



DEPARTMENT OF ENERGY
(Kagawaran ng Enerhiya)

DEPARTMENT CIRCULAR NO. DC2021-12-0041

in

**ADOPTING FURTHER AMENDMENTS TO THE WHOLESALE ELECTRICITY
SPOT MARKET (WESM) RULES AND MARKET MANUAL ON WESM
COMPLIANCE OFFICERS (WCO) CERTIFICATION AND REGISTRATION**

WHEREAS, Sections 30 and 37(f) of the Electric Power Industry Reform Act (EPIRA) provides that the Department of Energy (DOE), jointly with the electric power industry participants, shall establish the Wholesale Electricity Spot Market (WESM) and formulate the detailed rules governing the operations thereof;

WHEREAS, on 28 June 2002, the DOE, with the endorsement of the electric power industry participants, promulgated the WESM Rules through Department Circular No. DC2002-06-0003;

WHEREAS, any changes, amendments, and modifications to the WESM Rules, Retail Rules and their Market Manuals shall be undertaken in accordance with the provisions of Chapter 8 of the WESM Rules;

WHEREAS, on 11 September 2019, the Philippine Electricity Market Corporation (PEMC) submitted the proposed new WCO Accreditation Manual to the Rules Change Committee (RCC) in order to provide the procedures and mechanisms to guide all WESM Members on the WCO Accreditation Program to be adopted by the PEMC as provided in the aforementioned proposed amendments in the WESM Rules;

WHEREAS, on 11 December 2019 and 16 January 2020, the PEM Board approved the proposal and PEMC formally endorsed the same to the DOE, respectively;

WHEREAS, on 22 and 29 July 2020, the DOE subjected the said proposal to virtual public consultations (VPC);

WHEREAS, on 21 December 2020, the DOE posted a revised version of the WCO Accreditation Manual following several discussions between the DOE and PEMC's Enforcement and Compliance Office (ECO) to finalize the proposal;

WHEREAS, in a letter dated 10 May 2021, the DOE remanded the proposal to the PEMC to address additional concerns on identification of specific non-compliances with the non-designation of WCO and corresponding penalty in relation to the Penalty Manual, and inclusion of the repercussions for the non-compliant WCOs;

WHEREAS, on 21 May 2021 and 18 June 2021, the revised proposal was deliberated by the RCC and thereafter, on 16 July 2021, during its 181st RCC Regular Meeting, the RCC adopted RCC Resolution No. 2021-08 entitled "Revisions to RCC Resolution No. 2019-19 on the Proposed Revisions to the WESM Rules and New WESM

Compliance Officers (WCO) Certification and Registration Manual" for endorsement to the PEM Board;

WHEREAS, on 25 August 2021, after due evaluation and deliberation, the PEM Board during its 39th Regular Meeting approved for endorsement to the DOE the above stated proposal;

WHEREAS, on 01 October 2021, the formal letter of PEM Board, seeking DOE's final approval of the proposal, was endorsed to the DOE;

NOW THEREFORE, after careful review of the PEM Board-approved proposal and the comments and recommendations received on the same, the DOE, pursuant to its authority under the EPIRA and the WESM Rules, hereby adopts, issues, and promulgates the following amendments to the WESM Rules and New Market Manual on WCO Certification and Registration:

Section 1. Amendments to the WESM Rules. The following provisions of the WESM Rules are hereby amended:

- a. Clause 1.8.2 (Responsibilities of the Compliance Committee) under Clause 1.8 (Compliance Committee) is hereby amended to read as:

"1.8.2 Responsibilities of the Compliance Committee

xxx xxx xxx

- (d) Review and approve the guidelines for the *WESM* Compliance Officers' competency standards and certification program;
- (e) Propose amendments to the *WESM Rules* or *Market Manuals* in accordance with Chapter 8 with a view of:
 - (i.) Improving the efficiency and the effectiveness of the operation of the *WESM*; and
 - (ii.) Improving or enhancing the prospects for the achievement of the *WESM* objectives; and
- (f) Assist the *Rules Change Committee* in relation to its assessment of proposals to amend the *WESM Rules* or *Market Manuals* under Chapter 8."

