

Incident Report Template according to clause 2.3.3 «Exceptions» of the General Balance Group Regulations

Date 12th August 2019

Version: 2

Page: 1 von 6

Rationale:

According to Article 2.3.3 of the General Balance Group Regulations, Swissgrid may refrain from issuing a penalty if the BGM sends a corresponding request and report to Swissgrid within 14 days (unless otherwise stipulated below) after the event that caused the limit to be exceeded. Action from the balance group manager is required in the following four cases if the balance group manager request the waiving of the penalty:

1. Outage of the schedule systems on the part of the BGM (combined with the obligation to report immediately to the contact office for operational queries, but no later than two hours after the outage of the schedule systems) and written report according to the template. In addition the BGM is obliged to be balanced after the post scheduling adjustment.
2. Production failure at the BGM combined with the obligation to supply sufficient proof. This also applies if other balance groups are affected by the production failure.
 - o Outage > 100 MW: proof of the REMIT message
 - o Outage < 100 MW: proof of the production failure and written report according to the template provided
3. If limit 3 is demonstrably exceeded because the $PROD_{Max}$ or $PROD_{Min}$ values were not updated. The request for the waiver of the penalty should be submitted to Swissgrid (contact office for general queries) within 14 days. The correction of the $PROD_{Max}$ or $PROD_{Min}$ values must occur within three working days.
4. If the exceeding of limit 3 demonstrably took place because of a deviating control pooling delivery for the control energy request. The request for the waiver of the penalty must be sent together with details about the time when the exceedance took place.

In all 4 cases a written request is needed to be sent to Swissgrid. For case 2 (outage > 100 MW), please provide the proof of the REMIT message in your written request. For case 4 please state the details about the time when the exceedance took place in your written request. For all cases please fill out the relevant fields in the report below.

Please send the request for waving the penalty and if required the incident report to:

Swissgrid AG
Bilanzgruppenmanagement
Postfach
5001 Aarau
Schweiz

In case of questions, please write us an e-mail to bg-registration@swissgrid.ch.

Swissgrid will refrain from issuing a penalty automatically in the following three situations. No action is required in these cases by the balance group manager:

1. Intervention in power plant deployment by Swissgrid in a critical grid situation
2. Redispatch measures ordered by Swissgrid
3. Delegation of tertiary control reserve

Incident Report according to clause 2.3.3. of the of the General Balance Group Regulations

Balance Group Name:

EIC-Code of Balance Group:

Name of author:	E-Mail of author:	Phone Number of author:

Incident report concerning:	
<input type="checkbox"/> Outage of the schedule systems	<input type="checkbox"/> PROD _{Max} / PROD _{Min} values not up to date
<input type="checkbox"/> Production Outage < 100 MW	<input type="checkbox"/> Deviating control pooling delivery

If other balance groups were affected by this incident (especially for the outages cases), please state their EIC-Codes:

Please provide an explanation why Limit 3 has been exceeded or an imbalance occurred:

Please provide a detailed description of the incident. In case of outages of the schedule systems, please also state the different systems which were involved in the outage. In case of a production outage you may also send us screenshots of SCADA systems:

How does your company ensure that relevant IT systems have a high availability and a minimal downtime for execution of trades? Please also outline the topics redundancy of systems and availability of IT support. *not needed in case of production outage*

Please provide a detailed description how such incidents can be prevented in the future, for example by adapting systems and enhancing management processes.

Please state which measures were already taken after the incident:

--

Place:	Date:	Signature of author: