



FUNCTIONING RULES:

Prequalification Processes

05/05/2020

Table of contents

1 INTRODUCTION	5
2 TERMINOLOGIES	6
2.1 Roles-related terminology	6
2.2 Delivery Point-related terminology	7
2.3 Units-related terminology	7
2.4 Prequalification Processes-related terminology	8
3 ELIGIBILITY CONDITIONS	9
3.1 Conditions for the CRM Candidate's participation	9
3.1.1 Application form	9
3.1.2 Compliance check(s)	9
3.2 Conditions for the Standard & Specific Prequalification Processes	10
3.2.1 Conditions for Delivery Points	10
3.2.1.1 Standard conditions applicable for Existing or Additional Delivery Points	10
3.2.1.2 Additional Conditions for CDS connected Delivery Points	11
3.2.1.3 Additional Condition for DSO-connected Delivery Points	11
3.2.2 Conditions for CMUs	11
3.2.2.1 Specific conditions for Existing and Additional CMUs	11
3.2.2.2 Specific conditions for Virtual CMUs	12
3.2.3 Conditions for the CRM Candidate	12
3.3 Conditions for the fast track Prequalification Process	12
4 PREQUALIFICATION FILE REQUIREMENTS	14
4.1 Requirements for Standard and Specific Prequalification Processes	15
4.1.1 Requirements for the Prequalification Process	15
4.1.1.1 Requirements per Existing and Additional Delivery Points	15
4.1.1.2 Requirements per Existing, Additional and Virtual CMUs	18
4.1.2 Requirements prior to any Transaction Period	20
4.1.3 Generation of Project ID	20
4.2 Requirements for fast track Prequalification Process	21
5 PREQUALIFICATION REVIEW PROCESS	22
5.1 Application form – Compliance-check period	22
5.2 Prequalification File – Compliance-check period	23

6 VOLUMES DETERMINATION	25
6.1 Nominal Reference Power	25
6.1.1 Standard Prequalification Process	25
6.1.1.1 Nominal Reference Power determination of Existing Delivery Points	25
6.1.1.1.1 For TSO-connected Delivery Points	25
6.1.1.1.1.1 1 st method – Use of historical data	26
6.1.1.1.1.2 2 nd method – Use of historical balancing results	26
6.1.1.1.1.3 3 rd method – Prequalification test organization	27
6.1.1.1.1.4 Provisional Nominal Reference Power Notification and contestation	28
6.1.1.1.2 For DSO-connected Points	29
6.1.1.1.2.1 Nominal Reference Power determination	29
6.1.1.1.2.2 Final Nominal Reference Power Notification and contestation	29
6.1.1.1.3 For CDS-connected Points	29
6.1.1.1.4 Adaptation of the Opt-Out Volume	29
6.1.1.2 Nominal Reference Power determination for Additional Delivery Points	30
6.1.1.3 Nominal Reference Power determination for CMUs	30
6.1.2 Specific Prequalification Process	30
6.1.3 Fast track Prequalification Process	30
6.2 Opt-Out Volume	31
6.2.1 Opt-Out Notification	31
6.2.1.1 Standard Prequalification Process	31
6.2.1.2 Specific Prequalification Process	31
6.2.1.3 Fast track Prequalification Process	31
6.2.2 Treatment of Opt-Out Volume	31
6.3 Reference Power	34
6.4 Eligible Volume	34
6.4.1 Standard Prequalification Process	34
6.4.2 Specific Prequalification Process	34
6.4.3 Fast track Prequalification Process	35
6.5 Secondary Market Eligible Volume	35
6.6 Fast Track volume	35
7 PREQUALIFICATION RESULTS NOTIFICATION	36

7.1 Standard & Specific Prequalification Processes	36
7.1.1 Results notification	36
7.1.2 Opt-Out Volume adaptation	37
7.2 Fast track Prequalification Process	37
7.3 Notification to CREG	37
8 EVOLUTION IN TIME	38
8.1 General principles	38
8.2 Renewal of CMU's prequalification	39
8.3 Renewal of the Opt-Out Notification	40
8.4 Automatic update(s) performed by ELIA	40
8.4.1 Volumes update	40
8.4.1.1 Volumes related to a CMU	41
8.4.1.2 Remaining Eligible Volume	41
8.4.1.3 Secondary Market Remaining Eligible Volume	43
8.4.2 Capacity Category update	43
8.5 Update(s) to be performed by the CRM Candidate	43
8.5.1 Evolution of CRM Candidate's Application form	44
8.5.2 Evolution of CRM Candidate's Prequalification File	44
8.5.2.1 Update linked to a Delivery Point	45
8.5.2.2 Update linked to a CMU	45
8.5.3 Evolution due to legal updates	46
9 IT REQUIREMENTS	47

1 INTRODUCTION

The purpose of a Prequalification Process is to determine whether or not a Capacity Holder – or an entity he has designated through a Grid User Declaration – is eligible to participate in the Primary Market or the Secondary Market related to the CRM.

This document details the three (3) different Prequalification Processes that may be followed by a Capacity Holder or an entity the Capacity Holder has designated. It is structured in four (4) main parts.

The purpose of the first part of this document is to describe the most important terminologies linked to the roles, the units and the Prequalification Processes of the CRM Service. This part of the document only includes one (1) section.

The second part outlines the three (3) different Prequalification Processes (standard, specific and fast track) to be followed and the related obligations and requirements to be respected in order to succeed these Prequalification Processes. This second part is organized around six (6) sections and respects the sequential process a CRM Candidate will have to go through when prequalifying (standard, specific or fast track Prequalification Process) a CMU or a virtual CMU.

The third part, which includes only one (1) section, focuses on the possible evolutions of a Prequalification File over time. It lists the reasons that may lead to an evolution of an already prequalified CMU as well as the conditions upon which a CMU remains prequalified for another Auction.

The last part of this document, that consists of only one (1) section too, aims to describe how ELIA will check the good access, functioning and understanding of the IT interfaces.

As specified in document **XX (Legal and Governance)**, the CRM Candidate is responsible for the accuracy and the relevancy of the information provided. For sake of clarity, this includes their evolution and validity in time, according to the modalities of the penultimate section.

ELIA shall have the right to audit (or have made audited) all along the process all information as provided by a Capacity Holder or another entity the Capacity Holder has designated through a Grid User Declaration. In case of inconsistencies detected consecutive to these checks, modalities specified in document **XX** apply.

2 TERMINOLOGIES¹

This section clarifies essential CRM-specific terminologies that must be understood prior to the reading of section 3 and following. This is to be read in complement to the “list of definitions” in document **XX (definitions)**. It is divided in four (4) categories: roles, delivery point, units and Prequalification Process.

2.1 Roles-related terminology

Specific roles are needed because rights and obligations will differ depending on the stage of the whole CRM process (Prequalification – Auction – Pre-delivery – Delivery). In this way, four (4) roles have been defined and are reminded below:

- **Capacity Holder:** According to the CRM Law, article 2, 74° and to document **XX (definitions)**, every natural person or legal entity that can offer Capacity, either on an individual or aggregated basis.
From the moment a Capacity Holder wishes to participate to the CRM (via the Primary Market or the Secondary Market), he shall request an access to the Prequalification Platform and this request is done by submitting an application form which shall be approved by ELIA.
- **CRM Candidate:** According to document **XX (definitions)**, a Capacity Holder or another legal entity the Capacity Holder has designated through a Grid User Declaration whose application form has been accepted by ELIA.
- **Prequalified CRM Candidate:** According to document **XX (definitions)**, The CRM Candidate that is allowed to participate in the Primary Market or the Secondary Market thanks to the prequalification of one or several (Virtual) Capacity Market Unit(s).
This status is reached when the CRM Candidates succeeded the standard or the specific Prequalification Process.
- **Capacity Provider:** According to the CRM Law, article 2, 75° and to document **XX (definitions)**, every Capacity Holder – another legal entity the Grid User has designated through a Grid User Declaration – selected after closing of the Auction and that will keep available a capacity during the Delivery Period in return for a Capacity Remuneration. The CRM Candidate which has not been selected after closing of the Auction, but wants to participate to the Secondary Market, is assimilated to the Capacity Provider, provided that he signs a Capacity Contract.

¹ Such section will be later included in a section “Terminologies” general for the whole Functioning Rules for the Capacity Remuneration Mechanism.

2.2 Delivery Point-related terminology

As detailed in section 3.2.2, a CMU consists of at least one Delivery Point. Two (2) possible status can be associated to a Delivery Point:

- **Existing Delivery Point:** As per defined in document **XX (definitions)**, a Delivery Point associated to an Existing Capacity. A Delivery Point shall be therefore considered as “Existing” from the moment the Nominal Reference Power can be determined by ELIA based on 15 minutes measurements and as per one of the three possible methodologies (as detailed in section 6.1.1.1.1) or by the relevant DSO (as detailed in section 6.1.1.1.2).
- **Additional Delivery Point:** As per defined in document **XX (definitions)**, a Delivery Point associated to an Additional Capacity. A Delivery Point shall be therefore considered as “Additional” if it is not yet connected to the electricity grid (CDS, DSO or TSO Grid) or not equipped yet with a metering device (respecting the metering requirements of Annexes A and B) at the moment of the Prequalification File submission date. The Nominal Reference Power will therefore be a value declared by the CRM Candidate as part of his Prequalification File.

2.3 Units-related terminology

As soon as the Capacity Holder – or another legal entity a Grid User has designated through a Grid User Declaration (section 3.2.1.1) – becomes a CRM Candidate, he is allowed to introduce his Prequalification File(s) on the Prequalification Platform. A Prequalification File is linked to only one **Capacity Market Unit** (hereafter “CMU”) or one **Virtual Capacity Market Unit** (hereafter “VCMU”).

As detailed in Annex C, a Capacity Market Unit may be:

- An **individual CMU** if the CMU contains only one Delivery Point; or
- An **aggregated CMU** if the CMU contains more than one Delivery Point.

As per defined in document **XX (definitions)**, three (3) possible status can also be associated to a CMU:

- **Existing CMU:** A Capacity Market Unit that only includes Existing Delivery Points.
- **Additional CMU:** A Capacity Market Unit which includes at least one Additional Delivery Point.
- **Virtual CMU:** Capacity Market Unit associated to Unproven Capacity. Where an Unproven Capacity is a Capacity that, at the moment of submission of the Prequalification File, cannot be associated to a specific Delivery Point.

2.4 Prequalification Processes-related terminology

The three (3) different Prequalification Processes are defined as follows:

- **Standard Prequalification Process:** The process to be followed by a CRM Candidate who wants to prequalify a CMU with a status of Existing or Additional and willing to participate to the Primary Market or the Secondary Market with this related CMU.
- **Specific Prequalification Process:** The process to be followed by a CRM Candidate who wants to prequalify a VCMU (Unproven Capacity) and willing to participate to the Primary Market with this related VCMU.
- **Fast track Prequalification Process:** The process to be followed by a Capacity Holder who does not want or is not allowed to participate to the Primary Market but has the legal obligation to submit a Prequalification File to ELIA according to the rules defined in the Royal Decree on Eligibility Criteria related to Cumulative Support and Minimal Participation Threshold and in the Electricity Act, Art. 7undecies. § 4.

