

## **Guideline for setting up a balance group in accordance with balance group contract V2.1, valid from 1 December 2022**

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**Disclaimer:** This document is intended to serve as a tool for the registration process for setting up a balance group in accordance with **balance group contract V2.1, valid from 1 December 2022**. The balance group contract and its annexes generally apply.

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## 1 General information on setting up a balance group

To set up and manage balance groups with Swissgrid please consult the documents listed below.

The applicable contract with its annexes can be found on the Swissgrid website under Experts → Balance groups → Legal system – Balance Group<sup>1</sup>.

All help documents and templates can be found on the Swissgrid website under Experts → Balance groups → Downloads<sup>2</sup>.

### Balance Group Contract

- Balance group contract, valid from 01.12.2022
- Annex 1: General balance group regulations
- Annex 2: Technical Balance group regulations
- Annex 3: Registration form  
(Please complete the form on the customer portal for balance groups)
- Annex 4: Balancing Pooling
- Annex 5: Energy reserves

### Help document for the registration of balance groups

- Guideline for setting up a balance group

### Templates for the registration of balance groups

- Template 1: SEPA form
- Template 3: Attestation of pump and power plant shares
- Template 4: Authorisation
- Template 5: Sample application bank guarantee

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<sup>1</sup> <https://www.swissgrid.ch/en/home/customers/topics/legal-system.html#balance-groups>

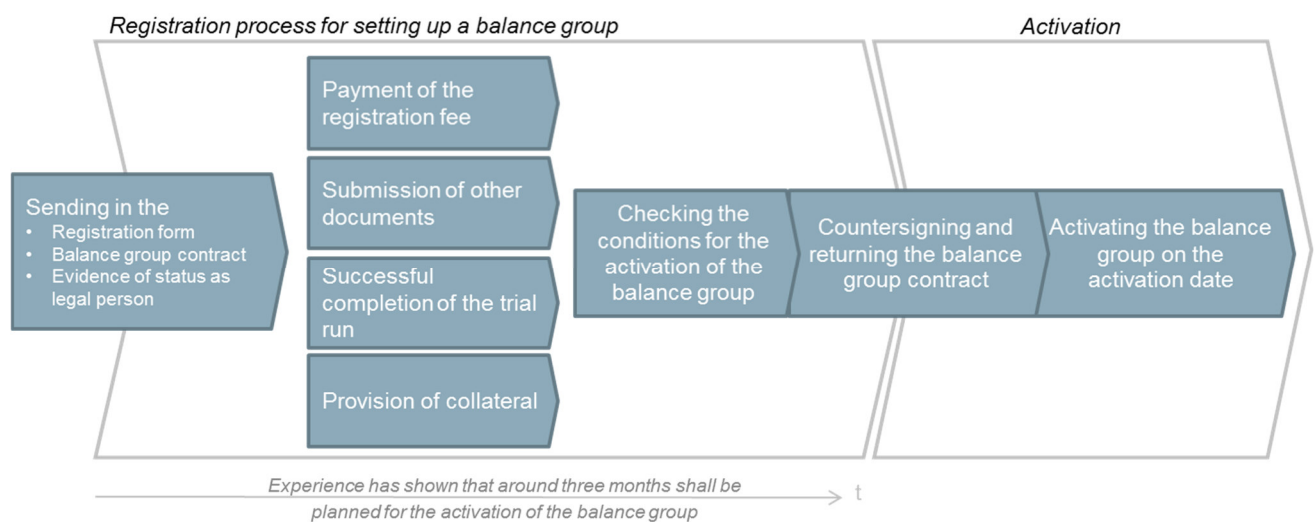
<sup>2</sup> <https://www.swissgrid.ch/en/home/customers/topics/bgm.html>

## 2 Overview of the registration process to set up a balance group

The registration process for setting up and activating a balance group consists of the five following main steps for the applicant:

- Sending Swissgrid a fully completed registration form, the balance group contract in duplicate as well as a legally valid evidence of the applicant's status as a legal person
- The payment of a registration fee of 6'250 €
- Submission of the other documents
- Successful completion of the trial run
- Provision of collateral

With the successful completion of these steps in the registration process, it will be possible to create the conditions for setting up a balance group in accordance with the balance group contract and its annexes.



The duration of the registration process depends on the quality of documents that the applicant submits, the time needed to react to requests and passing the test.

**Experience has shown that around three months shall be planned for the registration and activation of a balance group.**

### 3 Detailed steps for the applicant in the registration process

1. Register for the customer portal for balance groups<sup>3</sup>.
2. Complete the registration form on the customer portal for balance groups.
  - a. Once you have entered and submitted all the data it will be checked by Swissgrid. The following documents will then be sent to the email address of the Balance Group Manager.
    - i. The registration form with your data as a PDF document.
    - ii. The balance group contract as a PDF document.
  - b. Check the data on the registration form and complete the printout with the place, date and a legal signature.
  - c. Print out two copies of the balance group contract and complete the printouts with the place, date and a legal signature.
3. Send the registration form and the two copies of the balance group contract with the legally valid evidence of the applicant's status as a legal person to the following address by registered mail:

Swissgrid Ltd  
BG Management  
Bleichemattstrasse 31  
P.O. Box  
5001 Aarau  
Switzerland

- a. The following applies to the legally valid evidence regarding the applicant's status as a legal person:
  - i. The evidence may be no more than three months old.
  - ii. Swiss contracting party: An extract from the commercial register certified by the commercial registry official will be accepted. It does not have to be additionally notarised for the purpose of this agreement.
  - iii. Foreign contracting party: An extract from the commercial register that has been issued and/or certified in accordance with the national law of the country where the contracting party has its registered office will be accepted. If this is not available in German, English, French or Italian, a translation into one of the languages will also be required.