- b. Clause 7.1 (Scope of Chapter 7) under Clause 7 (Enforcement and Disputes) is hereby amended to read as:

"7.1 In line with the principles of self-governance, expeditious, just and least expensive disposition of disputes and breaches of the *WESM Rules* or *Market Manuals* and considering the continuous nature of the transactions and operations of the *WESM*, this chapter sets out:

xxx xxx xxx

- (c) Other provisions on how disputes are to be resolved;

- (d) The appointment of an *Enforcement and Compliance Officer*, a *Dispute Resolution Administrator* and selection of mediators and arbitrators that shall form part of the arbitration panel; and
 - (e) The certification and registration of the *WESM Compliance Officers*."
- c. Clauses 7.2.9.1 and 7.2.9.2 under Clause 7.2.9 (Designation of a Compliance Officer for WESM Member, Market Operator and System Operator) are hereby amended to read as:

"7.2.9.1 All *WESM Members*, and the *Market Operator* shall designate a *WESM Compliance Officer* in their respective organizations; Provided that the person so appointed should have an understanding of the *WESM* compliance requirements of his or her organization and occupies a senior management position in the organization that he or she is able to recognize possible non-compliances and has sufficient authority to resolve the same. Furthermore, said *WESM Compliance Officer* shall undergo a certification program to be administered by the *Market Operator* and the Governance Arm.

For this purpose, the Governance Arm shall:

- (a) In consultation with the *WESM Members* and the *Market Operator*, develop and establish the necessary program and guidelines for the certification of the *WESM Compliance Officers* with the end in view of attaining a higher level of compliance with their obligations in the *WESM* and keeping them informed of their company's obligations in the market and any market developments.
- (b) Implement a certification program for all *WESM Compliance Officers*; and
- (c) Recommend or establish the competency standards for the *WESM Compliance Officers*.

7.2.9.2 The Compliance Officer shall:

xxx xxx xxx

- (e) Undergo a certification process for *WESM Compliance Officers*."

Section 2. Adoption of the Market Manual on the WESM Compliance Officers Certification and Registration. The Market Manual on the WESM Compliance Officers Certification and Registration Issue No. 1.0 and presented as "Annex A" to this Circular is hereby approved and adopted:

Section 3. Separability Clause. If for any reason, any section or provision of this Circular is declared unconstitutional or invalid, such parts not affected shall remain valid and subsisting.

Section 4. Effectivity. This Circular shall take effect fifteen (15) days following its complete publication in at least two (2) newspapers of general circulation and shall remain in effect until otherwise revoked. Copies thereof shall be filed with the University of the Philippines Law Center – Office of National Administrative Register (UPLC-ONAR).

Issued on DEC 21 2021 at the Energy Center, Rizal Drive, Bonifacio Global City, Taguig City, Metro Manila.


ALFONSO G. CUSI
Secretary



Republic of the Philippines
DEPARTMENT OF ENERGY
IN REPLYING PLS. CITE:

DOE-AGC-21007091





PUBLIC

WESM Manual

WESM Compliance Officers Certification and Registration Manual Issue No. 1.0

Abstract	This manual sets out the guidelines and procedures for the certification and registration of WESM Compliance Officers as provided for in the WESM Rules.
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Document WESM-WCR-001
Identity:
Issue No.: 1.0
Reason for Issue: New Manual
Approval Date:
Publication Date:
Effective Date:

Document Change History

Issue No.	Proponent	Date of Effectivity	Reason for Amendment
1.0	PEMC-Office of the Chief Governance Officer/ Enforcement and Compliance Office		The WCO Certification and Registration Manual is a new <i>Market Manual</i>. It sets out the guidelines and procedures for the certification and registration of WESM Compliance Officers as provided for in the WESM Rules. With the adoption of this Manual, WESM Members will be guided on how their WESM Compliance Officers may attain certification as WESM-Certified WCOs. This new Manual likewise provides the mechanism for maintaining said certification.

Document Approval

Issue No.	RCC Approval	RCC Resolution No.	PEM Board Approval	PEM Board Resolution No.	DOE Approval	DOE Circular No.
1.0	06 December 2019	2019-19				

Reference Documents

Document ID	Document Title
	Wholesale Electricity Spot Market Rules (<i>WESM Rules</i>)
	WESM Penalty Manual

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SECTION 1 PURPOSE OF THE MANUAL

- 1.1 This Manual aims to provide the competency standards for all WESM Compliance Officers (WCOs) by creating a program or mechanism that promotes continuous quality enhancement in the WCOs' performance of their compliance-related functions. It also seeks to ensure that throughout their participation, WCOs are well-informed of all market rule developments and are compliant with their obligations in the Wholesale Electricity Spot Market.
- 1.2 It also seeks to establish effective leadership that will help promote WESM compliance within their organization.