3 ELIGIBILITY CONDITIONS

This section describes the conditions to comply with for:

- A Capacity Holder – or another legal entity a Grid User has designated through a Grid User Declaration (section 3.2.1.1) – who wants to submit an application form;
- A CRM Candidate who wants to submit a compliant Prequalification File to ELIA.

3.1 Conditions for the CRM Candidate's participation

Prior to submitting a Prequalification File, and in addition to the Delivery Points and CMU requirements as detailed respectively in section 3.2 for the standard and the specific Prequalification Processes and in section 3.3 for the fast track Prequalification Process, a Capacity Holder shall first become a CRM Candidate by filling in the application form and then mark his acknowledgment with the list of documents in section 3.1.2.

The entire process to be followed in order to prequalify a CMU or a VCMU shall be done by the Capacity Holder.

3.1.1 Application form

As a first step, the Capacity Holder is invited to fill-in the application form through a preliminary access to the Prequalification Platform.

Such form is also available, for information only, in Annex D for a legal person and in Annex E for a natural person. The review process of such document is detailed in section 5.1.

After the application form has been filled out, the CRM Candidate shall ensure and keep compliancy with the GDPR conditions (as per document **XX**).

3.1.2 Compliance check(s)

Once the application form is approved by ELIA (following the rules of section 5.1), the CRM Candidate is asked by e-mail to create a password. After this approval and the creation of a password, but prior to the possible submission of a Prequalification File, the CRM Candidate shall ensure and keep compliancy with the six (6) following items, by marking dedicated boxes in the Prequalification Platform, namely:

1. Acknowledgment of the Functioning Rules for the Capacity Remuneration Mechanism;
2. Acknowledgment of the Capacity Contract conditions in case of Contracted Capacity for the forthcoming Auction;
3. The compliance of each Delivery Point with eligibility criteria, as defined in the Electricity Act (cf. Art. 7undecies. §4, 1°, 2° and 3°) and dedicated Royal Decree

referred to in Article 7undecies §4 of the Electricity Act;

4. The compliance of each Delivery Point with an Existing status with the production license requirements as defined in article 4 of the Electricity Act;
5. The compliance of each Delivery Point with an Existing status with the maximal CO₂ emission thresholds set by the Regulation (EU) 2019/943; and
6. The compliance of each Delivery Point with any other relevant legal and regulatory framework.

By refusing the first requirement, the CRM Candidate will not be able to proceed further and to participate to any Prequalification Process. By not accepting the last 5 requirements, the CRM Candidate will not be able to start the standard or the specific Prequalification Processes and will be thus invited to follow the fast track Prequalification Process.

It is the (Prequalified) CRM Candidate's responsibility to keep ensuring full compliancy with the six (6) above conditions in case of evolution in time following section 8.

To assist the (Prequalified) CRM Candidate or the Capacity Provider, ELIA will send a notification informing him about the updated changes and requiring him to enter again into such process (section 8.5.3).

3.2 Conditions for the Standard & Specific Prequalification Processes

If a CRM Candidate wants to prequalify a CMU, he shall respect the following conditions for the related Delivery Point(s), CMUs and at portfolio level (CRM Candidate).

3.2.1 Conditions for Delivery Points

In addition to the definition provided in document **XX (definition)**, a Delivery Point may be any point or a group of points identified by:

- A Headmeter at an Access Point connected to the ELIA Grid or to a CDS;
- A Headmeter at an Access Point connected to the DSO Grid;
- A Submeter within the electrical facilities of a Grid User downstream of an Access Point connected to the ELIA Grid or to a CDS;
- A Submeter within the electrical facilities of a Grid User downstream of an Access Point connected to the DSO Grid.

3.2.1.1 Standard conditions applicable for Existing or Additional Delivery Points

A Delivery Point shall respect the following conditions:

- Be part of one CMU only; and
- Be allocated to one CRM Candidate only; and
- Be compliant with combinability rules as detailed in Annex C; and
- Is equal to or related to an Access Point (cf. beginning of section 3.2.1); and

- Respect the metering requirements as detailed in Annexes A and B.

In the event the Grid User differs from the CRM Candidate, the latter shall timely (as per section 4.1.1.1) obtain from the related Grid User(s) and for each of the latter's Delivery Point a signed declaration (see Annex F) respecting the following requirements:

- A Delivery Point can be related to only one Grid User Declaration at a time;
- The minimum requirements to be used into this Grid User Declaration can be found in Annex F; and
- A copy of the Grid User Declaration shall be uploaded into the Prequalification File via the Prequalification Platform.

All above mentioned conditions will be later on checked by ELIA (as per section 5.2) during the Prequalification Process with a view to approving or not the Prequalification File in respect of its compliancy.

Any modification(s), update(s) or deletion of an identified Delivery Point shall follow the process as detailed in section 8.5.2.1.

3.2.1.2 Additional Conditions for CDS connected Delivery Points

In addition to the standard conditions as referred to in section 3.2.1.1 and, in case of Delivery Point(s) connected to a CDS, the CRM Candidate is required to timely (as per section 4.1.1.1) provide a signed version of CDS-Operator agreement through the Prequalification Platform.

3.2.1.3 Additional Condition for DSO-connected Delivery Points

The CRM Candidate shall sign with the relevant DSO a DSO-CRM Candidate Agreement using the latest template made available by Synergrid for any Delivery Point connected to a DSO Grid and prior to his possible prequalification. This agreement will not be asked by ELIA as it will already be checked beforehand by the DSO.

3.2.2 Conditions for CMUs

The two (2) following sections respectively describe the conditions that shall be respected by any CMU and any virtual CMU to be prequalified. Some additional information about CMUs can be found in Annex C.

3.2.2.1 Specific conditions for Existing and Additional CMUs

Any Existing and Additional CMU shall respect the following conditions:

- It consists of at least one Delivery Point; and
- The sum of the Nominal Reference Power(s) of all Delivery Point part of a CMU shall be higher than or equal to the minimum Capacity threshold defined by the Royal Decree on Eligibility Criteria related to Cumulative Support and Minimal Participation Thresholds.

3.2.2.2 Specific conditions for Virtual CMUs

A Virtual Capacity Market Unit shall respect all the following conditions:

- The VCMU is not composed of Delivery Point(s) already identified at Prequalification File submission date;
- The Declared Eligible Volume of the VCMU shall:
 - o Be higher than or equal to the minimum Capacity threshold defined in the Royal Decree referred to in Article 7undecies §4 of the Electricity Act defining the possibility for a Capacity Holder to benefit from Operating Aid ; and defining the threshold
 - o Shall not exceed 400 MW;
- For each Delivery Period, one Virtual CMU only can be submitted by a CRM Candidate at the Prequalification stage. As per document **XX (Auction)**, this does not prevent a Prequalified CRM Candidate to submit several bids related to that Virtual CMU in an Auction;
- A Virtual CMU can only participate in the Y-4 Auction;
- A Virtual CMU shall relate to a 1-Delivery Period Capacity Contract only.

3.2.3 Conditions for the CRM Candidate

As part of the Prequalification Process and once the application form has been approved by ELIA, access to the Auction demo platform² is granted to the CRM Candidate. The purpose of this Auction demo interface is for the CRM Candidate to demonstrate his good understanding of the bidding requirements. In this way, ELIA requires from the CRM Candidate to successfully pass the tests foreseen in this Auction demo tool at latest 5 Working Days prior to the Prequalification Result notification.

Unsuccessful tests shall result in a rejection of the Prequalification File and a denied access to the Auction.

3.3 Conditions for the fast track Prequalification Process

A CMU that follows the fast track Prequalification Process shall consist of only one Delivery Point. This Delivery Point shall respect the following conditions per Delivery Period:

- Its Nominal Reference Power shall be higher than or equal to the minimum Capacity threshold defined by the eligibility criteria defined in the related Royal Decree³ referred to in Article 7undecies §4 of the Electricity Act; and

² Information about the Auction Demo will be shared by ELIA with market parties for the Task Force of 5/5/2020.

³ Royal Decree on Eligibility Criteria related to Cumulative Support and Minimal Participation Threshold.

- It shall be part of one CMU only; and
- It shall be allocated to one CRM Candidate only; and
- Is equal to or related to an Access Point; and
- If necessary and following the same rules as described in sections 3.2.1.1 and 4.1.1.1, the CRM Candidate shall provide a Grid User Declaration for his Delivery Point.

4 PREQUALIFICATION FILE REQUIREMENTS

The purpose of this section is to list all required data and documents to be timely (as per detailed in each table of sections 4.1.1.1, 4.1.1.2, 4.1.2 and 4.2) submitted by a CRM Candidate, through the Prequalification Platform in the event that he wants to succeed one of the Prequalification Processes. All of these data and documents make up the Prequalification File.

A Prequalification File is for one CMU or VCMU only, considering that there are as many possible Prequalification File(s) as there are (V)CMU(s) eligible to such CRM process.

The Prequalification File requirements vary depending on the type of Prequalification Process (standard, specific and Fast Track), the level (Delivery Point or CMU) but also on the related status (Existing, Additional or Unproven) as detailed below.

As a preliminary note to the below instruction(s), it is required from the CRM Candidate to submit his complete and accurate Prequalification File(s), in line with obligations (section 3), requirements (section 4) and Service Time Schedule (Annex G).

All data or document(s) listed into the three (3) tables below shall be either filled in directly on the Prequalification Platform or uploaded as an attachment, in the format as specified in document **XX (Communication)**. For some, a drop-down menu could be proposed with limited choice.

A granularity of 0.01 applies for any data expressed as a quantity. Moreover, in its calculations, ELIA will apply the mathematical rounding in order to maintain a granularity of 0.01 at each step and for each type of numerical data.

4.1 Requirements for Standard and Specific Prequalification Processes

4.1.1 Requirements for the Prequalification Process

The two (2) following tables include all the data and documents that shall be provided by a CRM Candidate as part of his Prequalification File in order to be considered as “compliant” (as per section 0).

4.1.1.1 Requirements per Existing and Additional Delivery Points

The following data and documents shall be provided to ELIA via the prequalification platform for each Delivery Point depending on the status of this Delivery Point (Existing or Additional). As a virtual CMU is not linked to a Delivery Point at the time of the Prequalification Process, none of the following data and documents shall be provided to ELIA if the CRM Candidate is prequalifying an Unproven Capacity. As per document **XX (Pre-delivery)**, a CRM Candidate will only have to provide the following data for his Existing Delivery Point(s) during the pre-delivery period.

