

WESM COMPLIANCE BULLETIN

Issue No.	Date Issued	Contents
8.0	30 August 2018	Revised Significant Event Report Form (SERF) and New Dispatch Deviation Report Form (DDRF)

**Enforcement and Compliance Office
Philippine Electricity Market Corporation**

30 August 2018

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, 19th Floor Robinsons Equitable Tower, ADB Avenue, Ortigas Center, Pasig City 1600 or by email at compliance@wesm.ph.

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Acronyms Used In This Bulletin

ACRONYM	TERM
CMA	Compliance Monitoring and Assessment
DCN	Daily Compliance Notice
DDRF	Dispatch Deviation Report Form
FTP	File Transfer Protocol
MOR	Must-Offer Rule
RTD	Real-Time Dispatch
SERF	Significant Event Report Form
SD	Supporting Documents
SDSERF	Supporting Documents for SERF
SDDDRF	Supporting Documents for DDRF
TP	Trading Participant

Description

This Issue of the WESM Compliance Bulletin provides for the revision of the **Significant Event Report Form (SERF)** and the adoption of new **Dispatch Deviation Report Form (DDRF)**. These forms are part of the compliance monitoring and assessment (CMA) activity referred to in WESM Compliance Bulletin Issue No. 7 issued on 17 August 2018.

- **SERF** is the report required of Trading Participants under WESM Rules clause 3.5.11.7 which should contain information regarding any significant events occurring within the trading day that have a material adverse change in the state of their facilities.
- **DDRF**, on the other hand, refers to a form that contains a list of all intervals for one trading day related to a particular facility or resource containing records of actual deviation from the dispatch schedule in terms of MW and percentage, which are determined to be beyond the dispatch threshold as set by the existing market rules or market manuals. Each interval should contain information regarding the cause(s) of deviation with appropriate reference(s) to supporting documents.

The enhanced SERF and the new DDRF are designed to provide adequate or specific information about the reason(s) for the initially-flagged non-compliance with the Must Offer Rule and with the RTD Schedule, respectively. These forms will be used during the interim CMA activity, that is, **prior to the implementation of the New Market Management System (NMMS) and the approval or promulgation of the WESM Enforcement and Compliance Manual.**

These forms may be dispensed with as soon as the New Market Management System (NMMS) – Compliance Monitoring (CMON) Module and the post-evaluation tool are implemented, where flagging of probable breach is done real-time, and the submission of explanation for non-compliance is done online or through web-interface.

The contents, use, accomplishment, and submission of the said forms will be discussed in this Bulletin, and will be further explained through a communication roll-out to be set by ECO before the actual commencement date of the enhanced monitoring activity. Participants will be notified through email of the date of the roll-out meeting.

Objective

For WESM Participants –

- To be familiarized with the new forms.
- To be guided on how to accomplish and submit the forms.
- To be ready in complying with the requirements when the new CMA process takes effect.

1.1. Filling Out/Accomplishing the SERF and DDRF

On a daily basis (except on weekends and holidays), the Trading Participants may receive a *Daily Compliance Notice (DCN)*.¹ It will be in two sets: DCN for Must-Offer Rule (**DCN-MOR**) and for Compliance with RTD Schedule (**DCN-RTD**).

- The SERF will serve as a compliance with WESM Rules clause 3.5.11.7 and, at the same, be taken as a response or reply to the DCN-MOR.
- The DDRF will be considered as a response or reply to the DCN-RTD.

If a concerned Trading Participant is not flagged with initial non-compliance, it will not receive any DCN for a particular day, or it may possibly receive one DCN (e.g. DCN-MOR only) depending on the initial monitoring results.

1.2. Categories Per Sheet

- 1.2.1. The SERF and DDRF will be in excel (.xlsx) format.
- 1.2.2. The inputs by the Trading Participants will be placed in a particular sheet or tab depending on the event category. The following are the categories per Worksheet –

Table 1.0 – Event Categories Per Tab/Sheet

SERF	DDRF
<ul style="list-style-type: none">a. Outagesb. Transmission-Related Constraintsc. Derating – Plant Equipment Failure/Maintenanced. Derating – Ambient Conditionse. Ancillary Servicesf. Plant Operations-Related Constraints –g. Start-up/Shutdown Proceduresh. Plant Operations-Related Constraints – Testing and Commissioningi. Plant Operations-Related Constraints –j. Other Activities	<ul style="list-style-type: none">a. Load Stabilization/Normalization or Fluctuation or Transitionsb. Ancillary Servicesc. Station Service, House Load or Industrial Loadd. Data Variancese. System Operator Instruction – Re-Dispatch based on Merit Order Tablef. System Operator Instruction – Real-time MRU callg. System Operator Instruction – Emergency Direction

