



Philippine Electricity
Market Corporation

WESM COMPLIANCE BULLETIN

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Enforcement and Compliance Office Philippine Electricity Market Corporation

28 March 2022

This Wholesale Electricity Spot Market (WESM) Compliance Bulletin is an occasional publication that is prepared and published by the Enforcement and Compliance Office of the Philippine Electricity Market Corporation. The purpose of the WESM Compliance Bulletin is only to provide information and guidance to the participants of the WESM on their obligations in the WESM as well as on various matters relating to enforcement and compliance. This document is not intended as a source of obligation or as authority on relevant WESM Rules and market manuals, and as such, is not binding on the WESM participants or any other person or entity. While the ECO strives to make this document complete and accurate, the actual contents may be incomplete or inaccurate. WESM participants and other readers are encouraged to refer to the official issuance of the WESM Rules, and its amendments and manuals for details.

Questions on this WESM Compliance Bulletin may be addressed to Enforcement and Compliance Office, Philippine Electricity Market Corporation, 18th Floor Robinsons Equitable Tower, ADB Avenue, Ortigas Center, Pasig City 1600 or by email at eco@wesm.ph



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WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR ENFORCEMENT AND COMPLIANCE OFFICE (CERTIFICATION GUIDELINES 03)

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Document Approval

The WCO Certification Guidelines 01, 02, and 03 were approved and adopted by the Compliance Committee during its 4th Regular Meeting on 16 March 2022 via the **CC Resolution No. 2022-15**.¹

¹ CC Resolution: Adoption of the WESM Compliance Officers (WCO) Certification Guidelines pursuant to DOE Circular DC2021-12-0041

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Document Change History

Version No.	Reason for Change	Effective Date
1.0	New Guidelines	31-Mar-2022

List of Procedural Templates

Template ID	Template Name	Description

Reference Procedure and Work Instructions

Procedure / Work Instruction ID	Procedure / Work Instruction Name	Description

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1.0 Basis and Authority

The Wholesale Electricity Spot Market (WESM) Rules mandate all the WESM Compliance Officers (WCO) to undergo a certification process. (*Clause 7.2.9.2 [e], WESM Rules*).

It is the responsibility of the Compliance Committee to review and approve the guidelines for the WESM Compliance Officers' competency standards and certification program. (*Section 1.8.2 of the WESM Rules, and Section 2.1.3 of the WCO Certification and Registration Manual*).

Thus, the following guidelines are issued by the Compliance Committee to govern the activities associated with the WCO certification and other related affairs of the WCOs, the training service providers, and the Enforcement and Compliance Office (ECO):

- WCO Certification Implementing Guidelines **for WCOs** (CC.CERT.01)
- WCO Certification Implementing Guidelines **for Training Service Providers** (CC.CERT.02)
- WCO Certification Implementing Guidelines **for Enforcement and Compliance Office** (CC.CERT.03)

For brevity and ease of reference, the foregoing guidelines are referred to herein as "**Certification Guidelines 01,**" "**Certification Guidelines 02,**" and "**Certification Guidelines 03,**" respectively.

As the provisions of the three (3) guidelines are interrelated, cross references are provided in the guidelines to avoid duplication of provisions or rules.

2.0 Purpose of the Guidelines

To provide guidance to the ECO which is tasked to provide administrative and technical support to the Compliance Committee with respect to the processing of application for certification program, accounting and earning of credit units, publication of certification reports, handling incident reports, and maintenance of records and database.

3.0 Definition of Terms

Certification Program	Set of components or training programs, courses, lectures or series of lectures, and related activities that are offered by the training service provider intended to meet a level of knowledge within a certain timeline
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Proposed Annual Certification Program – submitted to the Compliance Committee for its approval

Approved Certification Program – approved by the Compliance Committee

Compliance Period	The three (3)-year period within which the certification requirements are complied with
Course Offering	Each training course, lecture, lecture series, or activity that is included in, or forms part of, the Certification Program
Dummy Participant	A person who represents himself/herself as somebody else during a training or activity by providing credentials or information that pertain to another person or by attending or presenting himself/herself as somebody else, express or implied, for the purpose of securing a certification
Enforcement and Compliance Office (ECO)	The department or office that is mandated to provide administrative and technical support to the Compliance Committee on all WCO certification-related activities or matters
Stakeholders	The party with an interest in the WESM and shall include the WESM Members, Market Operator, WESM Governance Committees, Philippine Electricity Market Board of Directors (PEM Board), the Department of Energy (DOE), the Energy Regulatory Commission (ERC), and other related agencies or entities
Training Modality	Mode of delivery of learning which can take various forms, including Live Instructor-Led Training, eLearning, webinar or virtual training, and other training methods that may be adopted to develop or promote optimal learning
Training Service Providers	The training section, unit, or department of the Independent Electricity Market Operator of the Philippines, Inc. (IEMOP) and the Philippine Electricity Market Corporation (PEMC) which are mandated by the WCO Certification and Registration Manual to provide training services to the WCOs
WCO-Certified Lecture or Series	Training topics, lecture, lecture series, program, or activity with assigned credit units or points