Requirements	Type of data	Comments	Delivery Point's status	
			Existing	Additional
Type of Delivery Point	Name (drop-down list)	The CRM Candidate needs to inform ELIA if the Delivery Point is connected to the Transmission System Operator (TSO), a Distribution System Operator (DSO) or a Closed Distribution System (CDS). In the event that the Delivery Point is connected to a CDS, the CRM Candidate also needs to inform ELIA if the Delivery Point is connected to the TSO or the DSO Grid.	X	X
Delivery Point's name	Name	If the Delivery Point has a status of Existing or Additional, the CRM Candidate shall choose and communicate a Delivery Point's name. There is no requirement for the choice of this name.	X	X
Single line diagram	Diagram (pdf)	A single line diagram is a diagram with specific identification of the exact location of the Delivery Point. A single line diagram can include more than one Delivery Points. An example is provided in Annex F.	X	X
Technology	Name (drop-down list)	The technology of the Delivery Point shall be supplied according to the list provided into Article 13 §1 of the Royal Decree on Methodology.	X	X
List of Delivery Points located on the same geographical site	Number or name	The CRM Candidate shall provide the list of all the EAN codes of the Delivery Point(s) (for Existing) or all the names of the Delivery Point(s) (for Additional) that are located on the same geographical (as per definition in document XX) site of the Delivery Point which is submitted for prequalification. In the event that the CMU is linked to more than one investment file, the CRM Candidate has the possibility to propose more than one list of Delivery Point (each list being linked to an investment file).	X	X

Technical dependency with other Delivery Points	Number	The CRM Candidate shall provide the EAN code(s) of the other Delivery Point(s) (for Existing) or the name of the Delivery Point(s) (for additional) and the ID of related CMU which are technically dependent as per definition in document XX . The direction in which these Delivery Points are linked shall also be provided (eg: Steam – Gas turbine). In the event that the CMU is linked to more than one investment file, the CRM Candidate has the possibility to propose more than one list of Delivery Point (each list being linked to an investment file)	X	X
The Opt Out Volume repartition per Delivery Point	Number (in %)	If he wishes, the CRM Candidate can communicate, the repartition (in MW) of the Opt-Out Volume communicated on CMU level on each Delivery Point part of that CMU. By default, the distribution will be made in an equitable manner among all the Delivery Points part of the CMU. This repartition is only used in case a Delivery Point is deleted (as per section 8.5.2.1) or during the pre-delivery period (see Document XX).	X	X
CDSO Declaration	Signed document	In case of CDS-connected Delivery Point, the CRM Candidate shall provide a CDSO Declaration. This declaration can be found in Annex I.	X	X
EAN code of the Access Point	Number	The Access Point is a point characterized by a physical location and a voltage level for which an access to the transmission system is allocated to the access holder. The EAN code is the International Article Number. This is the number of the Access Point which is related to the Delivery Point.	X	(X)
EAN code(s) of the Delivery Point	Number	The EAN is a unique number used to identify the metering device related to the Delivery Point.	X	
Expected Nominal Reference Power	Number (in MW)	As per document XX (definitions) , it is the Nominal Reference Power, as estimated by the CRM Candidate, of an Existing Delivery Point which has been submitted to participate to a standard Prequalification Process.	X	
CO₂ emission attestation	Signed letter	It is an attestation delivered by a competent national body (for production units with an installed capacity of more than 5 MW and burning commercial standard fuels) or by the CRM Candidate (for production units with an installed capacity of less than 5 MW) as per Regulation (EU) 2019/943.	X	
CO₂ emission	Number (in g/kWh)	Based on the CO ₂ emission attestation, the CRM Candidate is invited to provide the CO ₂ emission of the Delivery Point. The value will be used for the Auction in case tie-breaking rules are necessary.	X	
Preferred Nominal Reference Power methodology	Name (drop-down list)	When the Delivery Point has an Existing status, the CRM Candidate needs to choose a method amongst the three possible to determine the Nominal Reference Power (see section 6.1.1.1.1)	X	
Prequalification test profile for method 3	Date (in D/MM/YY) and hours (in HH:MM)	In case the method 3 to determine the Nominal Reference Power (see 6.1.1.1.1) is selected by CRM Candidate, ELIA needs an expected test date in a timing defined in section 6.1.1.1.1.	X	
Baseline adjustment	Yes/No	The methodology used by ELIA to evaluate the Baseline follows a standard process. In the event that the standard methodology is not suitable for the CRM Candidate and that some adjustments shall be made, the CRM Candidate shall select "yes" in the Prequalification Platform. By doing so, he will be contacted by ELIA in due time. More information can be found in document XX (Availability Monitoring) and in Annex J.	X	
Unsheddable Margin	Number (in MW)	The Unsheddable Margin is the minimal amount of net active power offtake (in MW) that cannot be curtailed (inflexible or unsheddable power) at the Delivery Point(s) concerned. It cannot be lower than the negative of the Nameplate capacity of generation and the negative of the Max injection.	X	
Nameplate capacity of generation	Number (in MW)	The sum of nameplate capacities of any generation units installed or to be installed with a direct or indirect electrical connection to the Delivery Point and intended to provide the	X	

		Service.		
Net offtake/ net injection	data	The CRM Candidate shall indicate to ELIA whether his Delivery Point has a net injection or a net offtake.	X	
Full technical injection Capacity	Number (in MW)	This is the maximum possible injection of active power as measured at the Delivery Point. The term injection is used to designate a certain sense of energy flow and does not exclusively refer to the technical means with which Service is provided. The CRM Candidate needs to put a data here only if his injection shall be taken into account in the Service.	X	
Full technical offtake Capacity	Number (in MW)	This is the value indicating the maximum possible offtake of active power at a Delivery Point. The term offtake is used to designate a certain sense of energy flow and does not exclusively refer to the technical means with which Service is provided. The CRM Candidate needs to put a data here only if his offtake shall be taken into account in the Service.	X	
Grid User Declaration	Signed letter	The Grid User Declaration is a signed letter to provide in case the Grid User differs from the CRM Candidate. The list of the following clauses that must at least be presented into this signed letter can be found in Annex F.	X	
Renouncing the operating aid	Signed letter	In the situation where the Capacity Holder benefits from an operating aid during one or more Delivery Period(s), a letter in which he states he is renouncing to the Operating Aid in case it signs a Capacity Contract shall be provided (see related Royal Decree ⁴ referred in Art. 7undecies. §4 of the Electricity Act and Annex K)	X	
Declared Nominal Reference Power	Number (in MW)	As per document XX (definitions) , it is the Nominal Reference Power, as declared by the CRM Candidate, of an Additional Delivery Point which has been submitted to participate to a standard Prequalification Process.		X
Existing connection capacity	Number (in MW)	It is the connection capacity (as per Connection Contract, with contract's reference). Such value is used by ELIA to determine the grid constraints applicable to the forthcoming auction.		X
Information related to production license	list of information	As specified in the Electricity Act, a prequalification file must contain either a valid production license or the relevant information in order to obtain it at a later stage. The list of "relevant information" and related process is being established with the FPS and will be clarified at a later stage.		X

⁴ Royal Decree on Eligibility Criteria related to Cumulative Support and Minimal Participation Threshold.

4.1.1.2 Requirements per Existing, Additional and Virtual CMUs

The following data and documents shall be provided to ELIA via the prequalification platform for each CMU depending on the status of this CMU (Existing or Additional or Unproven).

Requirements	Type of data	Comments	Status of the Delivery Point		
			Existing	Additional	Unproven
Information linked to financial security ⁵	NA	Each time a CMU is submitted into the Prequalification Platform, the CRM Candidate shall upload information as required in document XX (Financial Security) .	X	X	X
Opt-Out Notification	Number (in MW)	As per detailed in section 6.2 and Annex XX , in the event that the CRM Candidate wants to declare an Opt-Out Volume for his CMU, an Opt-Out Notification shall be provided to ELIA following the Annexes L and M, per Auction for which he wants to declare an Opt-Out Volume.	X	X	
Project ID	Number	As per section 4.1.3, the CRM Candidate shall provide or ask for a project ID via the Prequalification Platform in the event that the CMU is linked to one investment file with CREG.	X	X	
Choice of a Derating Factor	Number (drop-down list)	As detailed in the methodology referenced in Article 7undecies, §2 of the Electricity Act, the CRM Candidate shall select a Derating Factor among the SLA categories or the Derating Factor categories. This selection may be subject to audit by ELIA from the moment it has been submitted in the Prequalification File. In the event that the Derating Factor as chosen by the CRM Candidate does not comply with the methodology referenced in Article 7undecies, §2 of the Electricity Act, termination or suspension clause may apply as per document XX (legal and governance) . Additional information about the Derating Factor can also be found in Annex N. If the CMU is linked to more than one project ID, the CRM Candidate can provide more than one Derating Factor (e.g:OCGT or CCGT configuration / two possible projects on same site). Each project ID will be linked to a specific Derating Factor.	X	X	
Project execution plan	Document	The project execution plan is the document that establishes the method(s) used to execute the project linked to the CMU More information about this project execution plan can be found in Annex O (for Additional Capacities) and Annex P (for Unproven Capacities). A project Execution plan can be linked to more than one		X	X

⁵ The details linked to financial security will be completed by ELIA and shared with market parties for the Task Force of 18/06/2020.

		CMU.			
Expected start date of the project	Date (in D/MM/YY)	The start date of the project corresponds to the date at which the CRM Candidate starts the work or the project in order to be able to deliver his Capacity and to get the status of Existing for his CMU during the pre-delivery period (as per detailed in document XX (pre-delivery)).		X	X
Declared Eligible Volume	Number (in MW)	As per document XX (definitions) , it is the Eligible Volume, as declared by the CRM Candidate, of a virtual CMU which has been submitted to participate to a specific Prequalification Process.			X
Information for method 2 (Nominal Reference Power determination)	Date (in D/MM/YY) & Number	In the event that method 2 (as per section 6.1.1.1.1) is selected for the Nominal Reference Power determination, the CRM Candidate shall provide the date and the contract reference of the balancing results that ELIA will use to evaluate the Nominal Reference Power from the balancing results. This is described in section 6.1.1.1.2. The CRM Candidate can choose between the following valid balancing results: mFRR prequalification test, mFRR activation or mFRR availability tests. This method will provide directly the Nominal Reference Power of the CMU.	X		
ID of the technical agreement	Number	If required according to the connection process (Federal Grid Code), a technical agreement must be obtained from ELIA at latest by 25/08 of the Auction's year. For the sake of clarity, a conditional technical agreement also fulfills this prequalification requirement. A CRM Candidate can submit a Prequalification File while no technical agreement has been given by ELIA yet provided that a request has been introduced in time (corresponding ID is then given via the Prequalification Platform). One ID can be valid for more than one Prequalification File as it may cover more than one CMU. Finally, such agreement shall be valid at least until the notification of the Auction results as per Service Time Schedule.		X	

4.1.2 Requirements prior to any Transaction Period

The following table includes the data that shall be provided by a CRM Candidate as part or not of his Prequalification File but not later than 20 Working Days before the start of the Transaction Period.

As per section 9, in case these data are not provided on time via the Prequalification Platform, the Capacity Provider will be considered as unavailable during the Transaction Period in the context of the Availability Monitoring described in document **XX (Availability Monitoring)** and face the corresponding penalties.