SECTION 2 RESPONSIBLE PARTIES**2.1 WESM Governance Arm**

The WESM Governance Arm shall be responsible for the following:

- 2.1.1 Enforcing and ensuring compliance with the WESM Rules and this Manual on the registration of Certified WCOs by the WESM Members and the Market Operator.
- 2.1.2 Registering the Certified WCOs designated by the WESM Members and the Market Operator.
- 2.1.3 Establishing the competency standards for the certification and registration of WCOs subject to the review and approval of the Compliance Committee.
- 2.1.4 Developing and implementing the WCO certification program with the Market Operator and System Operator subject to the review and approval of the Compliance Committee.
- 2.1.5 Monitoring the compliance of all Registered WCOs with the requirements of the WCO Certification Guidelines.
- 2.1.6 Providing lectures or trainings to the following:
 - a) Designated WCOs by the WESM Members; and
 - b) Registered WCOs by the WESM Members for purposes of renewal of their registration.
- 2.1.7 Evaluating the WCO's submitted reports concerning their respective organization's compliance with the WESM Rules and WESM Manuals on an annual basis or as may be determined by the Enforcement and Compliance Office and the Compliance Committee.

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2.2 WESM Members

- 2.2.1 They shall be responsible for the registration of their respective WCOs in the WESM; Provided, that prior to registration, the designated WCO of the WESM Member shall pass the certification program as required in Section 3.1 hereof.

In this regard, the Registered WCO of the WESM Member shall:

- a) Monitor the activities and transactions in the WESM of his or her organization and carry out measures to ensure compliance with the WESM Rules and Market Manuals; and put in place necessary procedures and guidelines for this purpose;
- b) From time to time and if he or she deems it necessary or appropriate, propose amendments to the WESM Rules and WESM Market Manuals to enhance or develop the WESM enforcement and compliance and promote good commercial and technical practices;
- c) Be responsible in coordinating with the Enforcement and Compliance Office, on all matters relating to WESM enforcement, compliance and governance, including the provision of the necessary information and data, as may be required by any of the WESM Governance Committees and by the Enforcement and Compliance Office;
- d) Submit to the Enforcement and Compliance Office an annual report on his or her organization's compliance with the WESM Rules and Market Manuals in such form as may be prescribed by the Enforcement and Compliance Office; and
- e) Comply with the continuing certification requirements as set forth herein.

2.3 Market Operator

- 2.3.1 The Market Operator shall be responsible for registering its WCO in the WESM. The designated WCO of the Market Operator need not undergo the certification program considering its expertise in the WESM.

Similarly, the registered WCO by the Market Operator shall:

- a) Monitor the activities and transactions in the WESM of his or her organization and carry out measures to ensure compliance with the WESM Rules and Market Manuals; and put in place necessary procedures and guidelines for this purpose;

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- b) From time to time and if he or she deems it necessary or appropriate, propose amendments to the WESM Rules and WESM Market Manuals to enhance or develop WESM enforcement and compliance and promote good commercial and technical practices;
- c) Be responsible in coordinating with the Enforcement and Compliance Office, on all matters relating to the WESM enforcement, compliance and governance, including the provision of the necessary information and data, as may be required by any of the WESM Governance Committees and by the Enforcement and Compliance Office; and
- d) Submit to the Enforcement and Compliance Office an annual report of his or her organization's compliance with WESM Rules and Market Manuals in such form as may be prescribed by the Enforcement and Compliance Office.

2.3.2 The Market Operator shall also provide lectures or trainings to the following:

- a) Designated WCOs by the WESM Members; and
- b) Registered WCOs by the WESM Members for purposes of renewal of their registration.

SECTION 3 CERTIFICATION AND REGISTRATION PROCESS OF WCOs

3.1 Certification

3.1.1 The certification is mandatory for all individuals duly designated as WCO/s by the WESM Members. The WCO Certification shall be granted by the WESM Governance Arm to the designated WCO/s after satisfying and completing the relevant lecture or training requirements in accordance with the WCO certification program adopted by the WESM Governance Arm.

3.1.2. The WESM Members shall designate individual/s occupying senior management positions such as those pertaining, but not limited, to legal, risk management, regulatory or compliance, to undergo certification program.

For this purpose, senior management shall refer to a position in the company which carries with it the authority, capability, and responsibility to plan and direct the work of individuals or group of individuals, or make key decisions in an organization, either through employment or consultancy engagement or agreement.

3.1.3. Each designated WCO/s by the WESM Member must complete at least thirty-six (36) credit units of compliance lecture series or trainings.

- 3.1.4 Upon conclusion of a lecture or training, the WESM Governance Arm or the Market Operator shall issue a Certificate of Completion to the designated WCO/s by the WESM Member identifying the time, date, location, subject matter and length of the activity and the number of credit units earned.
- 3.1.5. The WESM Governance Arm shall maintain a database containing the list of all Certified WCOs, and Registered WCOs. Similarly, the training courses attended, and credit units earned shall also be reflected in the said database. The contents of the database shall be updated on a regular basis and indicate the compliance status of each WCO.
- 3.1.6. The WESM Governance Arm shall, for this purpose, formulate the guidelines to effectively facilitate the information exchange and update the information of the Certified WCOs, and Registered WCOs.
- 3.1.7. Certified WCOs who were not selected by their company as a Registered WCO in the WESM may undertake the certification program again for renewal purposes of their WCO Certification. In this regard, these Certified WCOs can be selected by their companies to be the latter's new Registered WCO for instances provided in Section 7 hereof.

