

Guideline for setting up a balance group in accordance with balance group contract V2.0, valid from 1 November 2016

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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 V2.0, valid from 1 November 2016**. 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 Group¹.

All help documents and templates can be found on the Swissgrid website under Experts → Balance groups → Downloads².

Balance Group Contract

- Balance group contract, valid from 01.11.2016
- Annex 1: General balance group regulations, valid from 01.11.2016
- Annex 2: Technical Balance group regulations, valid from 01.11.2016
- Annex 3: Registration form, valid from 01.11.2016
(Please complete the form on the customer portal for balance groups)
- Annex 4: Balancing Pooling, valid from 01.11.2016
- Annex 5: Provisions for the transition phase up to technical go-live, valid from 01.11.2016

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

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

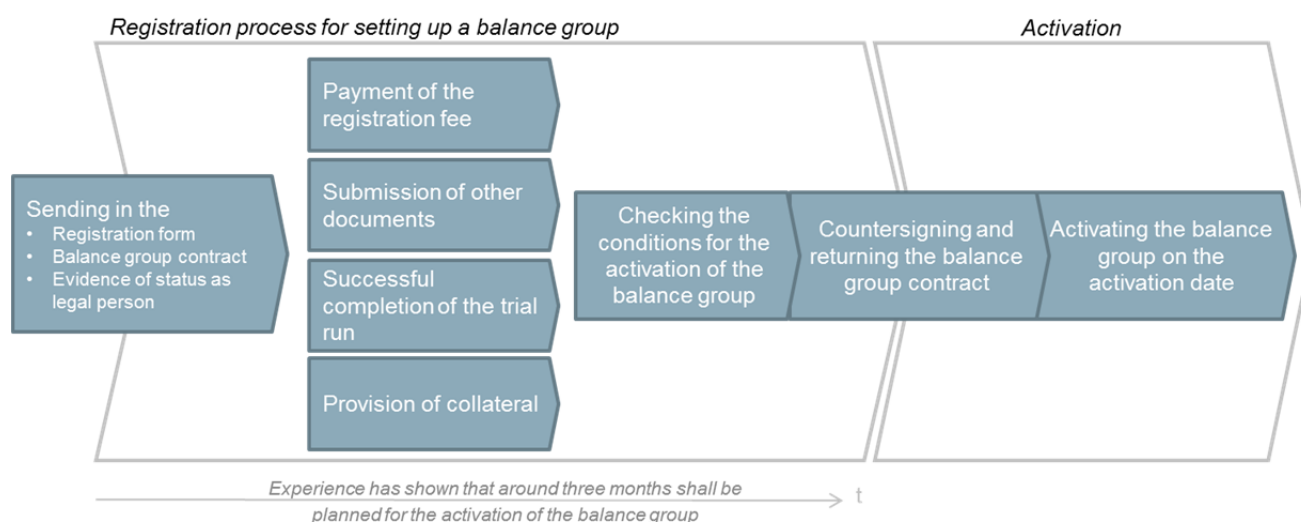
² <https://www.swissgrid.ch/en/home/customers/topics/bgm.html#documents-for-balance>

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 groups³.
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 your general contact:
 - 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.

³ <http://www.swissgrid.ch/en/home/customers/customer-portal-request.html>

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*⁴ (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. Swissgrid will provide information about registering for the balance group acceptance tests with Swissgrid's test partner DNV-GL. The balance group acceptance tests will be carried out in accordance with the balance group acceptance test specifications.
 - a. The applicant will make an appointment with DNV-GL for the performance of the ESS formal tests and process tests and will then carry out these tests.
 - b. The test platform for the ESS formal tests and process tests will be available to the applicant for 3 days. If the tests cannot be successfully completed in these 3 days, the applicant can make a new appointment with DNV-GL. The costs of the trial run are included in the registration fee. The costs for further trial runs will be charged directly to the applicant by DNV-GL.
 - c. The test platform for the SDAT formal tests and process tests will be provided free of charge.
 - d. DNV-GL will inform the applicant and Swissgrid of the results of the tests.
9. Swissgrid will perform the communication tests and configuration tests together with the applicant in accordance with clause 6 of the BG acceptance test specifications.
10. 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
Corporate Finance, Treasury & Tax
Bleichemattstrasse 31
P.O. Box
5001 Aarau
Switzerland

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

11. 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
 - 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
12. Swissgrid will return a countersigned copy of the balance group contract to the applicant.
13. 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 Auctions and intraday boarder Switzerland/ France			
5.4 Choice of Limit			
5.5 Submission of the consumption forecast (CONS)	x	n/a	n/a
5.6 Calculating the plausibility values	<i>no information required</i>		
5.7 End customer profile	x	n/a	n/a
5.8 Information on metering points	x	n/a	n/a
5.9 Increase in collateral for balance groups with metering points	x	n/a	n/a
5.10 End consumption in the billing unit (forecast)	x	n/a	n/a
6. Summary of collaterals	<i>no information required</i>		
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 Firmenlastschrift-Mandat inkl. Zusicherung der Bank des BGV, dass diese mit Swissgrid das SEPA Firmenlastschrift-Mandat einrichtet (Template 1)			
Evidence of access to production or consumption	<i>by need</i>	<i>by need</i>	n/a
Evidence of own pump and power plant shares in Switzerland (Template 3)	<i>by need</i>	<i>by need</i>	n/a
Authorisation to manage schedule messages and receive imbalance data (Template 4)	<i>by need</i>		
Authorisation of the signatory, if the person is not listed in the company's commercial register	<i>by need</i>		