** All data related to a past situation.
- C4. Publication and Statistics.** Periodically published data related to the operation and security of the interconnected system, from all the countries belonging to the UCTE, providing all UCTE members and external stakeholders with an overview of the operational conditions and main changes in the UCTE transmission grids.
 - C4.1. External or internal publication.** Publication and Statistics are internal if their distribution is limited to the TSOs of UCTE or external if their distribution exceeds this scope.

Requirements

- R1. Technical infrastructure.** Technical infrastructure needed to exchange the requisite data has to be available, as described in Policy 6.
- R2. Data reliability.** The availability, reliability and accuracy of the exchanged data have to fulfil the requirements described in the related policies. If nothing is specified, best effort has to be applied for the specific data exchange.

Standards

- S1. Data handling.** The TSOs have to exchange different kinds of data for operational TSO business, as described in the other policies or stipulated by bilateral or multilateral agreements among TSOs. Therefore, they are required to organize handling of their operational TSO business' data in such a way that it minimizes the risks of abusing the code of conduct and works in a sense of good faith and cooperation for joint benefit.
 - S1.1. Contributors.** The operational TSO business defines the TSOs involved for each exchange of data. Only TSOs may provide information to the common information for any operational TSO business. In the case of TSOs which do not belong to the UCTE, the exchange of data has to be based on specific contracts.
 - S1.2. Coordinator.** A coordinator is appointed by contributors for each data collection related to an operational TSO business. For a collection of data on request, the TSO in charge of performing the analysis or in charge of reporting shall coordinate the data. The coordinator observes and checks

implementation of the exchange of data and detects potential troubles and bottlenecks. At time intervals agreed by the contributors, he examines data set contents and procedures concerning this exchange of data, and corrects them, if necessary.

- S1.3. Central storage.** For periodic collection of data related to an operational TSO business, the UCTE operates several central storage areas. All contributions stored are retrieved from there directly by the TSOs.
- S1.4. Communication medium.** The most adequate, reliable, secure and convenient communication medium is used for each exchange of data.
- S1.5. Content and format.** The content (scope) and the format (structure) of the exchanged data have to be bilaterally or multilaterally agreed among TSOs. TSOs must provide their data in previously adopted formats. For load flow and three phase short-circuit studies, the UCTE data exchange format described in the appendix of Policy 4 will be used.
- S1.6. Use.** By providing data to the common information related to that specific operational TSO business, a TSO gets the right to have access to all common information, collected for or derived from that operational TSO business. The contributors have the right to extend or restrict this use into more precise agreements.
- S1.7. Publication.**
 - S1.7.1. Data to be published.** The Steering Committee defines (e.g. based on the proposal of an established Working Group) the information (incl. scope, level of aggregation of data and derived information) dedicated to internal and external publication.
 - S1.7.2. Language.** UCTE publications are written in English, in accordance with UCTE general rules.
 - S1.7.3. Role of UCTE.** The UCTE Secretariat is responsible for the supervision of publication and circulation of documents. The list of documents for external publication is kept by the Secretariat. Regular publications with mainly recurrent statistical content are validated by the providers. All other publications are approved by the Steering Committee or the Bureau. The Steering Committee decides whether the statistics of an associate member should be incorporated into UCTE reports. To this aim, an associate member undertakes the prompt submission of any requested data to the Secretariat.
 - S1.7.4. Publications.** Data sent by the UCTE members for periodical publication can be found in monthly, quarterly, half-yearly or yearly publications that can be accessed from the UCTE web site.
- S1.8. Responsibility.** Each provider is responsible for the availability, reliability and validity of the data he provides, according to the specified requirements.
- S1.9. Time-scheduled data exchange.** Data exchange between parties has to be carried out according to previously agreed time schedules.
- S2. Code of conduct.** These are generic rules regarding the rights and duties of the parties involved in the data exchange required for operational TSO business.
 - S2.1. Confidentiality.**
 - S2.1.1. Confidential information.** Confidential information includes:
 - S2.1.1.1. All information relating to the users of the electricity transmission grid systems, which is commercial in nature and, if disclosed, is likely to influence market conditions, and
 - S2.1.1.2. All information clearly marked as “confidential”, provided that the party conveying the information can validly justify in writing on request by the other party the reasons why the information must be treated confidentially.