3.2 Registration

- 3.2.1 In strict compliance with Clause 7.2.9 of the WESM Rules, all WESM Members, and the Market Operator shall register their respective WCOs in the WESM through the Governance Arm.
- 3.2.2 Only the Market Operator can register a WCO without undergoing a certification program as it has already the expertise in the WESM, and also responsible in providing training and lecture courses for the designated WCOs of the WESM Members. However, the registered WCO by the Market Operator shall also occupy senior management position such as those pertaining, but not limited, to legal, risk management, regulatory or compliance.

Likewise, senior management shall refer to a position in the company which carries with it the authority, capability, and responsibility to plan and direct the work of individuals or group of individuals, or make key decisions in an organization, either through employment or consultancy engagement or agreement.

- 3.2.3 All WESM Members and the Market Operator shall update the registration of their respective Registered WCOs to the WESM Governance Arm within the compliance period referred to in Section 4 of this Manual. Failure to comply with Clause 7.2.9 of the WESM Rules shall be subject to sanctions pursuant to Section 7.2.5.2 of the WESM Rules.



- 3.2.4. Affiliated WESM Members may be allowed to register one (1) WCO to represent them in the WESM provided that the representation is limited under one (1) company name.

For instance, there can be one Registered WCO for the National Grid Corporation of the Philippines even if it functions as the System Operator, Metering Services Provider, and Network Services Provider.

- 3.2.5. Prior the end of the compliance period referred in Section 4 hereof, the Registered WCO shall ensure that he/she complies with the required credit units specified in Section 3.2.6 hereof in order to represent its company in the next compliance.
- 3.2.6. The Registered WCOs shall complete at least thirty-six (36) units of Certification activities within the three-year period allotted for the completion of the required units.
- 3.2.7. For renewal purposes, within six (6) months before the end of each Compliance Period, the WESM Governance Arm shall assess the compliance status of all Registered WCOs. Within the same period, the concerned Registered WCOs shall be notified by the WESM Governance Arm of the deficiency, if any, for completion of the requirements.
- 3.2.8. The Registered WCO applying for renewal who meets all the requirements set forth herein shall be issued a renewed Certificate of Registration. The Certificate of Registration shall also indicate the validity period.

SECTION 4 COMPLIANCE PERIOD

- 4.1 The commencement of the compliance period for WCO Certification shall be officially declared by the WESM Governance Arm. The initial compliance period shall be for thirty-six (36) months. The succeeding compliance period shall be for the same duration and shall begin on the day after the end of the previous compliance period.

Thus, for instance:

1st Compliance Period: 01 July 2022 to 30 June 2025
2nd Compliance Period: 01 July 2025 to 30 June 2028

- 4.2. For officers or personnel who are already registered as WCOs in the WESM but not yet certified by the WESM Governance Arm before the start of the first compliance period, their respective WESM Members shall undertake necessary action to comply with the certification requirements as set forth herein.

SECTION 5 COMPUTATION OF CREDIT UNITS

- 5.1 Credit units shall be earned through attendance to compliance lecture series.
- 5.1.1. Credit units are equivalent to credit hours. These shall be measured based on the actual time spent or hours of participation in any of the compliance lecture series cited in Section 6 hereof. However, a fraction of an hour shall be rounded up to one full hour. For instance, if the lecture series lasted for only 3.5 hours, four (4) credits will be earned.
- 5.1.2 Lectures or trainings shall be provided by the WESM Governance Arm or by the Market Operator.
- 5.2 Notwithstanding the foregoing provisions on credit unit computation, the WESM Governance Arm or the Market Operator may, upon its own assessment of the degree of importance, relevance, or complexity of a certain lecture series, assign a greater weight than the points established under Section 5.1.1 hereof.
- 5.3 The credit units that will be measured at the end of the Compliance Period shall be the total of point systems referred to in Section 5.1.1 hereof.