Requirements	Type of data	Comments	Status of the Delivery Point		
			Existing	Additional	Unproven
Declared Day-Ahead Price	Number (in €/MWh)	The Declared Day-Ahead Price for CMUs that are not subject to the obligation to submit a Daily Schedule (this obligation is also known as the individual MW schedule). If applicable (not an obligation), the CRM Candidate can also indicate Partial Day-ahead, Intraday, Balancing Prices, or Declared Intraday and Balancing Prices to ELIA. This information will be used during the Availability Monitoring Process as described in document XX (Availability Monitoring) .	X	X	
NEMO	Name	The NEMO indicates the market operator in which the Reference Price is observed in the Day-Ahead Market.	X	X	

4.1.3 Generation of Project ID

As soon as a CRM Candidate considers to submit an investment file to CREG related to one or several CMUs, ELIA will generate a project ID on its Prequalification Platform to guarantee a single reference to be used in communication between CRM Candidate, ELIA and CREG.

A project ID can be used as reference for more than one CMU. Therefore and if relevant to him, the CRM Candidate shall indicate by himself the reference to an existing project ID in its Prequalification File.

As a CMU can also be linked to more than one investment file, the CRM Candidate can ask ELIA to generate or provide more than one project ID.

Later in the process (as per section 7.3), ELIA will communicate the Nominal Reference Power of each Delivery Point part of a CMU related to one or more investment file. CREG will therefore be able to allocate a Capacity Category for each Delivery Point and for the CMU (the Capacity Category of a CMU is defined by the smallest Capacity Category among all Delivery Points part of the CMU – regardless of their status).

4.2 Requirements for fast track Prequalification Process

As part of the Fast Track Prequalification Process, the CRM Candidate has to complete the following information for every Delivery Point/CMU for which he wants to apply the fast track Prequalification Process.

Requirements	Type of data	Comments
Type of Delivery Point	Name	The CRM Candidate needs to inform ELIA if the Delivery Point is connected to the Transmission System Operator (TSO), a Distribution System Operator (DSO) or a Closed Distribution System (CDS). In the event that the Delivery Point is connected to a CDS, the CRM Candidate also needs to inform ELIA if the Delivery Point is connected to the TSO or the DSO Grid.
EAN of the Delivery Point	Number	The EAN is a unique number used to identify the metering device related to a Delivery Point.
Delivery Point's name	Name	If the Delivery Point has a status of Existing or Additional, the CRM Candidate shall choose and communicate a Delivery Point's name.
EAN of the Access Point	Number	The Access Point is a point characterized by a physical location and a voltage level for which an access to the transmission system is allocated to the access holder. The EAN code is the International Article Number. This is the number of the Access Point which is related to the Delivery Point.
Fast Track Nominal Reference Power	Number (in MW)	Declaration by the CRM Candidate about the Nominal Reference Power for the Delivery Point participating to the fast track Prequalification Process. In this context and as per document XX, ELIA reminds its intentions to randomly audit the declared values. In case of observed deviations, modalities described in document XX apply.
Choice of a Derating Factor	Number (drop-down list)	As detailed in the methodology referenced in Article 7undecies, §2 of the Electricity Act, the CRM Candidate shall select a Derating Factor among the SLA categories or the Derating Factor categories. This selection may be subject to audit by ELIA from the moment it has been submitted in the Prequalification File. In the event that the Derating Factor as chosen by the CRM Candidate does not comply with the methodology referenced in Article 7undecies, §2 of the Electricity Act, termination or suspension clause may apply as per document XX (legal and governance). Additional information about the Derating Factor can also be found in Annex N.
Grid User Declaration	Signed letter	The Grid User Declaration is a signed letter to provide in case the Grid User differs from the CRM Candidate. The list of the following clauses that must at least be presented into this signed letter can be found in Annex F.
Opt-Out Notification	Number (in MW)	As per detailed in section 6.2 and Annexes L and M, the CRM Candidate shall provide an Opt-Out Notification to ELIA for each Auction.

5 PREQUALIFICATION REVIEW PROCESS

Once a Prequalification File has been submitted by a CRM Candidate on the Prequalification Platform, ELIA will verify its completeness. The objective is to ensure that it is compliant with the eligibility conditions (section 3) and the prequalification requirements (section 4) listed above and if it may result in the volume determination as per section 6 below.

The time schedule of the prequalification review process can be found in Annex G.

When needed, additional information and documentation may be required by ELIA from the CRM Candidate, following the process and upon certain conditions as detailed below (sections 5.1 and 5.2).

As a reminder and in line with document **XX (coordination procedure)**, the application form submission date and Prequalification File submission date are the dates on which a CRM Candidate receives a notification confirming the good reception, by ELIA, of respectively the application form or the Prequalification File.

5.1 Application form – Compliance-check period

The process of application form compliance-check aims at allowing ELIA to verify that all the data provided in Annex D and in Annex E are complete and accurate. A detailed description of this data analysis performed by ELIA can be found in Annex Q.

Within 5 Working Days starting from application form submission date, ELIA will approve or reject the application form and notify the CRM Candidate via the Prequalification Platform. In the event that ELIA does not come back to the CRM Candidate within the timeframe mentioned above, the application form is deemed “accepted” and the CRM Candidate can proceed accordingly.

In case of rejection, the notification will be provided along with a sound justification as per section 7). Such rejection does not prevent the CRM Candidate from filing in again his application form.

In case of approval, the CRM Candidate will be invited to create a password in order to access additional Prequalification Platform modules, more specifically:

- The platform dedicated to Prequalification File submission;
- The demo platform of the Auction as detailed in section 3.2.3);

Irrespective of the situation described in section 8.5.1 the application form, once approved, remains applicable over time. From the moment the application form is considered as valid, the CRM Candidate has the possibility to participate to all Prequalification Processes with his CMUs, respecting the obligations of section 3.

5.2 Prequalification File – Compliance-check period

As per Annex G, once a Prequalification File related to a CMU or a virtual CMU is submitted and unless explicitly requested by ELIA, the CRM Candidate is not allowed to access it for further adaptations for the following:

- Maximum 70 Working Days in case of standard Prequalification Process;
- Maximum 45 Working Days in case of specific or fast track Prequalification Process;

The process of Prequalification File compliance-check consists in verifying that (a detailed description of this data analysis performed by ELIA along with the criteria's used to determine their compliance can be found in Annex R⁶.):

- All the data provided in section 4 are compliant with the eligibility conditions as per sections 3.1 and 3.2 in case of a standard and specific Prequalification Process;
- All the data provided in section 4.2 are compliant with the eligibility conditions as per section 3.3 in case of fast track Prequalification Process;

As per Annex G, the review of a Prequalification File shall follow the process described below:

- If ELIA notices missing data in the Prequalification File at the moment of the Prequalification File submission:
 - ELIA's notification issuance, through the Prequalification Platform and within 20 Working Days starting from the Prequalification File submission date, to provide identified missing and/or wrong data;
 - CRM Candidate to provide the required missing data and documents, through Prequalification Platform within 10 Working Days starting from ELIA's notification;
 - ELIA's final notification issuance, through the Prequalification Platform, within 5 Working Days starting from the updated data submission date:
 - In case ELIA still notices missing and/or wrong data, the Prequalification File will be considered as "non-compliant". The CRM Candidate is entitled to start again the procedure by resubmitting it (in that case, the process restarts again from the beginning and ELIA analyzes the Prequalification File within 20 Working Days starting from the Prequalification File submission date);
 - In case there is no more missing and/or wrong data, the

⁶ Such Annex will be completed by ELIA and shared with market parties once the Prequalification requirement list detailed in section 4 has been discussed with market parties in Implementation Task Force (on 5/5/2020)

Prequalification File will the status “compliant”. ELIA notifies it to the CRM Candidate and starts determining the volumes (section 6).

- If ELIA does not identify any missing and/or wrong data in the Prequalification File at the moment of the Prequalification File submission:
 - o ELIA’s notification issuance, through the Prequalification Platform and within 20 Working Days starting from the Prequalification File submission date, to confirm to the CRM Candidate that his file is “compliant”;
 - o ELIA starts to determine the volumes as per section 6.

Meanwhile, the CRM Candidate may access the Prequalification Platform apart from the on-going Prequalification Files under review by ELIA.

Furthermore, any change(s) – except the changes linked to an Opt-Out Notification (as per section 6.2) – encoded by the CRM Candidate from 01st September to 01st October will only be treated by ELIA after the Auction results notification of the same year.

A “non-compliant” Prequalification File status does not grant any access to Primary or Secondary Market.

On the contrary, in case of compliant Prequalification File and provided a timely submission as detailed above the following rules apply:

- A standard or specific Prequalification Process grants access to forthcoming Auction(s) and to the Secondary Market; and
- A fast track Prequalification Process does not grant any access to Primary Market or Secondary Market.

Moreover, in the event that the Prequalification File is still identified as “non-compliant” within six (6) months from the first Prequalification File submission date, such file will be automatically voided from the Prequalification Platform. A new Prequalification File shall therefore be submitted in case the related CMU wishes to try to be prequalified again.

A non-compliant Prequalification File can also be deleted any time – event during the reviewing of the file by ELIA – by the CRM Candidate himself to interrupt a Prequalification Process.

6 VOLUMES DETERMINATION

The purpose of this section is mainly to explain how ELIA will determine:

- The Eligible Volume and the Secondary Market Eligible Volume for CMUs following the standard Prequalification Process; and
- The Fast Track Volume of CMUs following the fast track Prequalification Process.

Timing aspects related to the volume(s) determination for each Prequalification Process can be found in Annex G.

As a reminder and for the sake of clarity, any volume is expressed in MW and with a 0.01 MW granularity with application of mathematical rounding at each step of the following procedures.

Moreover, volumes and parameters used below to determine the Eligible Volume could be subject to evolution in time as per section 8.

6.1 Nominal Reference Power

Apart from Unproven Capacities and the fast track Prequalification Process, the Nominal Reference Power of a Delivery Point shall respect all the following requirements:

- It forms the basis to determine the Nominal Reference Power, Reference Power and Eligible Volume of the CMU;
- It could evolve in time (see section 8)
- It shall be:
 - o Determined by ELIA in case of TSO-connected;
 - o Determined by the related DSO in case of DSO-connected Delivery Point;
 - o Declared by the CRM Candidate in case of Delivery Point with Additional status;
 - o Determined by ELIA (if the Delivery Point is connected to the ELIA Grid) or by the DSO (if the Delivery Point is connected to DSO Grid) in case of CDS-connected Delivery Point.

6.1.1 Standard Prequalification Process

6.1.1.1 Nominal Reference Power determination of Existing Delivery Points

This section is dedicated to the procedure for the determination of the Nominal Reference Power for TSO, DSO and/or CDS connected Delivery Points.

6.1.1.1.1 For TSO-connected Delivery Points

For each Delivery Point identified in the Prequalification File with the status of Existing, the provisional Nominal Reference Power shall be determined following a methodology chosen

by the CRM Candidate among three possible methodologies:

- 1st method: Use of historical data;
- 2nd method: Use of historical balancing results;
- 3rd method: Prequalification test.

