

**Technical regulations and procedural rules for prequalification of an ASP
for the supply of primary control power**

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Preamble

The provisions contained in the Framework Agreement, which must be concluded as a prerequisite for the participation of the ASP in tenders for ancillary services put out by Swissgrid, state that the prequalification procedure is governed independently by Swissgrid and the corresponding regulations are published on the Swissgrid website. The procedural rules relevant for prequalification as an ASP of primary control power are summarised below. These rules (in particular in respect of the definition of certain terms) must be viewed in connection with the text of the Framework Agreement.

1 Application and the ASP's duty to cooperate

Prequalification requires a written application from the ASP. The forms provided on the Swissgrid website must be used. The ASP is obliged to furnish information concerning additional questions relevant to the prequalification. Swissgrid can also demand other relevant documentary proof from the ASP.

The technical/operational requirements for the supply of primary control power are set forth in the relevant prequalification documents, which are available on the Swissgrid website. The prequalification conditions in force at the time the application is made will apply. If new conditions enter into force during the prequalification procedure, the new regulations will apply for issue of the attestation. The ASP must also disclose, as part of the prequalification procedure, the processes via which control power is activated or control energy requested. An attestation can only be issued if these processes are described with sufficient clarity.

2 Scope of prequalification

An ASP prequalifies for a certain ancillary service and a certain pool of generating units. An individual generating unit can also be prequalified as a pool within the context of this procedure.

In accordance with the provisions of the Framework Agreement, the prequalification is a two-stage procedure. First of all, it must be demonstrated that the generating units intended for provision of the ancillary service concerned meet the technical requirements for supply of the corresponding SS product.

This proof must be furnished by the ASP testing its generating units in accordance with the documents published on the Swissgrid website and the procedures and conditions described in these prequalification regulations and providing Swissgrid with the records from the tests and measurements. In particular, this proof includes a test of the primary control capability of the generating unit. Swissgrid uses these documents to check the suitability of the generating unit. If the generating unit meets the technical requirements, Swissgrid will confirm this in writing via an attestation; and if it fails to meet the technical requirements, Swissgrid will give reasons for not issuing the attestation.

The availability of at least one technically prequalified generating unit in the pool of the ASP is, however, just one necessary condition for the prequalification, but it is not sufficient on its own. The ASP that wants to offer the corresponding generating units and does not have to be the PPO must, in addition, demonstrate that it meets all other requirements. Swissgrid must check that these requirements are met and, if the result is positive, a written attestation will be issued as confirmation. The validity period for the prequalification of a pool or an ASP cannot exceed the validity period of the technical prequalification of any generating unit that is part of the pool.

The validity period for the aforementioned attestations is a maximum of five years; it ends, however, at such time as the prequalification criteria undergo a material change, plus a transition period, which is generally six months up to the end of the tender period, during which the ASP is informed of the change to the prequalification criteria.

The contact for the prequalification of generating units can be either the PPO or the ASP. If the ASP assumes responsibility for the prequalification of generating units, it must receive the necessary powers of attorney in the internal relationship with the PPO.

When all the documents have been submitted to Swissgrid by the applicant, Swissgrid will then usually make a decision within 25 working days. This deadline may only be exceeded in exceptional circumstances and must be justified by Swissgrid in writing.

3 Expansion of prequalification

An existing prequalification can be expanded to include additional generating units; the procedure described here will apply in simplified form. If an already technically prequalified generating unit is to be added to an existing pool, only the organisational and other requirements must be checked. However, the proviso still applies that the validity period of the prequalification of a pool or an ASP may not exceed the validity period of the technical prequalification of any generating unit that is part of the pool.

4 Implementation of the testing procedure by third parties

Swissgrid can transfer the implementation of the test or parts thereof to a service provider authorised by Swissgrid who has the necessary expertise. All rights assigned to Swissgrid as part of the testing procedure can also be exercised by this service provider. In addition, the service provider must also fulfil all associated obligations.

5 Proof of successful prequalification by attestation

Once the test has been completed successfully, Swissgrid will issue an attestation in accordance with the provisions of the Framework Agreement, which the ASP can use as proof that it meets the technical and organisational requirements for provision of the relevant ancillary service.

6 Extension of the validity of an attestation; simplified procedure

Upon request by the ASP, the validity of an attestation can be extended. If the ASP proves that no major changes have occurred since the time of the previous test, Swissgrid can conduct a simplified test procedure. An extension of an attestation following the simplified procedure can be requested no earlier than three months before the end of the validity of the original attestation.

7 Test failure

If the examination of an application shows that the ASP or the generating units intended for the pool of this ASP do not meet the technical and organisational requirements for the ancillary service concerned, an attestation will not be issued. If an attestation has already been issued previously, this will become invalid when it is determined that the requirements are not met. Where there are only minor deficiencies, Swissgrid may, at its own discretion, declare an attestation temporarily valid until compliance with the prequalification conditions has been proven again. Swissgrid will set an appropriate deadline for the ASP by which it must furnish the corresponding proof. If no proof is provided by the deadline, the attestation will automatically lose its validity in full. Further details and legal consequences are set out in the Framework Agreement.

Furthermore, an attestation also loses its validity on the date that the termination of the respective Framework Agreement becomes effective.

8 Technical conditions

The technical conditions are contained in the prequalification documents published on the Swissgrid website.

9 Changes to prequalification conditions

If the prequalification conditions change materially, Swissgrid will inform prequalified ASPs of the changes in writing and set them a deadline within which they must prove that they also fulfil the modified prequalification conditions. As a rule, this deadline should be six months from the end of the tender period in which the ASP was informed of the changes. If proof is not furnished, the validity of the attestations will lapse when the deadline is reached.

The deadline may be brought forward

1. for reasons of system security or due to other mandatory requirements, or
2. if all prequalified ASPs and all companies that have already submitted an appropriate application are in agreement with the changes.