SECTION 6 CERTIFICATION PROGRAMS

- 6.1. All certification activities that shall be provided by the Market Operator and the WESM Governance Arm must have significant content relating to the WESM operations, governance, regulatory compliances, or compliance with the relevant market rules and manuals. These shall include, but not be limited to, the following –
- a) Fundamentals of WESM
 - b) WESM Features
 - c) Membership and Participation in WESM
 - d) Market Dispatch Optimization Model
 - e) Market Offer
 - f) Real-Time Dispatch
 - g) Pricing and Settlement Process
 - h) Market Network Model Development and Maintenance
 - i) Load Forecasting
 - j) Procedure for Load Shedding
 - k) Procedures for Start-up and Shutdown of Generators
 - l) Management of Must-Run Units
 - m) The Role of the WESM Governance Committees
 - n) Market Monitoring

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- o) Generators' Compliances
 - p) Penalties for Breach of WESM Rules
 - q) Submission of Nominations of Loading Levels or Projected Outputs
 - r) Compliance with Forecast Accuracy Standards
 - s) Relevant or recent DOE and ERC Issuances
- 6.2. The WESM Governance Arm and the Market Operator shall ensure that there are adequate courses or lecture series that can be offered within the compliance period for all types of sectors or members in the WESM. When appropriate, they may, in advance, determine and authorize the publication of the lectures or courses to be offered for the entire compliance period.
- 6.3. The schedule of any lecture or training shall be posted or published in both the Governance Arm and Market Operator websites at least one (1) month prior to the intended date of lecture or training. The notice to the WESM Members shall mark the lecture that is being offered as a "WCO Certified Lecture or Training" and shall indicate the credit unit(s) or points assigned to each lecture or course training offered.
- 6.4. Substantive written materials must be distributed to all participants. Such materials must be distributed during or before the time the activity is offered. It may also be distributed through email or may be downloadable through the WESM Governance Arm's and the Market Operator's respective websites.
- 6.5. The lecture or training shall be for a reasonable or minimal fee as would cover the cost of training materials, meals, and other related expenses.
- 6.6. The lecture or training may also be conducted through online platforms.

SECTION 7 CHANGE OF WCO

- 7.1 The WESM Member and the Market Operator shall notify the WESM Governance Arm of its intent to change its Registered WCO in the WESM due to resignation, retirement, termination, or any other cause of separation within three (3) working days from such occurrence. Said WESM Member or the Market Operator shall also register its new WCO in accordance with Section 3.2 of this Manual.
- 7.2. During the WESM Member's selection for a qualified individual to become its new Registered WCO, and there is an individual who already has a valid WCO Certification or has already earned credit units by reason of his/her previous employment or engagement, the WESM Member may seek confirmation from the WESM Governance Arm regarding the said accreditation certification that was already earned within the compliance period.
- 7.3 The WESM Member may also select the replacement of its Registered WCO from its pool of Certified WCOs.





- 7.4 On the other hand, the Market Operator may select the replacement of its Registered WCO in accordance with Section 3.2 hereof.

SECTION 8 NON-COMPLIANCE WITH THE REGISTRATION REQUIREMENTS

- 8.1 Subject to the transitory provisions provided under Section 10 of this Manual, failure by a WESM Member or the Market Operator to comply with the registration of the WCOs pursuant to Section 7.2.9 of the WESM Rules and this Manual shall result to the issuance of a Non-Compliance Notice by the Governance Arm.
- 8.2 The failure of the WESM Member or the Market Operator to comply with the registration requirements set forth herein shall be the basis of the WESM Governance Arm to impose on and collect a non-compliance fee from the non-compliant WESM Member as a penalty in such amounts authorized under the WESM Penalty Manual.
- 8.3 The non-compliant Registered WCO shall not be authorized to represent his/her respective organization in any case proceedings pending with the Governance Arm or in matters relating to the enforcement and compliance or to exercise any of the functions provided in Clause 7.2.9.2 of the WESM Rules. For this purpose, the WESM Member shall immediately register in the WESM another WCO from its pool of Certified WCOs.
- 8.5. The procedures relating to the certification and registration of the WCOs in the WESM including the imposition of the non-compliance fees, if warranted, are illustrated in Appendix I of this Manual.

SECTION 9 MANUAL REVIEW

- 9.1 This Manual shall be reviewed by the WESM Governance Arm annually or as may be necessary.
- 9.2. Any revisions or changes made to this Manual shall be approved by the DOE and published in the website of the WESM Governance Arm.