The CRM Candidate will be notified by ELIA via the Prequalification Platform of the determined provisional Nominal Reference Power of each Delivery Point as detailed in section 6.1.1.1.1.4. Consecutive to this notification, the possibility is given to the CRM Candidate to contest the results within 5 Working Days, as also detailed in section 6.1.1.1.1.4.

6.1.1.1.1.1 1st method – Use of historical data

To determine the provisional Nominal Reference Power using historical data, ELIA will use the 15-minutes measurements over a period defined as below:

- Starts with the first injection or offtake into the ELIA Grid if the Delivery Point is connected to it since less than 12 months;
- Starts 12 months before the Prequalification File submission date if the Delivery Point is connected to the ELIA Grid since more than 12 months;
- Ends from the Prequalification File submission date;

From this time series, a range of 36 hours in rolling-window is considered (each one starting from 12:00 until the following day 23:45).

On each of these 36 hours, the highest power variation is determined as follows:

- For injection, it consists in the difference between the highest and the lowest 15-minutes measurement;
- For consumption, it corresponds to the difference between the highest 15-minutes measurement and the Unsheddable Margin communicated as part of the Prequalification File;
- For Delivery Point with both injection and consumption, the absolute difference between highest injection and Unsheddable Margin is calculated;

The highest power variation calculated over the period of time is then considered by ELIA to determine the provisional Nominal Reference Power of the related Delivery Point. Such result is provided by ELIA to the CRM Candidate, through a notification and could be contested by CRM Candidate within a certain time period, as both detailed in section 6.1.1.1.1.4.

To illustrate the methodology, graphs are available in Annex S.

6.1.1.1.1.2 2nd method – Use of historical balancing results

This method consists in the use of historical balancing results such as prequalification tests for mFRR or effective activations for mFRR to determine a provisional Nominal Reference Power. By opting for the 2nd method, the following conditions shall be respected by CRM Candidate:

- It is applicable at CMU level only;

- In case of aggregated CMUs, the pool of Delivery Point(s) forming it shall be identical (including the metering requirements) to the pool used in the balancing service selected as reference;
- The entity of the Flexibility Service Provider related to the pool used in the balancing service selected as reference shall be the same as the one of the CRM Candidate;
- The CRM Candidate shall have correctly filled in the contract reference of the balancing results, as part of Prequalification File requirements (section 4.1.1.1), at CMU level.

To determine the provisional Nominal Reference Power and upon CRM Candidate choice, ELIA will use one of the three historical balancing results, namely:

- mFRR prequalification test; or
- mFRR activation; or
- mFRR availability tests.

Furthermore, the reference date given by the CRM Candidate must be within a 12 month period, which ends as of the Prequalification File submission date.

6.1.1.1.3 3rd method – Prequalification test organization

The 3rd method, which consists in the organization of a prequalification test upon CRM Candidate's request, could be used in the following cases:

- Prior to the first participation of a CMU to an Auction or to the Secondary Market:
 - o To calculate the provisional Nominal Reference Power;
 - o In case of contestation raised by CRM Candidate (section 6.1.1.1.4);
- To update the final Nominal Reference Power of an already prequalified Delivery Point (as per section 8.5) upon Prequalified CRM Candidate request;
- In case of contestation resulting from pre-delivery monitoring results (document XX (Pre-delivery)).

The (Prequalified) CRM Candidate shall propose one date to ELIA in order to perform the related tests, through the Prequalification Platform.

The CRM Candidate is thus required to provide ELIA (or the concerned DSO) with the following information, as part of the Prequalification File in case of determination of a provisional Nominal Reference Power or via the Prequalification Platform within 5 Working Days maximum prior to the effective test date in any other cases:

- The identification of the Delivery Point(s) being tested;
- The test date, which can be organized:
 - o Within 40 Working Days starting from the Prequalification File submission date in case of determination of provisional Nominal Reference Power;
 - o Within 5 Working Days starting from the notification of Prequalified CRM Candidate on the Prequalification Platform for the other cases.

The provisional Nominal Reference Power, as determined by the 3rd method, equals:

- For injection, the difference between the highest and the lowest 15-minutes measurement over the test duration;
- For consumption, the difference between the highest 15-minutes measurement over the test duration and the Unsheddable Margin.
- For Delivery Point with both injection and consumption, the absolute difference between highest injection and Unsheddable Margin.

To illustrate the methodology, graphs are available in Annex S.

6.1.1.1.1.4 Provisional Nominal Reference Power Notification and contestation

The provisional Nominal Reference Power is the Nominal Reference Power resulting from one of the three previous methods (sections 6.1.1.1.1.1, 6.1.1.1.1.2 and 6.1.1.1.1.3) notified by ELIA as part of the Prequalification Process and before any contestation.

Apart from the contestation part, this provisional Nominal Reference Power is notified per Delivery Point by ELIA to the CRM Candidate via the Prequalification Platform, within 45 Working Days starting from the Prequalification File submission date.

Such provisional Nominal Reference Power becomes the final Nominal Reference Power if no contestation is raised by the CRM Candidate within 5 Working Days starting from the notification date.

In case of contestation, the CRM Candidate shall, within the above mentioned time period:

- Notify his contestation through the Prequalification Platform; and
- Indicate the reason of such contestation; and
- Request a date for a prequalification test (following the same rules of section 6.1.1.1.1.3) to be carried out no later than 5 Working Days starting from the contestation date and anyway no later than 10 Working Days starting from the result notification of the provisional Nominal Reference Power by ELIA.

The CRM Candidate can contest a provisional Nominal Reference Power only once per Delivery Point. In case the CRM Candidate wishes to contest the final Nominal Reference Power, he shall following the generic contestation process described in document **XX (dispute)**.

Such new prequalification test is needed only in case the CRM Candidate intends to obtain a higher Nominal Reference Power. The updated Nominal Reference Power resulting from the second test – if higher than the initial one – will be considered as the final Nominal Reference Power and notified to the CRM Candidate during the prequalification results notification (section 7).

To reach a lower volume, the process of section 6.1.1.1.4 shall be followed.

6.1.1.1.2 For DSO-connected Points

6.1.1.1.2.1 Nominal Reference Power determination

For DSO connected Delivery Points, the Nominal Reference Power will be determined and made available by the related DSO to ELIA through adequate communication channels and within timing detailed in Annex G.

To evaluate the Nominal Reference Power of a Delivery Point, the DSO will use the same methods as ELIA:

- 1st method section 6.1.1.1.1.1;
- 2nd method section 6.1.1.1.1.2;
- 3rd method section 6.1.1.1.1.3.

The compliance of a Delivery Point with the metering requirements shall also be checked by the DSO.

6.1.1.1.2.2 Final Nominal Reference Power Notification and contestation

The Nominal Reference Power is notified per Delivery Point by ELIA to the CRM Candidate via the Prequalification Platform, within 45 Working Days starting from the Prequalification File submission date.

Such notified Nominal Reference Power is the final Nominal Reference Power. Indeed, the contestation scheme (following the same rules as per section 6.1.1.1.1.4) is to be followed by the CRM Candidate and the DSO prior to the communication of the Nominal Reference Power by the DSO to ELIA. The submitted value is therefore deemed final and shall be used by ELIA in the determination of the Eligible Volume.

6.1.1.1.3 For CDS-connected Points

CDS connected Delivery Point are either part of the TSO Grid or the DSO Grid and shall therefore respect the same conditions as respectively described in sections 6.1.1.1.1 (for TSO-connected point) or 6.1.1.1.2 (for DSO-connected point).

6.1.1.1.4 Adaptation of the Opt-Out Volume

The CRM Candidate may do an Opt-Out Notification (communicated to ELIA when submitting the Prequalification File) based on ELIA's notification of the final Nominal Reference Power. This notification shall follow the rules of section 6.2 and Annexes L and M. To do so, The CRM Candidate shall come back to ELIA with his Opt-Out Notification within the 5 Working Days starting from the notification of such final Nominal Reference Power. In absence of reaction from the CRM Candidate, the initial Opt-Out Notification is considered as valid and used by ELIA as input to determine the related Eligible Volume. Another update of the Opt-Out Volume is still possible after the notification of the Eligible Volume as per section 7.

6.1.1.2 Nominal Reference Power determination for Additional Delivery Points

For Additional Capacities, the CRM Candidate is invited to timely (timing specified in section 4.1.1.1) declare, as part of his Prequalification File submission, a Declared Nominal Reference Power for each Additional Delivery Point. This volume will serve as a basis to calculate later on the Reference Power (section 6.3) and the Eligible Volume (section 6.4.1).

6.1.1.3 Nominal Reference Power determination for CMUs

As soon as the Nominal Reference Power of all Delivery Point(s) part of a CMU has been validated by the CRM Candidate following the rules of section 6.1.1.1.4 for DSO-connected Delivery Point and of 6.1.1.2.2 for TSO-connected Delivery Point, the Nominal Reference Power of the CMU can be determined by ELIA.

To evaluate such Nominal Reference Power, ELIA shall sum up the Nominal Reference Power of each Delivery Point part of the related CMU:

$$[Nominal\ Reference\ Power]_{CMU} = \sum [Nominal\ Reference\ Power]_{Delivery\ Point}$$

The Nominal Reference Power of CMU is also called the Aggregated Nominal Reference Power in case of aggregated CMU.

6.1.2 Specific Prequalification Process

As, at the time of the Prequalification Process, the virtual Capacity Market Unit cannot be associated to one or several Delivery Point(s), no Nominal Reference Power can be calculated by ELIA or the concerned DSO. ELIA will only use the Declared Eligible Volume given by the CRM Candidate as part of his Prequalification File submission (as per section 6.4.2).

6.1.3 Fast track Prequalification Process

In the event that a CRM Candidate goes through the fast track Prequalification Process, he is invited to timely (timing specified in section 4.2) declare, as part of his Prequalification File submission, a Declared Nominal Reference Power for the Delivery Point being part of the fast track prequalification File. This volume will serve as a basis to determine later on the Fast Track Volume (section 6.6).

The accuracy of the Declared Nominal Reference Power can be checked by ELIA by carrying out random prequalification tests (following the rules of section 6.1.1.1.3). In case of positive difference between the Declared Nominal Reference Power and the results of the prequalification test, penalties will apply following the rules of document XX.

6.2 Opt-Out Volume

6.2.1 Opt-Out Notification

6.2.1.1 Standard Prequalification Process

A CRM Candidate shall provide an Opt-Out Notification for each CMU that goes through a standard Prequalification Process and for each Auction for which he wants to declare an Opt-Out Volume for this CMU.

An Opt-Out Notification shall be done by the CRM Candidate either:

- As part of the Prequalification File submission (section 4.1.1.2); or
- Sent to ELIA via the Prequalification Platform within 5 Working Days starting from the notification of the final Nominal Reference Power by ELIA (sections 6.1.1.1.4 and 6.1.1.1.2.2); or
- Sent to ELIA via the Prequalification Platform between the prequalification results notification and 5 Working Days after September 15 of each year (section 7.1.2).

The CRM Candidate shall submit this notification to ELIA via the Prequalification Platform according to the templates provided in Annexes L and M.