**Once Swissgrid has received these four documents you will enter the registration process.**

Please note that in the registration process further documents have to be submitted in physical or electronic form.

4. Swissgrid will send you a request to pay the registration fee of 6'250 € as soon as the registration form, two copies of the balance group contract and the evidence of the applicant's status as a legal person have been received.

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<sup>3</sup> [https://swissgrid.secure.force.com/webform?language=en\\_US](https://swissgrid.secure.force.com/webform?language=en_US)

5. Please also send the following documents by registered mail to the address given above (ideally with the balance group contract and the registration form).
  - a. Copy of the signatory's personal identity card
  - b. Certification of the signatory's place of residence in the original
  - c. Completed *template 1: SEPA form*<sup>4</sup> (1 copy for Swissgrid, 1 copy for your bank).
  - d. Confirmation from the applicant's bank that it has set up the SEPA business-to-business direct debit in Swissgrid's favour on the applicants account. No specific form is required for this evidence.
  - e. Optional: Completed *template 3: attestation of pump and power plant shares* if these are to be set off to the plausibility values
  - f. Optional: Completed *template 4: authorisation* if the applicant delegates schedule management and acceptance of the imbalance data to third parties.
  - g. Optional: For control energy scheduled deliveries abroad, evidence must be provided of consumption and/or production capacities in the control area Switzerland.
  - h. Optional: The authorisation of the signatory if this person is not indicated in the company's commercial register.
6. Swissgrid will check the provided information after receiving all documents to ensure that the application is complete and will draw your attention to any possible inadequacies. Incomplete or incorrectly completed documents may be corrected within a period of 30 days of a request to this effect from Swissgrid.
7. Swissgrid will provide the applicant with a confirmation of the limit that applies and information to the collateral that has to be provided.
8. Registration for Energy Reserve (ER) via customer portal
9. Registration for ECP INT and PROD and sFTP via customer portal
10. Successful completion of the balance group acceptance test. The BG Acceptance Test is carried out by the help of the Swissgrid test scheduling system. The test is done live via MS Teams. Swissgrid will send an Outlook appointment of approx. 1 hour during which the test scenarios will be carried out.
11. Please provide Swissgrid with the required collateral in the form of a bank guarantee (*template 5: bank guarantee*) together with evidence of the rating of the credit institution that issues the bank guarantee. Then send these documents by registered mail to the following address:

Swissgrid Ltd  
BG Management  
Bleichemattstrasse 31  
P.O. Box  
5001 Aarau  
Switzerland
12. Swissgrid will check whether all conditions for the activation of the balance group have been fulfilled.
  - a. Fulfilment of all conditions according to clause 1.1. of the general balance group regulations
  - b. Credit of the registration fee
  - c. Receipt of the collateral by Swissgrid

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<sup>4</sup> <https://www.swissgrid.ch/dam/swissgrid/customers/topics/bgm/2/SEPA-EN.pdf>

- d. Transmission of the plausibility values for balance groups with metering points
  - e. Successful completion of the trial run
  - f. Confirmation by the applicant's bank that the SEPA business-to-business direct debit mandate has been set up
13. Swissgrid will return a countersigned copy of the balance group contract to the applicant.
14. Swissgrid will activate the balance group of the applicant on the binding activation date that has been agreed. The applicant will therefore become balance group responsible.

**Balance groups are each activated on the first calendar day of the month.**

## 4 Overview of essential information and required documents

Information in accordance with the registration form (Annex 3 of the balance group contract)	Balance group type		
	1 BG with measuring points in Switzerland	2 BG without measuring points and with power plants or shares in Switzerland	3 BG without measuring points in Switzerland
1. General information about the company			
2. Further information about the company			
3. Contact offices of the balance group			
4. Data transfer			
5. Limits, plausibility values and collaterals	x	x	x
5.1 Choice of balance group type			
5.2 Control energy scheduling deliveries abroad			
5.3 Intraday Capacity Allocation border Austria-Switzerland			
5.4 Choice of Limit			
5.5 Submission of the plausibility values	x	n/a	n/a
5.6 Calculation of the plausibility values	no information required		
5.7 End customer profile	x	n/a	n/a
5.8 Details on metering points	x	n/a	n/a
5.9 Increase in collateral for balance groups with metering points	x	n/a	n/a
6.1 Summary of collaterals	no information required		
7.1 General documents - Organizational chart - Balance sheets of the last three years, if not publicly available	x	x	x
7.2 Documents for balance groups with metering points	x	x	n/a

Required documents (physical submission)	Balance group type		
	1 BG with measuring points in Switzerland	2 BG without measuring points and with power plants or shares in Switzerland	3 BG without measuring points in Switzerland
Registration form completed and undersigned (Annex 3 of the balance group contract; please complete on the customer portal)			
Balance group contract (2 copies, undersigned)			
Legally valid evidence of the applicant's status as a legal person			
Copy of the signatory's personal identity card	x	x	x
Certification of the signatory's place of residence (original)			
Collateral in the form of a bank guarantee as well as evidence of the credit rating of the issuing institution (Template 5)			
SEPA direct debit mandate incl. confirmation from the Bank of the BGM, indicating that SEPA has been set up to the benefit of Swissgrid (Template 1)			
Evidence of access to production or consumption	by need	by need	n/a
Evidence of own pump and power plant shares in Switzerland (Template 3)	by need	by need	n/a
Authorisation to manage schedule messages and receive imbalance data (Template 4)	by need		
Authorisation of the signatory, if the person is not listed in the company's commercial register	by need		