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WESM Compliance Officer (WCO)

May refer to any of the following:

Designated WCO – the compliance or enforcement officers listed, permitted, or designated by the WESM Member to participate in the WCO Certification Program

Certified WCO – the WCO who completed the certification requirements within a compliance period and who holds a valid WCO certification

Registered WCO – the compliance officer who is officially registered as such in the WESM under Clause 7.2.9 of the WESM Rules and is authorized to represent the WESM Member in all enforcement-related proceedings

WESM Member

The company or entity that is mandated by the WESM Rules to designate or nominate a WCO. It is represented by the head of the company or entity

All terms and abbreviations used in these Guidelines that are defined in the WESM Rules and the WCO Certification and Registration Manual shall have the same meaning as defined therein.

4.0 Guidelines

4.1 Processing of Application for WCO Certification Program

- 4.1.1 The application for certification program filed by the WESM Member or the Designated WCO in accordance with Section 4.3 of the Certification Guidelines 01 shall be processed by ECO within five (5) working days from the receipt of the accomplished form. The ECO shall assign a control or reference number for each application. For this purpose, the ECO shall maintain an Official List of the Designated WCOs for Certification Program in printed or electronic format.
- 4.1.2 Upon proof of completion of the requirements as prescribed in Section 4.3 of the Certification Guidelines 01, the ECO shall approve the application of the Designated WCO; otherwise, the ECO shall immediately coordinate with the applicant regarding any lacking requirement/s.

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4.1.3 If the concerned applicant who is not yet in the Official List of Designated WCOs has attended a WCO-Certified Lecture with the intent of earning credit units, the following shall govern:

- a. Completion of training course pending approval of application: The appropriate credit unit/s shall be accounted retroactively upon approval.
- b. Completion of training course or lecture without application at the time of training: No credit unit/s will be credited to the applicant with respect to such training attended even if he applies afterwards.

4.2 Maintenance and Update of List of Designated WCO for Certification Program

4.2.1 The Official List of the Designated WCOs for Certification Program shall be updated by ECO regularly with appropriate file versioning. The ECO shall adopt a process or system wherein any changes or revisions made may be tracked or identified. It shall, however, keep the old copies of file or list for use as reference, when necessary.

4.2.2 The ECO shall ensure that the training service providers are provided with either (a) a copy of updated Official List of the Designated WCOs for Certification Program, or (b) a ready access thereto for verification purposes concerning the enrollees to any training or activity. In case of the latter, the ECO shall ensure that the list may be viewed, downloaded, or printed by the training service provider, whenever necessary.

4.3 Validation of the Credit Units Earned by WCOs

4.3.1 Upon receipt from the training service providers of the WCO Certification Accomplishment Report Form and other related reports referred to in Section 4.8 of Certification Guidelines 02, the ECO shall –

- a. Validate the credit units earned by each participating WCO;
- b. Record and/or update its record by adding or reducing credit units, as may be allowed under Sections 4.4.5 and 4.5 of the Certification Guidelines 01, Section 4.2 of the Certification Guidelines 02, and other relevant provisions of these Guidelines; and
- c. Credit the units earned by the WCOs who transferred to another WESM Member subject to the conditions set forth in Section 4.8 of Guidelines 01, and Section 4.4 of these Guidelines.

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4.3.2 The ECO shall adopt a review mechanism to ensure the accuracy of the information as regards the computation of credit units as well as the correctness of application of the provisions relating to the assignment of greater weight or credit units, the reduction of points, or the crediting of units to transferring WCOs, as the case may be.

4.4 Crediting of Units to Transferring WCOs

4.4.1 The ECO shall update its record upon receipt of the information prescribed under Section 4.8 of the Certification Guidelines 01 or those relating to any change in the employment relationship or the affiliation status of the participating WCO.

4.4.2 The ECO shall evaluate the application of the credit units concerning a participating WCO who transfers to another WESM Member, as may be allowed under Section 4.5.6 of Certification Guidelines 01 subject to the approval of the Compliance Committee.

- a. If the application of credit units is approved by the Compliance Committee, the ECO shall inform the participating WCO of his/her total or running credit units as of the date of change in the employment or affiliation status;
- b. If the application of credit units is disapproved by the Compliance Committee, the ECO shall inform the participating WCO of the decision of the Compliance Committee stating the reason/s for the disapproval and shall advise the concerned WCO of the number of credits that need to be completed to satisfy the certification requirements.

4.5 Publication of Certification Status and Credit Units

4.5.1 The ECO shall publish or notify the participating WCOs of the current certification status at least twice a year, namely, on or before 30 June and 31 December of each year.

4.5.2 The notification shall include information relating to the credit units earned as of the period specified in the preceding section, deficiency in terms of credit units, and such other information as may be prescribed further by the Compliance Committee.