¹ DCN is a form to be sent or transmitted to the trading participants containing the resource ID, a list of intervals **with initial flag of non-compliance** with the WESM Rules and the WESM Market Manuals, particularly, the Must-Offer Rule and compliance with the Real-Time Dispatch Schedules

SERF	DDRF
k. Station, House or Industrial Load l. Fuel Supply Constraints – Natural Gas m. Fuel Supply Constraints – Other Non-RE Fuel Types n. Resource Constraints – Hydro o. Resource Constraints – Geothermal p. Resource Constraints – Biomass q. Resource Constraints – Solar r. Resource Constraints – Wind s. Pumped Storage Power Plants t. Co-Generation Power Plants u. Errors and Negligence v. Force Majeure Events w. Labor-Management Conflicts x. Legal and Regulatory Compliances y. Other Causes	h. System Operator Instruction – Other Instructions i. Transmission Constraints j. Automatic Governor Response k. Resource Constraints- Hydro l. Resource Constraints- Geothermal m. Legal and Regulatory Compliances n. Force Majeure Events o. Other Causes

- 1.2.3. If, for instance, the reason for non-submission of offer for x number of intervals on a particular trading day is that, the plant was on forced outage, the inputs will be provided in the “Outages” Tab.
- 1.2.4. If there are two reasons for non-compliance, the two Worksheets or Tabs that correspond to applicable event category should be filled out. For instance, the non-compliance of a Trading Participant concerning its **aggregated** unit G01 (with two units namely, U01 and U02) is attributed to *Outage* of U01 and *Derating Due to Plant Problem* of U02, the two worksheets i.e., Outage Tab and Derating Tab shall be filled out in one excel file. For easy reference, the Trading Participants may indicate in the “Description” column that another related event category is filled out for the same interval.
- 1.2.5. For guidance on which category a particular event or reason falls, the Trading Participants may refer to the following:

For SERF:

- **WESM Compliance Bulletin Issue No. 6.2** – Revised Offer and Nominations Non-Compliance Report Form Procedures (*pp. 12-24*)

For DDRF:

- **WESM Compliance Bulletin Issue No. 4** – Non-Compliance Events Classification and Non-Compliance Report Form 2 – Possible Non-Compliance with Real Time Dispatch Schedules/Instructions by Scheduled Generating Units (Revision 1.0) (*pp. 4-12*)

These can be downloaded in http://www.wesm.ph/inner.php/downloads/eco_forms

1.3. Completeness and Clarity

- 1.3.1. The Trading Participant shall accomplish the SERF and the DDRF and shall complete the information indicated in the forms. The details or information that may be asked from Participants may vary depending on the event category. The headers in the excel file are designed to be clear-cut. The Trading Participants are encouraged to also provide a clear and straightforward response.

For example, for *Derating – Plant Equipment-Related Failure or Maintenance*, the information to be provided includes –

- a. Resource ID
 - b. Trading Date
 - c. Trading Interval
 - d. Registered Pmax
 - e. Offer/Target Loading Level/Projected Output, MW
 - f. Derated Capacity
 - g. Unit Affected (if resource is aggregated)
 - h. Type of Plant/Generator Problem
 - i. Start and End Date and Time
 - j. Status (If ongoing or ceased)
 - k. Description of Event
 - l. List of Supporting Documents
 - m. If Supporting document was already submitted, specify the date of SERF with which submission was made
- 1.3.2. If the Trading Participants believe that the information provided is not adequate or the reason provided calls for a more detailed information, it may submit as attachment a Position Paper, narrative or technical description, relevant operations manual or document, etc. with appropriate reference in the “List of Supporting Documents” column.
- 1.3.3. Each report shall cover all events occurring in one trading day. When an event occurs over several days, a SERF or DDRF shall be submitted for each day that the event occurred while supporting documents may be submitted only once as stated in Section 1.4.3.

1.4. Substantiation and Referencing

- 1.4.1. Each submission shall be accompanied by data or documents showing the occurrence and circumstances of the event being reported. The supporting data shall be listed in the SERF/DDRf.
- 1.4.2. Supporting data or documents may include plant operator logbooks, letters and other forms of internal or external communications, work orders, incident reports, or any other business records that are generated, maintained or kept in the ordinary course of business of the Trading Participant, by persons who have direct participation or knowledge of the event being recorded.