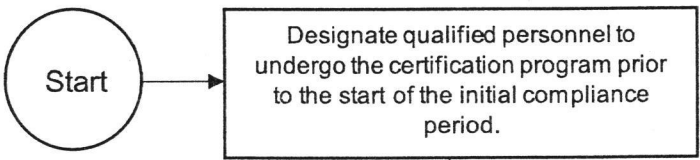
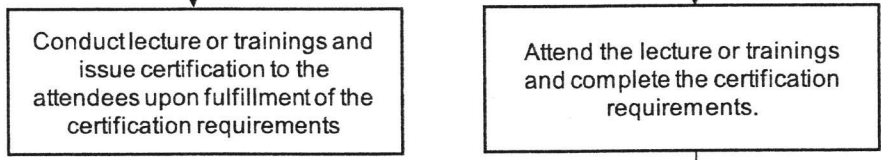
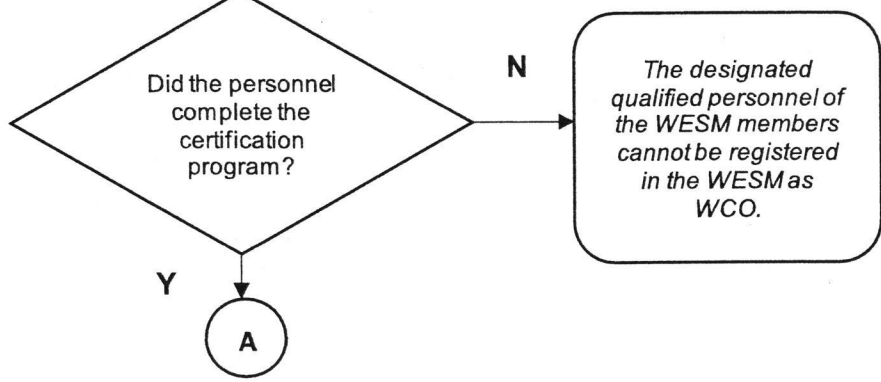
SECTION 10 TRANSITORY PROVISION

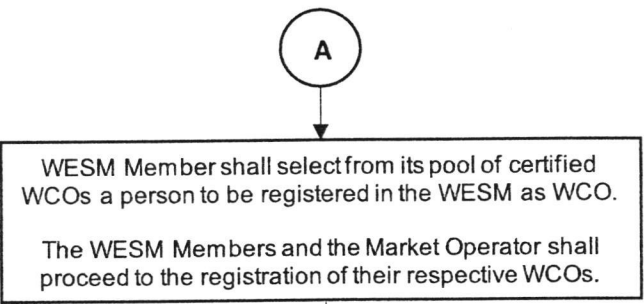
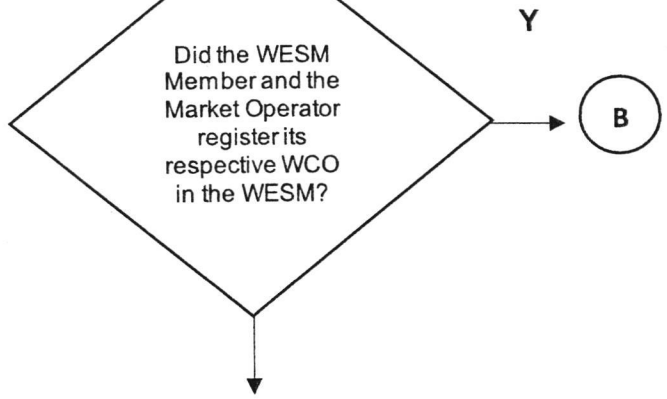
All current Registered WCOs in the WESM may remain to be the Registered WCOs subject to the provisions set forth in this Manual.

SECTION 11 EFFECTIVITY

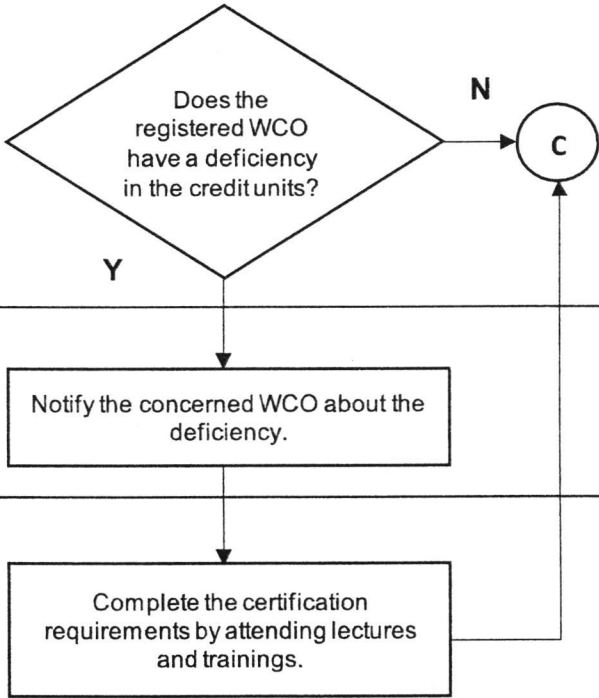
This Manual shall become effective upon approval of the Department of Energy and fifteen (15) days after publication in two (2) newspapers of general circulation.