6.2.1.2 Specific Prequalification Process

The Opt-Out Notification is not applicable to a Virtual CMU that goes through a specific Prequalification Process.

6.2.1.3 Fast track Prequalification Process

As in a fast track Prequalification Process, the Opt-Out Volume for a CMU is equal to the Fast Track Nominal Reference Power (defined in section 6.1.3), the CRM Candidate related to the CMU shall provide an Opt-Out Notification for each Auction.

This Opt-Out Notification shall be submitted to ELIA via the Prequalification Platform as part of the Prequalification File submission (section 4.2) and also following the templates provided in Annexes L and M.

6.2.2 Treatment of Opt-Out Volume

The rules of the following section are valid in case of standard Prequalification Process and fast track Prequalification Process.

Based on the information provided in the Opt-Out Notification, an Opt-Out Volume is considered as contributing to adequacy (category IN) or not (category OUT), and consequently the derated Opt-Out Volume is eligible or not to participate to the Secondary Market and the Dummy Bid is increased or not by a derated Opt-Out Volume, in particular depending on whether:

- The Opt-Out Notification relates to a Y-4 or a Y-1 Auction; and
- The Opt-Out Volume concerns Existing or Additional Capacities; and

- The Opt-Out Volume is associated to (cf. Article 4bis of the Electricity Act) either:
 - o A definitive closure ; or
 - o A definitive structural capacity reduction; or
 - o A temporary closure; or
 - o A temporary structural reduction of capacity; or
 - o No notification.

This categorization between IN and OUT is gathered in Table 1 and Table 2. Table 2 also illustrates the fact that, in the specific case – marked as (*) – when an Opt-Out Notification for a Y-1 Auction relates to an Opt-Out Volume with a status of Existing and is not associated with a closure or structural capacity reduction notification as referred to in Art. 4bis of the Electricity Act, the CRM Candidate shall choose between the category IN or OUT.

In some cases, following Table 1 and Table 2, the derated Opt-Out Volume can be traded in the Secondary Market or the Dummy Bid is increased by the derated Opt-Out Volume. The derated Opt-Out Volume is equal to:

$$\text{Derated Opt – Out Volume} = [\text{Opt – Out Volume}] \times \text{Derating Factor}$$

Where the Derating Factor corresponds to the Derating Factor provided by the CRM Candidate as part of the Prequalification File submission.

The definition of the final volume available to trade in the Secondary Market is detailed in section 6.5 and in document **XX (Secondary Market)**.

According to Table 1 and Table 2 again, in some situations, the Opt-Out Volume results in a reduction of the volume to be procured in an Auction. Such reduction shall be done by a Dummy Bid, introduced by ELIA in an Auction at a Bid Price of 0 €/MW/year, with a Bid volume equal to the total reduction of the volume to be procured in that Auction, resulting from the Opt-Out Volumes related to that Auction and in accordance with the rules defined in this section. The Dummy Bid is further detailed in document **XX (Auction)**.

The two (2) tables below (Table 1 and Table 2) summarize the treatment of the Opt-Out Volumes following an Opt-Out Notification towards respectively a Y-4 and Y-1 Auction.

- Y-4 Auction:

Status	Closure Notification	Category	Can the derated Opt-Out Volume be traded on the Secondary Market for a Transaction Period in the Delivery Period to which the Opt-Out Notification relates?	Is the Dummy Bid increased with the derated Opt-Out Volume?
Existing	Definitive	OUT	<u>Yes</u>	<u>No</u>
	Temporary	IN	<u>No</u>	<u>Yes</u>
	No notification	IN	<u>No</u>	<u>Yes</u>
Additional	Definitive	NA	NA	NA
	Temporary	NA	NA	NA
	No notification	OUT	<u>No</u>	<u>No</u>

Table 1: Opt-Out Volume treatment related to a Y-4 Auction

- Y-1 Auction:

Status	Closure	Category	Can the derated Opt-Out Volume be traded on the Secondary Market for a Transaction Period in the Delivery Period to which the Auction relates?	Is the Dummy Bid increased with the derated Opt-Out Volume?
Existing	Definitive	OUT	<u>Yes</u>	<u>No</u>
	Temporary	OUT	<u>Yes</u>	<u>No</u>
	No notification*	IN*	<u>No</u>	<u>Yes</u>
		OUT*	<u>Yes</u>	<u>No</u>
Additional	Definitive	NA	NA	NA
	Temporary	NA	NA	NA
	No notification	OUT	NA	NA

Table 2: Opt-Out Volume treatment related to a Y-1 Auction

6.3 Reference Power

The Reference Power of a CMU corresponds to the difference between the (final) Nominal Reference Power linked to this CMU and the notified related Opt-Out Volume declared at the CMU level, if any.

The Nominal Reference Power of a CMU corresponds to the sum of the final Nominal Reference Power of each Delivery Point part of that CMU.

$$Reference\ Power_{CMU} = [Nominal\ Reference\ Power]_{CMU} - [Opt\ Out\ Volume]_{CMU}$$

Such volume will be made available on the Prequalification Platform as part of the prequalification results notification (section 7).

ELIA will not determine a Reference Power for:

- Virtual CMUs because the CRM Candidate shall declare himself an Eligible Volume (as per section 6.4.2) and
- CMUs that goes through the fast track Prequalification Process as there is no Opt-Out Volume to declare (as per section 6.2.1.3).

6.4 Eligible Volume

The following sections describe how ELIA determines the Eligible Volume on CMU Level.

6.4.1 Standard Prequalification Process

The Eligible Volume results from the application of a Derating Factor on the Reference Power of the CMU:

$$Eligible\ Volume = [Reference\ Power]_{CMU} \times [Derating\ Factor]$$

As reminded in Annex XX, such Derating Factor is defined by:

- The CRM Candidate if it is needed as part of the Prequalification File (section 4.1 for standard Prequalification Process and Section 4.2 for fast track Prequalification Process); or
- ELIA if it is needed as part of the evolution in time (section 8);

During the Prequalification Process, the Eligible Volume is communicated as part of the prequalification result notification (section 7.1). This Eligible Volume is also subject to evolution in time as per section 8.

In the specific case where an Additional CMU is linked to more than one investment file (as per section 4.1.3), more than one Eligible Volume can be assigned to a CMU; each Eligible Volume being linked to one investment file.

6.4.2 Specific Prequalification Process

A CRM Candidate who is prequalifying a virtual CMU will be invited to declare an Eligible

Volume (Declared Eligible Volume as per section 6.4.2) through the Prequalification Platform, as part of the Prequalification File submission.

6.4.3 Fast track Prequalification Process

There is no Eligible Volume to determine for a CMU which goes through a fast track Prequalification Process as there is no Reference Power for the CMU.

6.5 Secondary Market Eligible Volume

The Secondary Market Eligible Volume of a CMU is defined by the volume which is available for a Transaction on the Secondary Market at the time of the Prequalification File submission. This is the maximum volume of an obligation related to a CMU that can be bought by the CRM Candidate in the Secondary Market. This volume shall only be determined for prequalified CMUs which have a status of Existing. However, all kind of CMUs and virtual CMUs which have been contracted consecutive to an Auction can participate to the Secondary Market as a Seller of Obligation.

The way of determining this volume and the principles of the Secondary Market are defined in document **XX (Secondary Market)**.

As detailed in section 7, The Secondary Market Eligible Volume will also be communicated to the CRM Candidate via the Prequalification Platform as part of a prequalification result notification.

As soon a Transaction is made in the Primary Market or the Secondary Market, the Secondary Market Eligible Volume becomes the Secondary Market Remaining Eligible Volume as per detailed in sections 8.4.1.3 and document **XX (Secondary Market)**.

6.6 Fast Track volume

The fast track volume results from the application of a Derating Factor (chosen by the CRM Candidate as part of the Prequalification File and as per detailed in Annex N):

$$\text{Fast track volume} = [\text{Fast Track Nominal Reference Power}] \times [\text{Derating Factor}]$$

Such volume is communicated as part of the prequalification result notification, section 7.2 and used by ELIA for the determination of the Opt-Out Volume as detailed in section 6.2.1.3.

7 PREQUALIFICATION RESULTS NOTIFICATION

7.1 Standard & Specific Prequalification Processes

7.1.1 Results notification

A notification providing the results linked to a standard or a specific Prequalification Process – whether the Prequalification File is compliant or not – shall be provided by ELIA to the CRM Candidate, as per Service Time Schedule (Annex G).

In case of “non-compliance”, the CRM Candidate will be timely (as per section 5.2) notified of missing or incorrect information.

In case of compliant Prequalification File (section 5.2), the notification is expected to contain the following data depending on the CMU status:

	Status of the CMU		
	Existing	Additional	Unproven
<i>The Nominal Reference Power of the Delivery Point(s) part of the CMU</i>	X	X	
<i>The Opt-Out Volume of the Delivery Points (in case of Aggregated CMU)</i>	X	X	
<i>The Reference Power of the CMU</i>	X	X	
<i>The Opt-Out Volume of the CMU</i>	X	X	
<i>The Eligible Volume of the CMU</i>	X	X	X
<i>The Secondary Market Eligible Volume of the CMU</i>	X		
<i>The Capacity Category (in case of investment file and if known to ELIA at prequalification result notification time)</i>	X	X	
<i>The date of the first quarterly report that shall be sent to ELIA (in case of awarded volume at forthcoming auction)</i>		X	X

The CRM Candidate shall be granted access to Primary and/or Secondary Market(s) upon prequalification results notification.

The results shall be communicated by ELIA to the CRM Candidate, via the Prequalification Platform, within maximum 70 Working Days starting from Prequalification File submission.

From the moment at least one CMU is successfully prequalified, the CRM Candidate becomes a Prequalified CRM Candidate with access to Primary Market and Secondary Market.

As per Service Time Schedule (Annex G), to be able to participate to an Auction of a year, at least one of the CRM Candidate’s CMU or virtual CMU shall have obtained the “prequalified” status before:

- September 15 of the same year when no investment file has been submitted to CREG;
- September 1st of the same year when an investment file has been submitted to CREG.

In case of contestation of the prequalification result, see document **XX (dispute)**.

7.1.2 Opt-Out Volume adaptation

From the moment the CRM Candidate receives the results of his Prequalification Process and obtains the status of “Prequalified CRM Candidate”, he gets the possibility to adapt his Opt-Out Volume. This adaptation can be done via the Prequalification Platform but no later than 5 Working Days after September 15 so that the Opt-Out Volume is taken into account for the forthcoming Auction. As a consequence, the Eligible Volume (section 6.4) and the Secondary Market Eligible Volume (section 6.5) will be adapted accordingly and notified to the Prequalified CRM Candidate via the Prequalification Platform.

7.2 Fast track Prequalification Process

A notification providing the results linked to a fast track Prequalification Process, in case of compliant Prequalification File only (see section 5.2), shall be provided by ELIA to the CRM Candidate, as per Service Time Schedule (Annex G), and is expected to contain the following data:

- The Fast Track Nominal Reference Power of the CMU;
- The Fast Track Volume of the CMU;

This notification does not grant the Capacity Holder with a “Prequalified CRM Candidate” status. Indeed, his CMU cannot participate in the Primary Market or the Secondary Market for the Delivery Period to which this notification relates.