- 1.4.3. If an event occurs over two or more trading days and is thus covered by more than one SERF/DDRF, a supporting data or document may be submitted only once. The subsequent forms however, should identify the specific SERF/DDRF submission with which the supporting data was previously submitted.
- 1.4.4. The submissions provided within the billing period shall be accompanied by an Affidavit.
- a. The Affidavit shall be submitted at the end of month (e.g. 30 October 20XX). The person executing the Affidavit shall attest to the veracity and authenticity of ALL documents submitted for the covered billing period (e.g. for the period 26 September to 25 October 20XX). All documents submitted within said period shall be specified and enumerated in the Affidavit. There shall only be one Affidavit per month.
 - b. The Affidavit shall be executed by:
 - An authorized representative, preferably the WESM Compliance Officer or the main contact person, attesting to the accuracy of the information contained in the SERF and DDRF; or
 - The custodian/s of the supporting data or documents being submitted attesting to the authenticity of the records, or the person/s who prepared or supervised the preparation of the same attesting to the authenticity of the records and the veracity of the information contained.

1.5. **Submission**

1.5.1. **Filenames**

Table 2.0 – Format and Filenames

Document	Filename		File Format
	Naming Convention	Example	
SERF	SERF_TP SHORTNAME_PLANT SHORTNAME_MMDDYYYY	SERF_ABCGEN_XYZPLANT_09272018	SERF – xls/xlsx SERF and SD -zip/rar
DDRF	DDRF_TP SHORTNAME_PLANT SHORTNAME_MMDDYYYY	DDRF_ABCGEN_XYZPLANT_09272018	DDRF – xls/xlsx DDRF and SD -zip/rar
SDSERF SDDDRF	<ul style="list-style-type: none"> • SDSERF/SDDDRF – Supporting Documents for SERF or DDRF. • SDSERF_ABCGEN_XYZPLANT_09272018. • This can be in portable document format (pdf), word, excel, image format (jpg, png, etc.), • <u>However, this must be compressed in the related SERF/DDRF in archive or compressed file (zip or rar).</u> 		

*Note: For the **official** short names, i.e., Trading Participant and Plant **Short Names**, please refer to Annex A of the previously issued WESM Compliance Bulletin Issue No. 7*

http://www.wesm.ph/inner.php/downloads/eco_advisories

1.5.2. Timeline

Table 3.0 – Schedule of Submissions

Document	Responsible	Deadline	Sample Indicative Dates
SERF & SD	Trading Participant	D + 3 (or the next working day if 3 rd day falls on a weekend or a holiday)	<ul style="list-style-type: none">• 3 October 20xxx For the non-compliance on 30 September 20XX.
DDRF & SD	Trading Participant	D + 3	<ul style="list-style-type: none">• 3 October 20xxx For the non-compliance on 30 September 20XX.
Additional SDSERF/ SDDDRF	Trading Participant	<ul style="list-style-type: none">• Not later than the last day of month	<ul style="list-style-type: none">• 31 October 20xxx For the non-compliance covering period from 26 September to 25 October 20xx

1.5.3. Facility

- PEMC **File Transfer** Protocol (FTP) website: using the log-in credential assigned to the Trading Participant @ <https://180.232.127.59>
- If the facility becomes temporarily unavailable or cannot be accessed by PEMC and/or by the Trading Participant, the notices and reports may be submitted **by email** to PEMC @ compliance@wesm.ph

1.6. Coordination

- 1.6.1. The assigned ECO personnel will get in touch with the representatives of the Trading Participants to clarify any entries in SERF or DDRF or to follow-up the submission to ensure that responses or replies to DCN will be considered in the assessment of the non-compliance. The forms may be revised or cancelled, as the circumstances warrant.²
- 1.6.2. For this purpose, the **CMA Contact Persons** as nominated by the concerned WESM Compliance Officers (WCOs) and registered in PEMC-ECO will be the ECO's point person for telephone calls from time to time.
- 1.6.3. As stated in ECO's previous advisory, the CMA Contact Persons are those responsible for answering and submitting the reply and supporting documents via FTP. The WCO may or may not be the CMA Contact Person, depending on the preference of the Trading Participant.

1.7. Forms

- ECO.A01.TMP.06_Significant Event Report Form
- ECO.A01.TMP.07_Dispatch Deviation Report Form

These can be downloaded in http://www.wesm.ph/inner.php/downloads/eco_forms

² For more details on addition, revision, and cancellation of submissions, please refer to Section 1.8 of the previously-issued WESM Compliance Bulletin Issue No. 7, 17 August 2018

1.8. Effectivity

These revised forms shall be made effective upon actual commencement of CMA activity of ECO. An official advisory on the actual commencement date will be likewise sent to the concerned WESM Participants.