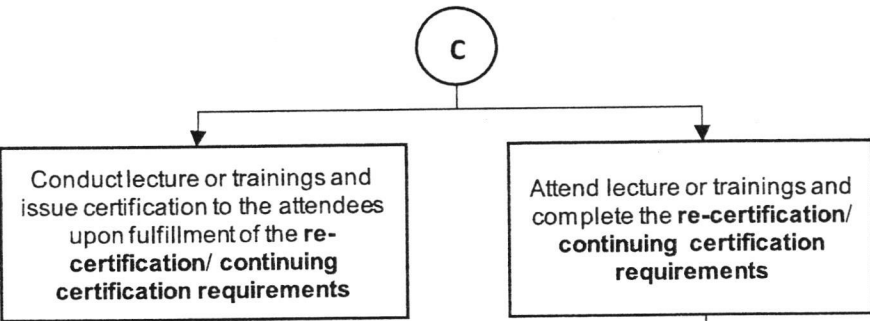
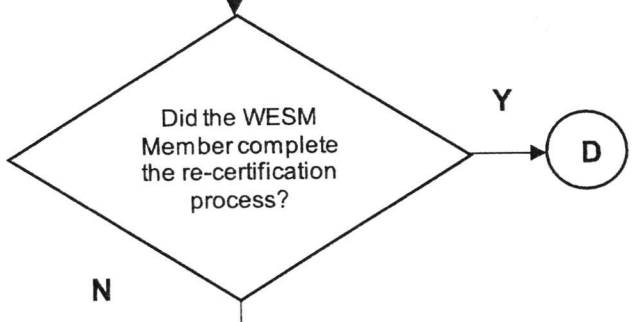
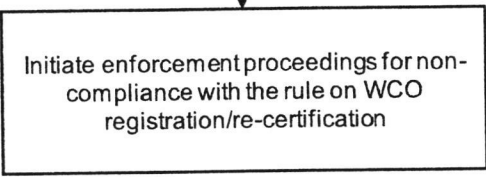
APPENDIX I WCO CERTIFICATION AND REGISTRATION PROCESS FLOWCHART

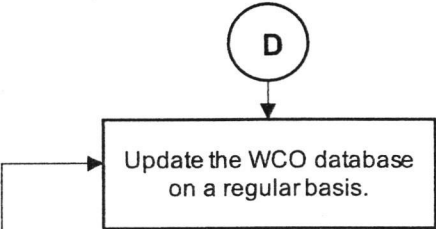
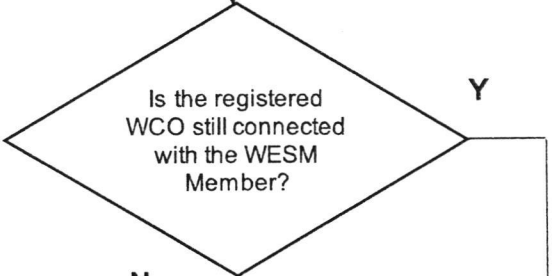
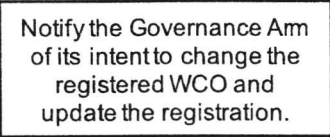
Responsible Agency/ies	Procedures	Maximum Timeline/Processing Period	Requirements/Remarks
All WESM Members		As soon as possible prior the start of the initial compliance period	- Section 6.2 requires that the Governance Arm and the Market Operator ensure that there are adequate courses or lecture series that can be offered within the compliance period. - Section 4 of the Manual provides the Compliance Period.
Market Operator/ Governance Arm WESM Members		Within the compliance period	The qualifications are stipulated in Section 3.1 the Manual specifically: occupying senior management position such as those pertaining but not limited, to legal, risk management, regulatory or compliance.
Designated Qualified Personnel of the WESM Members		Within the compliance period	- The designated qualified personnel of the WESM Members (except the Market Operator) must complete at least thirty-six (36) credit units of compliance lecture series or trainings before being issued with a WCO Certification. - The designated qualified personnel of the WESM Members can refer to Section 5 (Computation Credit Units) and Section 6 (Certification Programs) of the Manual for reference.