In case the CRM Candidate wants to participate to the Primary Market or the Secondary Market with his CMU, he shall go through the entire standard Prequalification Process with this related CMU.

7.3 Notification to CREG

In parallel to the Prequalification Process results notification to the CRM Candidate and in the event that the CRM Candidate notified ELIA at Prequalification File submission date about his intention to introduce an investment file to CREG, ELIA shall inform CREG and communicate the prequalification results detailed in section 7.1.

Such communication shall happen no later than the 1st of September of the year an Auction is organized for a Prequalification File submitted before June 15 of the same year.

8 EVOLUTION IN TIME

Prequalification phase is an on-going process for which data or status, and more specifically the Eligible Volume, could evolve in time, influenced by different factors. Some of these factors are yearly updated (e.g. update of Derating Factors), some happen periodically (e.g. Availability Monitoring of the Nominal Reference Power) and others appear occasionally (e.g. update of the Grid User Declaration).

To ensure clear understanding on how such data could influence a Prequalification File, the section here below identifies the related process to follow in order to remain compliant at all times with contractual requirements.

8.1 General principles

The following principles, relevant for (prequalified) CMUs with a status of Existing, Additional or Unproven and for CMUs having successfully going through the fast track Prequalification Process, are applicable to the sections below (8.2, 8.3, 8.4 and 8.5):

- Any change related to the information included in a Prequalification File shall be introduced by a (Prequalified) CRM Candidate or a Capacity Provider through the Prequalification Platform only; and
- The maximum timing to consider in order to be able to participate to a Transaction with a change – introduced for a Prequalification File – taken into account, shall be the same as the one described in section 5.1 for a change of the application form and in section 5.2 for a change of the Prequalification File⁷; and
- A change made to a Prequalification File, shall not in any way impact the obligations linked to a Contracted Capacity, whatever the Capacity Category; and
- ELIA may inform about some updates (as per sections 8.4 and 8.5.3) to be considered – via a notification in the Prequalification Platform – but it is however the (Prequalified) CRM Candidate's or Capacity Provider's own responsibility to timely update the required data and to keep being compliant with laws, regulations and the like.
 - Such notification as issued by ELIA is for information and could not be considered as a way for ELIA to endorse (Prequalified) CRM Candidate or Capacity Provider's own responsibility; and
 - Such notification is subject to the acceptance by the (Prequalified) CRM Candidate or the Capacity Provider in order in order to grant him access to

⁷ ELIA will shorten the deadlines as much as possible for each introduced change following the rules of Annex T for each type of data changed.

the forthcoming Transaction; and

- For the sake of audit or legal obligations, any changes submitted via the Prequalification Platform will be stored by ELIA for 5 years starting from the Prequalification File submission date.
- Unless notified by the (Prequalified) CRM Candidate or the Capacity Provider when the change is registered in the Prequalification Platform (as per detailed in section 8.5, a date of entry into force may be provided), a change shall only apply for the forthcoming Transactions.
- The (Prequalified) CRM Candidate or the Capacity Provider shall ensure that the data included in his application form and his Prequalification File(s) remain complete and accurate over time. Otherwise, penalties may apply as per document XX (legal and governance).

8.2 Renewal of CMU's prequalification

The Prequalification File of a (virtual) CMU (related to a standard, a specific or a fast track Prequalification Process) shall be yearly subject to a validation by ELIA and the (Prequalified) CRM Candidate or the Capacity Provider. Each year, 5 Working Days after the publication of the market rules for the Capacity Remuneration Mechanism, ELIA will therefore send a notification to the (Prequalified) CRM Candidate or the Capacity Provider asking him to validate that his Prequalification File is still compliant with the obligations of section 3 and that the information (in accordance with section 4) it contains, are still accurate. This validation shall be done within 5 Working Days starting from ELIA's notification. Within these 5 Working Days, the (Prequalified) CRM Candidate or Capacity Provider shall:

- Either, confirm that his Prequalification File is still compliant;
- Indicate that his Prequalification File is no longer compliant by updating the required data and documents (hence submitting an updated Prequalification File) following the process and the timing of section 8.5.

In the event that no answer is provided by the Prequalified CRM Candidate or the Capacity Provider to ELIA via the Prequalification Platform within this 5 Working Days, ELIA will consider the file as non-compliant" and will block the access to the Transactions modules for the related CMU.

Finally, if a Prequalified CRM Candidate or the Capacity Provider does not want his (virtual) CMU to be prequalified any more, the possibility is always given:

- To delete the related (virtual) CMU (following the rules of section 8.5.2.2) regardless of the Prequalification Process through which the CMU has passed ;
- To go through the fast track Prequalification Process with the related CMU (following the rules of section 8.5.2.2) for CMUs with a status of Existing only.

8.3 Renewal of the Opt-Out Notification

An Opt-Out Notification related to a CMU (related to a standard or a fast track Prequalification Process) shall be submitted on a yearly basis by the Prequalified CRM Candidate or the Capacity Provider. Each year, following the same timing as for the renewal of the Prequalification of a CMU (section 8.2), ELIA will send two (2) notifications related to each Auction (Y-4 and Y-1) to the (Prequalified) CRM Candidate or the Capacity Provider asking him:

- To provide a new Opt-Out Notification or to state that he does not want to declare (any more) an Opt-Out Volume for CMUs prequalified from the standard Prequalification Process;
- Nothing for CMUs prequalified from the specific Prequalification Process;
- To provide a new Opt-Out Notification for CMUs that have successfully gone through the fast track Prequalification Process.

This answer from the Prequalified CRM Candidate or the Capacity Provider shall be provided within 5 Working Days starting from ELIA's notification.

The Opt-Out Notification shall follow the template of Annexes L and M and the rules defined in section 6.2.

In the event that no answer is provided by the (Prequalified) CRM Candidate or the Capacity Provider to ELIA via the Prequalification Platform within the 5 Working Days, ELIA will consider:

- The Opt-Out Volume as equal to zero (0) for CMUs prequalified from the standard Prequalification Process;
- The related fast track Prequalification File as non-compliant anymore (see section 7.2).

8.4 Automatic update(s) performed by ELIA

The situations below (sections 8.4.1 and 8.4.2) describe how a Prequalification File can be automatically updated by ELIA. In case of adaptation the Prequalified CRM Candidate or the Capacity Provider shall be notified by ELIA via the Prequalification Platform. This notification shall be done within 20 Working Days starting from the official publication of the change from the related entity. From this notification, the Prequalified CRM Candidate or the Capacity Provider has 5 Working Days to confirm his agreement with the change. Such change becomes valid for the forthcoming Transaction(s) if he confirms his agreement or if no contestation is raised by him within 5 Working Days starting from the notification date. If he contests the change, ELIA will invite him to either do a fast track with the CMU(s) concerned by this change or delete the content of the CMU(s) (as per section 8.5.2.2).

8.4.1 Volumes update

8.4.1.1 Volumes related to a CMU

Each volume (Eligible Volume, Remaining Eligible Volume, Secondary Market Eligible Volume and Secondary Market Remaining Eligible Volume) related to a Prequalified CMU is automatically updated by ELIA following the rules of:

- Section 6.4 for the Eligible Volume;
- Section 6.5. and document **XX (Secondary Market)** for the Secondary Market Eligible Volume;
- Section 8.4.1.2 for the Remaining Eligible Volume;
- Section 8.4.1.3 and document **XX (Secondary Market)** for the Secondary Market Eligible Volume.

The three (3) following possibilities illustrates how these four (4) types of volume may be impacted over time:

- An **evolution of the Derating Factors**:

The Volumes (Eligible Volume, Remaining Eligible Volume, Secondary Market Eligible Volume and Secondary Market Remaining Eligible Volume) shall automatically be updated for the forthcoming Auctions based on the yearly Derating Factors publication.

- An **adaptation of the DSO-CRM Candidate Agreement** by the DSO:

For DSO-connected Delivery Points, the DSO-CRM Candidate Agreement signed before the Prequalification Process as per section 3.2.1.3 may be adapted by the DSO in time. In such circumstances, the Nominal Reference Power communicated to ELIA during the Prequalification Process may be updated according to the new version of the DSO-CRM Candidate Agreement. In this situation, the different volumes (Eligible Volume, Remaining Eligible Volume, Secondary Market Eligible Volume and Secondary Market Remaining Eligible Volume) will therefore be adapted by ELIA accordingly.

In the specific case where a Delivery Point is no longer tied to a CRM Candidate-DSO Agreement or where the related Nominal reference Power becomes equal to zero (0), the related Delivery Point will be automatically removed from the Prequalification File (following the rules of section 8.5.2.1).

- The **determination by ELIA of a missing volume or a Missing Capacity**:

The pre-delivery monitoring and availability monitoring results are described in documents **XX (pre-delivery)** and **XX (Availability monitoring)** and may respectively result in the determination of a missing volume or a Missing Capacity. Such missing volume or Missing Capacity may sometimes lead to a downward revision of the Nominal Reference Power, and in consequence an automatic adaptation of the different volumes (Eligible Volume, Remaining Eligible Volume, Secondary Market Eligible Volume and Secondary Market Remaining Eligible Volume) in accordance with the rules of documents **XX (pre-delivery)** and **XX (Availability monitoring)**.

8.4.1.2 Remaining Eligible Volume

The Remaining Eligible Volume of a CMU shall be timely (as soon as a Transaction related to this CMU is made) determined by ELIA following the formula below and as a

consequence of one or more of the following:

- A Capacity Provider may be contracted for a volume lower than his Eligible Volume in the Primary Market; and/or
- A Capacity Provider may be contracted for a volume lower than his Eligible Volume in the Secondary Market; and/or
- The Derating Factors can be updated on a yearly basis; and/or
- A Capacity Provider may be contracted in the Secondary Market for a Capacity Contract Duration lower than the Capacity Category he was assigned to by CREG.

Such Remaining Eligible Volume is defined – according to the document **XX (definitions)** – as the maximum Contracted Capacity related to a CMU for a Capacity Provider's Transaction on the Primary Market. As per detailed in document **XX (Secondary Market)**, such volume may also be available for (a) Secondary Market(s) Transaction(s).

Therefore, as soon as a Transaction has been made with a CMU, there is no longer an Eligible Volume and it is the Remaining Eligible Volume that defines the maximum volume to be contracted in an Auction.