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4.6 Roster of Certified and Registered WCOs

- 4.6.1 Within five (5) working days from the confirmation by the Compliance Committee of the completion or fulfillment of the certification requirements, the ECO shall issue the WCO Certification to the concerned participating WCO, in such form as prescribed by Section 4.7 of Guidelines 01 and shall assign a unique Certified WCO Identification (ID) Number for reference and monitoring purposes.
- 4.6.2 The ECO shall add the name, the WCO ID number, and other relevant information to the Roster of Certified WCOs which shall be officially kept and maintained by the Compliance Committee and the ECO.
- 4.6.3 The Compliance Committee may, at its option, hold a ceremonial awarding of the WCO Certificates for all Certified WCOs once a year or during the WCO Summit or at such date/s as may be scheduled by the Compliance Committee and the Certified WCOs.
- 4.6.4 The ECO shall also keep track of the status of the Certified WCOs who are pursuing or has pursued a renewal of the certification by completing and earning 36 credit units for each succeeding compliance period.
- 4.6.5 A Certified WCO who fails to maintain a certification in the succeeding compliance period and whose certification expires shall not be delisted from the Roster, but his/her name or account shall be marked therein as "Inactive." He/she may, however, re-apply for certification by completing the requirements, as prescribed by the certification rules, manuals, and guidelines.
- 4.6.6 The WESM Member shall select from its pool of certified WCOs a person to be registered in the WESM as WCO. The WESM Members shall proceed to the registration of their respective WCOs within the compliance period. A Certificate of Registration shall be issued to the Registered WCO.

4.7 Handling of Endorsed Complaints, Disputes, and Concerns

- 4.7.1 If a complaint, issue, or concern is endorsed by the participating WCO or the training service provider to the Compliance Committee pursuant to Section 4.7.4 of the Certification Guidelines 02, the ECO shall inform the Compliance Committee or schedule a meeting or conference within 10 working days from receipt of the complaint, issue, or concern.

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- 4.7.2 The Compliance Committee may, at its option, decide on the matter based on the information provided by the parties or call for a conference to arrive at a sound judgment.
- 4.7.3 If a complaint for fraud, misrepresentation, or deceit as to the identity and personal circumstance of the participating WCO during a certain training or activity is confirmed after due investigation, the Compliance Committee may either (a) disqualify him/her from proceeding with the certification program, (b) disallow earning of credit units for the training attended; or (c) cause a reduction of credit units or points earned from the training attended.
- 4.7.4 Any proceeding/s conducted by and among the Compliance Committee, the concerned WCO, the representatives of the WESM Member, the training service provider, and representatives of ECO, in relation to the foregoing shall be kept confidential.

4.8 Record Keeping and Provision of Support to the Compliance Committee

- 4.8.1 The ECO shall receive, for and on behalf of the Compliance Committee, all reports or records required to be submitted by the WCOs and the training service providers under the Certification Guidelines 01 and 02, respectively, and other relevant rules or market manuals. The ECO shall keep a database of all the records and reports relating to the WCO certification and registration activities.
- 4.8.2 The ECO shall notify the Compliance Committee of any updates relating to the certification or registration activities through email, text messaging, or file sharing with appropriate information security measures.
- 4.8.3 If a certain matter calls for an approval, clearance, or resolution of the Compliance Committee, the same shall be clearly specified in the request or notices of ECO to the Committee and shall be communicated in a manner and in such timeline as would meet the requirements of the certification rules and guidelines.
- 4.8.4 The ECO shall ensure that all the instructions, directives, and resolutions of the Compliance Committee shall be timely and accurately communicated to the WCOs or the training service providers through email, advisories, notices, publications, or other forms of effective communication.

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4.8.5 The ECO shall keep a log of all correspondences, communications, advisories, notices, or publications, issued on behalf of the Compliance Committee or in the exercise of its mandate under the relevant rules, manuals, and guidelines.

4.9 Review of the Guidelines

4.9.1 The Compliance Committee may, as it deems necessary, add, modify, or dispense with some requirements or information from the Enforcement and Compliance Office through issuance of implementing guidelines or bulletins.

5.0 Forms or Template Guide

- 5.1 CC.CERT.ECO.TMP.01 - WCO Official List in the WESM
- 5.2 CC.CERT.ECO.TMP.02 - WCO Certification Documents and Records List
- 5.3 CC.CERT.ECO.TMP.03 - WCO Certification



FOR THE FORMS OR TEMPLATE:

You may view and download the following in PEMC-ECO Page of the PEMC website (www.wesm.ph):

Market Governance>Enforcement and Compliance>Compliance Forms and Reports

or click the image below:



FILENAME	FORM/TEMPLATE
FOR THE WESM COMPLIANCE OFFICERS	
CC.CERT.WCO.TMP.01	WCO Designation Form for Certification Program
CC.CERT.WCO.TMP.02	WCO Information Sheet or click this MS Forms https://forms.office.com/r/ANu6Um1DQN
FOR THE TRAINING SERVICE PROVIDERS	
CC.CERT.TSP.TMP.01	Annual WCO Certification Program
CC.CERT.TSP.TMP.02	Training Enrollment Form_Sample
CC.CERT.TSP.TMP.03	Participants Record
CC.CERT.TSP.TMP.04	TSP Accomplishment Report Form