The other policies define information which are to be treated as confidential information. Each TSO, which provides information to another party or receives information that is commercially sensitive, has the right to identify it into more precise bilateral agreements. Such agreements shall not conflict with this Policy.

S2.1.2. Treatment.

S2.1.2.1. Use of individual information. Each party may make free use of its individual information for any purpose without constraints, as long as no data from other parties are included.

S2.1.2.2. Use of confidential information. Only the TSOs may use the confidential information for their strict operational TSO business needs or agreed otherwise or in the case of request from authorized authorities under national or international law.

Such confidential information is only disclosed to its managers, employees, advisers and representatives as long as those persons are bound by an obligation of confidentiality with the same content as laid down in this Policy.

S2.1.2.3. Disclosure of confidential information.

No disclosure of confidential information is allowed in any way, matter or form, in whole or in part, to any representative of a vertically integrated company, which the TSO is part of or belongs to.

Confidential information must not be disclosed in any way, matter or form, in whole or in part, to other non-TSO, except when parties involved and TSOs agree otherwise through bilateral or multilateral agreements.

If a TSO becomes legally compelled, or expects that it will be legally compelled, to disclose the confidential information to any court or authority, it will, unless it is not authorized to do so because of national or international law, provide prompt notification thereof to the TSO that has provided that confidential information. The parties agree on the content and extent of the confidential information to be divulged, in accordance with the relevant law, the court or authority orders and the general rules applied within UCTE. The parties ensure that disclosure of the confidential information is made in a proper and discreet manner.

S2.1.2.4. Confidential information handling. The TSO organizes its data handling in such a way as to minimize the risks of misuse or unauthorized access or disclosure of confidential information.

S2.1.3. Data excluded. Confidentiality does not apply to data:

S.2.1.3.1. That is in the public domain other than by reason of breach of this clause;

S.2.1.3.2. That is already lawfully in the possession of the recipient prior to its receipt from the disclosing party;

S.2.1.3.3. That the recipient is required to disclose under any law, court order or order of authorities.

S2.1.4. Impact of national law. Confidentiality rules cannot influence or limit obligations of the TSOs under national law to provide information to legal courts, regulators and authorities.

S2.2. Property. Common information are considered to be owned by the UCTE while individual information is and remains the exclusive property of the provider. If the TSO uses data on behalf of another party, the data are treated

in the same way as individual information of the TSO, but it remains property of the provider excepting other agreement. Each TSO may process the common data for its individual use. No change in the data limits the restrictions on the use of the data.

- S2.3. Intellectual property.** This code of conduct is not to be construed as granting the recipient any license or intellectual property rights related to the data and its future use, unless agreed otherwise.
- S2.4. Hardship.** If there should occur any extraordinary event or circumstance, independent of the will of the TSO, unforeseeable (including material legislative changes or positions taken by Authorities) and which fundamentally modifies the application of the current code of conduct, the parties seek to adjust it with bilateral or multilateral agreements, while protecting their respective interests.
- S2.5. Amendments of the code of conduct.** Bilateral or multilateral agreements between TSOs or other parties may complete this code of conduct, as long as they are not in opposition to it.
- S2.6. Internal reorganization.** If a party loses its responsibility for the system operation, i.e. as consequence of a restructuring process, this party informs UCTE in due time and will remain compelled to respect this code of conduct for the following twelve months.
- S2.7. Non-TSO data.** This code of conduct is also applied for data required from non-TSO-parties for operational TSO business. These data may only be provided by a TSO to the common information for the UCTE in case of agreement between the TSO and the non-TSO-party allowing such diffusion.
- S2.8. Transparency and non-discrimination.** No TSO enjoys any particular advantage or incurs any disadvantage as a result of their participation in any exchange of data.

Measures

- M1.** If one party is not able to provide his required information in due time, he warns immediately the other parties involved. In these cases, alternatives using historical information exchanged are used as far as possible.
- M2. Communication failure.** Entirely independent alternative for the communication medium is defined to be able to face a communication failure in normal, contingency or emergency situations.