The Remaining Eligible Volume related to a CMU is the volume available to be bided in the Primary Market for a specific Transaction Period of one or more Delivery Period(s). It represents the difference between the last updated Eligible Volume of the CMU and the maximum Total Contracted Capacity of this CMU over the related Delivery Period(s):

$[Remaining\ Eligible\ Volume]_{CMU,t}$

$= \text{Max} (0 ; [Eligible\ Volume]_{CMU} - [Total\ Contracted\ Capacity]_{CMU,t})$

$= \text{Max} (0 ; ([Reference\ Power]_{CMU} \times [Derating\ Factor]_{CMU}) - [Total\ Contracted\ Capacity]_{CMU,t})$

Where:

- $[Remaining\ Eligible\ Volume]_{CMU,t}$ is the Remaining Eligible Volume of the CMU for a Delivery Period t ;
- $[Total\ Contracted\ Capacity]_{CMU,t}$ is the maximal Total Contracted Capacity of the CMU over the Transaction Period (one or more Delivery Period(s));
- $[Eligible\ Volume]_{CMU}$ is the most recently updated Eligible Volume for the CMU at the time the Remaining Eligible Volume is evaluated;
- $[Reference\ Power]_{CMU}$ is the most recently updated Reference Power for the CMU at the time the Remaining Eligible Volume is evaluated;
- $[Derating\ Factor]_{CMU}$ is the most recently updated Derating Factor for the CMU at the time the Remaining Eligible Volume is evaluated;
- $[t]$ is the Transaction Period proposed by the Capacity Provider in the Auction for which he used the related Remaining Eligible Volume.

In the specific case where ELIA determines a negative Remaining Eligible Volume, such volume will be considered as equal to zero (0).

The Capacity Provider shall be notified of his updated Remaining Eligible Volume, through the Prequalification Platform and for information only. No contestation step is thus foreseen for such update. This automatic update becomes effective as of ELIA's notification to the

Capacity Provider. From that moment on, the updated Remaining Eligible Volume shall be considered as the reference and used as parameter for any future Transaction in the Primary Market. It shall not influence an on-going Capacity Contract.

Some explanatory diagrams can be found in Annex U to give more clarification about the Remaining Eligible Volume.

8.4.1.3 Secondary Market Remaining Eligible Volume

As defined in document **XX (Secondary Market)**, the Secondary Market Remaining Eligible Volume shall be timely evaluated by ELIA.

The Capacity Provider will be notified of the updated Secondary Market Remaining Eligible Volume, through the Prequalification Platform and for information only. No contestation step is thus foreseen for such update.

This automatic update becomes effective as of ELIA's notification to the Capacity Provider. From that moment on, the updated Secondary Market Remaining Eligible Volume shall be considered as the reference and used as parameter for any future Transaction. It shall not influence an on-going Capacity Contract.

8.4.2 Capacity Category update

As per Investment Threshold Royal Decree based on Article 7undecies §5 of the Electricity Act, the regulator is entitled to timely require a decrease of the Capacity Category compared to the ones initially granted by the regulator in the event that the Capacity Provider entered into a Capacity Contract Duration higher than 1 year.

Once the updated Capacity Category has been communicated by CREG to ELIA, the Capacity Category and the Capacity Contract Duration will be adapted accordingly and notified to the contractual counterparty, without any possibility for the Capacity Provider to contest or dispute such decision on ELIA or contract counterparty's side.

8.5 Update(s) to be performed by the CRM Candidate

Any change of the Prequalification File submitted by a Prequalified CRM Candidate or a Capacity Provider shall be provided with a date of entry into force. Indeed, the Prequalified CRM Candidate or the Capacity Provider shall choose from which date the change will apply. A Capacity Provider can therefore decide whether the change will influence an on-going Capacity Contract or not.

However, as per section 8.1, whatever the decision, the Total Contracted Capacity and the obligations linked to this Total Contracted Capacity will never be impacted by a change of the Prequalification File.

In the event of a change submission, the Prequalification Process will be triggered accordingly, in order to ensure that the change is compliant with the conditions detailed in

section 3. Any change influencing the Eligible Volume will also lead to a relaunch of the process for calculating the different Eligible Volumes (Eligible Volume, Secondary Market Eligible Volume, Remaining Eligible Volume & Secondary Market Remaining Eligible Volume – as detailed in section 6). These new Eligible Volumes shall be considered as valid only for any future Transactions.

Regardless of when and which change is to be applied and in addition to the general principles of section 8.1, the following general conditions shall be respected:

- A change of the application form shall respect all conditions as detailed in section 3.1.1; and
- A Delivery Point(s) added to a CMU or modified shall respect all conditions as detailed in section 3.2; and
- An added or a modified CMU shall respect all conditions as detailed in section 3.2 for standard and specific Prequalification Files and section 3.3 for a fast track Prequalification File; and
- Whatever the change submitted, the Prequalification Process will be triggered accordingly; and

In addition of the above, ELIA accepts a change impacting the Prequalification File of an on-going contract, provided that the following conditions are respected:

- A Delivery Point(s) added to a CMU shall have an Existing status;
- A CMU cannot be added for an on-going Delivery Period;
- The energy constraint declared by the Prequalified CRM Candidate or the Capacity Provider for the (aggregated) CMU remains valid and is not influenced by one or more new Delivery Point(s);
- The Capacity Category of the new Delivery Point(s) is not lower than the remaining Capacity Contract Duration of the already prequalified (aggregated) CMU at the time of the change submission;
- The CO₂ emission of the new (aggregated) CMU does not exceed the CO₂ emission calculated for the related (aggregated) CMU as per Regulation (EU) 2019/943; and
- The current status of the CMU remains and is not be subject to change(s).

8.5.1 Evolution of CRM Candidate's Application form

A Prequalified CRM Candidate is entitled, at any time and through the Prequalification Platform, to modify data or documents as initially provided in his application form (section 3.1.1, Annexes D and E).

The updated data will be timely reviewed by ELIA as per section 5.1.

8.5.2 Evolution of CRM Candidate's Prequalification File

A Prequalification File could be modified upon different circumstances. Here below a

detailed list of the changes which may be considered by ELIA as part of the Prequalification File.

8.5.2.1 Update linked to a Delivery Point

A Prequalified CRM Candidate may ask for an update linked to a Delivery Point, whenever needed, via the Prequalification Platform, as per detailed below:

- **Delivery Point addition:** The Prequalified CRM Candidate or the Capacity Provider may decide to add one or more Delivery Point(s) into a CMU, regardless of its status as long as the status of the CMU does not change, as detailed at the beginning of section 8.5.
- **Delivery Point deletion:** The Prequalified CRM Candidate or the Capacity Provider has the possibility to delete one or more Delivery Point(s) from a CMU, regardless of its status. However, in the event that the CMU is related to a Capacity Contract, the deletion of all Delivery Points part of this CMU will never lead to a deletion of the CMU (section 8.5.2.2).
- **Delivery Point transfer:** in the event a Prequalified CRM Candidate or Capacity Provider plans to transfer its prequalified Delivery Point to another (Prequalified) CRM Candidate or Capacity Provider or to another of his CMUs, the related Delivery Point shall enter the full Prequalification Process again with its new owner once deleted by the current one. The transfer is therefore the combination of two (2) actions: the Delivery Point deletion from a Prequalification File and his re-creation in a new one.
- **Delivery Point modification:** The Prequalified CRM Candidate or the Capacity Provider may modify the data related to a Delivery Point. The data that may be edited are those listed in the table of Section 4.1.1.1 for standard and specific Prequalification Files and 4.2 fast track Prequalification File.

8.5.2.2 Update linked to a CMU

A Prequalified CRM Candidate may ask for an update linked to a CMU via the Prequalification Platform, as per detailed below:

- **CMU creation:** The Prequalified CRM Candidate or the Capacity Provider may decide to add one or more CMU(s), regardless of its status.
- **CMU deletion:** The Prequalified CRM Candidate has the possibility to delete one or more CMU(s), regardless of its status. In the event that the CRM Candidate deletes his CMU because he does not want to participate to the Service anymore, ELIA also offers the possibility to follow a fast track Prequalification Process with the related CMU. In this way, the CRM Candidate remains compliant with the law.
In the event that a CMU is associated to an on-going Capacity Contract, such CMU will always remain into the Prequalification Platform even if it does not include any Delivery Point (section 8.5.2.1). Indeed, the Capacity Provider always remains subject to the monitoring during the pre-delivery period and the Availability

Monitoring during the Delivery Period.

- **CMU transfer:** In the event a Prequalified CRM Candidate plans to transfer its prequalified CMU to another (Prequalified) CRM Candidate or Capacity Provider, the related CMU shall enter the full Prequalification Process again with its new owner once deleted by the current one. The transfer is therefore the combination of two (2) actions: the CMU deletion from a Prequalification File and his re-creation in a new one.
- **CMU modification:** The Prequalified CRM Candidate or the Capacity Provider may modify the data related to a CMU listed in the table of section 4.1.1.2.
The CRM Candidate has also the possibility to do a fast track Prequalification Process with a (prequalified) CMU which has the status of Existing or with a (prequalified) Delivery Point. This is an automatic procedure which is done via the Prequalification Platform. As the fast track Prequalification Process can only include one Delivery Point, each Delivery Point part of a CMU that follows the fast track Prequalification Process will be split into different Prequalification Files.

In contrast, a CMU which follows a fast track Prequalification Process cannot follow a standard Prequalification Process automatically. The CRM Candidate shall delete his fast track Prequalification File and create a new CMU following the standard Prequalification Process.

8.5.3 Evolution due to legal updates

By default, any change issued by a legal institution shall be considered and is implicitly endorsed by the (Prequalified) CRM Candidate or the Capacity Provider. ELIA may notify about these potential changes. However, following section 8.1, it is the responsibility of the (Prequalified) CRM Candidate or the Capacity Provider to timely update the required data and to remain compliant.

Starting from the change notification, the (Prequalified) CRM Candidate or the Capacity Provider has 20 Working Days to adapt his Prequalification File. This adaptation will therefore trigger accordingly the Prequalification Process, in order to consider such update for future Transactions.

A non-exhaustive list of legal updates which may impact in some way a Prequalification File is given below:

- Update of the Functioning Rules for the Capacity Remuneration Mechanism;
- Update of the Regulation (EU) 2019/943;
- Update of the Electricity Act of 29 April 1999;
- Update of the Royal Decree on Eligibility Criteria related to Cumulative Support and Minimal Participation Threshold;
- Update of the Royal Decree on Methodology;

9 IT REQUIREMENTS

From the moment a Capacity Holder – or another entity the Grid User has designated through a Grid User Declaration – becomes a CRM Candidate and prior to the start of any Transaction Period, ELIA needs to check the good access, functioning and understanding of the IT interfaces for the CRM Candidate. The specifications related to the IT interfaces that shall be tested are described in document **XX (IT specifications)**.

Some additional information – being not mandatory to have a compliant Prequalification File – shall yet be communicated to ELIA via the Prequalification Platform 20 Working Days prior to the start of any Transaction Period:

- Succeed the Availability Test trigger;
- Communicate the Declared Day-Ahead Price of a CMU (section 4.1.2);
- Indicate a NEMO for a CMU to be used by ELIA as reference in the context of Payback Obligation (section 4.1.2).

If these requirements have not been implemented by the Prequalified CRM Candidate or the Capacity Provider in time, the corresponding Contracted Capacity shall be considered as unavailable in the context of the Availability Monitoring described in document **XX (availability monitoring)** and face the corresponding penalties.