Responsible Agency/ies	Procedures	Maximum Timeline/ Processing Period	Requirements/Remarks
All WESM WESM Members Market Operator Governance Arm	 WESM Member shall select from its pool of certified WCOs a person to be registered in the WESM as WCO. The WESM Members and the Market Operator shall proceed to the registration of their respective WCOs.	Within the compliance period	- Upon completion of the credit unit requirement the WESM Governance Arm or the Market Operator shall issue a Certificate of Completion and WCO Certification. - Section 2.1.2 mandates the Governance Arm register the Certified WCOs designated by the WESM Members and the Market Operator.
All WESM Members Market Operator	 Did the WESM Member and the Market Operator register its respective WCO in the WESM? Y → B	Within the compliance period	- The WESM Members and the Market Operator shall refer to Section 3.2 of the Manual for the Registration Process. - Section 4 of the Manual provides the Compliance Period. - Sections 2.2 and 2.3 of the Manual provides for the responsibilities of registered WCO of the WESM Member and the Market Operator, respectively. - The designated qualified personnel of the WESM Members (except the Market Operator) must complete at least thirty-six (36) credit units of compliance lecture series or trainings before being issued with a WCO Certification.

Responsible Agency/ies	Procedures N	Maximum Timeline/ Processing Period	Requirements/Remarks
WESM Governance Arm	Initiate enforcement proceedings for non-compliance with the rule on WCO registration.		Section 8 of the Manual provides for the non-compliance with the registration requirements.
Governance Arm	B ↓ Assess the compliance status of all registered WCOs. ↓	Within 6 months before the end of each Compliance Period.	- Section 3.2.7 requires the Governance Arm to assess the status of compliance and notify the registered WCO for the deficiency, if any. - The designated qualified personnel of the WE: Members (<i>except the Market Operator</i>) must complete at least thirty-six (36) credit units of compliance lecture series or trainings before being issued with a WCO Certification.

Responsible Agency/ies	Procedures	Maximum Timeline/ Processing Period	Requirements/Remarks
	 <pre> graph TD A{Does the registered WCO have a deficiency in the credit units?} -- N --> C((C)) A -- Y --> B[Notify the concerned WCO about the deficiency.] B --> D[Complete the certification requirements by attending lectures and trainings.] C --> D D --> C </pre>	Within 6 months before the end of each Compliance Period.	- Section 4 of the Manual provides the Compliance Period. - Sections 3.1.7, 3.2.6, 3.2.7 requires the renewal of certification.
	Notify the concerned WCO about the deficiency.	Within 6 months before the end of each Compliance Period.	Section 3.2.7 requires the Governance Arm to assess the status of compliance and notify the registered WCO for the deficiency, if any.
WESM Members	Complete the certification requirements by attending lectures and trainings.	Before the end of each Compliance Period.	Sections 3.1 and 3.2 of the Manual provide the Certification and Registration processes.

Responsible Agency/ies	Procedures	Maximum Timeline/ Processing Period	Requirements/Remarks
Market Operator/ Governance Arm WESM Members	 <pre> graph TD C((C)) --> A[Conduct lecture or trainings and issue certification to the attendees upon fulfillment of the re-certification/ continuing certification requirements] C --> B[Attend lecture or trainings and complete the re-certification/ continuing certification requirements] B --> D{Did the WESM Member complete the re-certification process?} D -- Y --> D2((D)) D -- N --> E[Initiate enforcement proceedings for non-compliance with the rule on WCO registration/re-certification] </pre>	Within the succeeding compliance period	- Section 4 of the Manual provides the Compliance Period. - Section 6.2 requires that the Governance Arm and the Market Operator ensure that there are adequate courses or lecture series that can be offered within the compliance period.
WESM Members	 <pre> graph TD D{Did the WESM Member complete the re-certification process?} D -- Y --> D2((D)) D -- N --> E[Initiate enforcement proceedings for non-compliance with the rule on WCO registration/re-certification] </pre>	Within the succeeding compliance period	- Section 2.2.1 (e) requires the WESM Members comply with the continuing certification requirements. - Section 3.2.6. requires the registered WCOs to complete 36 units of certification activities with each compliance period.
Governance Arm	 <pre> graph TD E[Initiate enforcement proceedings for non-compliance with the rule on WCO registration/re-certification] </pre>	Within the succeeding compliance period	Section 8 of the Manual provides for the non-compliance with the registration requirements.

Responsible Agency/ies	Procedures	Maximum Timeline/ Processing Period	Requirements/Remarks
Governance Arm		On a regular basis	Section 3.1.5 requires that the WESM Governance Arm maintains a database of WCO and the status of their compliances, and to update the database on a regular basis.
WESM Members Market Operator		Within three (3) working days from resignation, retirement, termination, or any other cause of separation of the registered WCO	- Section 3.2.3 requires that all WESM Member and the Market Operator shall update the registration of their respective Registered WCO to the WESM Governance Arm within the compliance period. - Section 7.1 requires that the WESM Member and the Market Operator notify the WESM Governance Arm of any change in WCO due to resignation, retirement, termination, or any other cause of separation.
WESM Members Market Operator			
WESM Members			Section 3.2.6. requires the registered WCOs to complete 36 units of certification activities within each compliance period.