

**Comparative table on Capacity Allocation Rules\_05\_21\_09**

	Rules provision/Country	Croatia	Serbia	Bulgaria	Montenegro	BiH	Italy-Slovenia
1.	Auction Operator	TSO	TSO	TSO	TSO	ISO	TSOs
2.	Time table of auctions	Yes	Yes	Yes	Yes	No	Yes on website
3.	Who determine ATC	TSO	TSO	TSO	TSO	ISO	TSOs
4.	Auction products	Year, month, day, intraday	Year, month, week, day	Year, month, week, day	Year, month day	Year, month, week, day	Year, month, day
5.	Name of interconnectors	No	Yes	No on website	Yes	No	Yes
6.	Preconditions to participate in auctions	No debts to TSO; Balancing contract signed.	License holder for international trade and no debts to EMS	License holder and registered at the Bulgarian Electricity Market.	License holder, Connection contract exists	License holder; to be registered	a) Statement of acceptance which confirms an auction participant accepts all provisions of the rule. b) Request to participate in the auction c) Bank Guarantee d) Dispatching contract e) Contract for settlement of imbalances with BRP f) same EIC (identifying code)

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							with both TSOs
7.	How to prove preconditions are met?	Number of Balancing Contract in the request.	Copy of License and Decision on License to be submitted in due time	?	?	?	Submit above-mentioned papers
8.	How and when to announce that the auction participant is interested in an auction?	By sending Request by post. Request must include the number of Balancing Contract	By fax. Application has to be submitted within a determined time framework.	Statement of acceptance is to be submitted by an auction participant	By sending Request by post, along with a Statement in which an applicant accepts all provisions from the Rules.	Request to participate in the auction	Request to participate in the auction
9.	Contract	TSO signs Contract with an auction participant within 20 days after an application is submitted.	Within defined time framework, the Auction operator sends the draft Contract to an auction participant. Auction participant signs the contract and sends by fax	No	Yes	Yes	No
10.	What are the Contract terms?	Procedure to issue an invoice, payment, guarantee	Right to use cross border capacity if win and terms of balancing.	N/A	?	?	N/A
11.	Annex to the contract	No	All winners sign annexes to the	N/A	No	No	N/A

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			contracts.				
12.	Suspension	TSO can suspend an auction participant who does not comply with the rules and contract.	TSO can suspend an auction participant who does not comply with the rules and contract.	TSO can suspend an auction participant who does not comply with the rules and contract.	TSO can suspend an auction participant who does not comply with the rules.	TSO can suspend an auction participant who does not comply with the rules.	TSO can suspend an auction participant who does not comply the rules.
13.	TSO reduces awarded capacity due to force majeure and/or due to maintenance	Yes	Yes	Yes	N/A	Yes	Yes
14.	Tool to submit a bid and see results	Software package approached through website.	Software package approached through website.	Hard copy	Hard copy	Software package	Software package
15.	Who has access to the Software package?		All who signed a contract.	?	?	Registered companies	Registered companies
16.	Is there a time table to submit a bid?	Yes	Yes	Yes	Yes	No	Yes
17.	Any payment to submit a bid?	No	Yes, an auction participant must pay an “auction” tax (to cover auction costs) to submit a bid.	No	No, but there is a payment for non usage of awarded capacity.	No	No
18.	Number of bids that an auctioneer can submit.	More than one but less than auction product	5 for each auction and interconnection.	5 for each auction and interconnection.	Not defined	?	10 (Italy-Slovenia) No limit (Slovenia-Italy) & all or nothing

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							bid
19.	Bid price	Kn/MW	Pair MW- EUR/MWh	EUR/MWh	Not less than 0.5 EUR/MWh	KM/ MW	Euro/MWh
20.	Price to pay	Marginal price (kn)	Pay as bid. (Criticized at the Athens Forum) (Dinar)	Marginal price	Pay as bid. (Criticized at the Athens Forum) (Euro)	Marginal price	Marginal price (Euro)
21.	Does a limit exist as regard to bid minimum and maximum capacity?	Yes, less or equal to auction product	Yes. 1 MW- 30MW	Yes. 1 MW - ATC	No	No	ATC is maximum for each bid
22.	Payment	8 days after issuing the invoice and before date when the capacity will be used	8 days before the month when capacity will be used		TSO issues an invoice ex-post.	Invoice issued by ISO	Invoice with different limits on when a payment is due. Depends on type of auction.
23.	Is the content of the auction results presented in the rule?	Yes	Yes	No	Yes	Yes	Yes
24.	Is a content of the annex to a contract presented in a rule?	Contract is placed on the website	Yes	N/A	No annex	N/A	N/A
25.	Payment is based on:	Invoice issued by TSO. Payment has to be made not later than 8 days after issuing the invoice	Invoice issued by TSO (8 days before the month when capacity is used)	Invoice issued 2 days after a month when capacity was used.		Invoice issued by ISO	Invoice issued on 30 <sup>th</sup> of each month for capacity usage during the previous month. Auction

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							participant must pay within 30 days after the invoice is issued (for daily auction).
26.	Bank Guarantee	Yes (set forth in the contract)	No	Yes (or deposit)	No	No	Yes
27.	Penalty for non-payment	Guarantee exists	Yes, an auction participant loses the right to awarded capacity and right to participate in a next auction(s)	Yes	If a pending debt exists TSO can suspend an auctioneer from the auction.	?	Bank guarantee
28.	Procedure to start using awarded capacity	Auction participant must send its daily plan on a day ahead basis. (Operation rules).	Auction participant must send its daily plan on a day ahead basis. (Operation rules).	Auction participant must send its daily plan on a day ahead basis. (Operation rules).	Auction participant must send its plan	?	In accordance to Operational rules
29.	Use it or loose it principle	Yes	Yes	Yes	Yes	Yes	Yes
30.	Can an auction participant give awarded capacity back to TSO?	No	No	No	?	?	No
31.	Can an auction participant transfer awarded capacity to another auction	Yes in accordance to a rule	Yes in accordance to a rule	Yes (yearly and monthly only)	Yes in accordance to the rules	Yes	Yes

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	participant (secondary market)?						
32.	What happens if a force majeure or maintenance occurs	TSO reduces awarded cross border capacity and apply pro-rata methodology	TSO reduces awarded cross border capacity and applies a pro-rata methodology	TSO reduces awarded cross border capacity and applies pro-rata methodology	TSO will reduce the lowest bid first .	TSO reduces awarded cross border capacity and applies pro-rata methodology	TSO reduces awarded cross border capacity and applies pro-rata methodology
33.	Penalty imposed on TSO	No	No	No	No	No	TSOs are obliged to refund auction participants only. In reality, no penalty applies.
34.	Must an auction participant inform TSO on already awarded capacity by counterpart TSO?	No	Yes within a determined time	No (but must inform about its counterpart)	No	No	No (but must inform about its counterpart)
35.	Do the Rules prescribe balancing procedure and costs?	No	Yes	No	No	No	No but auction participant must have a contract on imbalances
36.	Does formal contract exist?	Yes	No	No	No	No	No
37.	Does a guideline exist?	Yes	Yes	No	No	No	Yes
38.	Does TSO report on auctions	Yes, on website and once a month to SERC	Yes on website	Yes on website	Yes on website and SERC monitors auction procedure.	Yes on website.	Yes, on website

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39	Disputes	Complainant can submit complaint to SERC 30 within days	Commercial court	TSO	No	?	To TSO only
40.	What will income be used for				To remedy congestion	?	?

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