



Philippine Electricity
Market Corporation

WESM COMPLIANCE BULLETIN

Issue No.	Date Issued	Contents
13.1	24-Jun-2025	WCO Certification Implementing Guidelines for the WESM Compliance Officers (CC.CERT.01) (Revision 2)

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

24 Jun 2025

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



**Philippine Electricity
Market Corporation**

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS (CERTIFICATION GUIDELINES 01)

Document ID	:	CC.CERT.01
Document Information Classification	:	Public
Version No.	:	2.0
Effective Date	:	30-Jun-2025

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public
Page : 1 of 15

Document Approval

The WCO Certification Guidelines 01, 02, and 03 were approved and adopted by the Compliance Committee during its 45th Regular Meeting on 23 May 2025 via the **CC Resolution No. 2025-06**.¹

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

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 2 of 15

Document Change History

Version No.	Reason for Change	Effective Date
1.0	New Guidelines	31-Mar-2022
2.0	<ul style="list-style-type: none"> Compliance with the PEMC Style Guide Revision of he/she and his/her to they and their in compliance with the Gender and Development (GAD) preferred pronouns Deletion of Sections 4.1.1 and 4.3.3 as transitory provisions Inclusion of Section 4.3.3 on the issuance of a unique WCO Identification Number (WCO ID) Inclusion of Section 4.3.7 on retroactive crediting of units Further clarification in Section 4.4.1 requiring the enrollment or registration for a training, seminar, or activity with the Training Service Providers (TSPs) Further clarification in Section 4.4.7 on the conduct of special training request from the TSPs Inclusion of Section 4.5.6 on the crediting of units for WCO who transfer employment Inclusion of Section 4.5.7 on the reduction of credit units for inaccurate information provided by a participating WCO Inclusion of Section on monitoring of certification status in Section 4.6.1 	30-Jun-2025

List of Procedural Templates

Template ID	Template Name	Description
CC.CERT.WCO.TMP.01	WCO Designation for Certification Program Form	This form may be used by a WESM Member for application of its Designated WCO who will participate in

The Philippine Electricity Market Corporation reserves all rights to this document and the information contained herein. Printing/photocopying of this document is subject to the Document and Records Management Policy. Copies downloaded from the document management system or obtained by other means shall be considered Uncontrolled.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public
 Page : 3 of 15

Template ID	Template Name	Description
		the WCO Certification Program
CC.CERT.WCO.TMP.02	WCO Certification and Registration (MS Form)	This form may be used for any request related to Application, Registration, Update, or Transfer by the participating WCO.
CC.CERT.WCO.TMP.03	WCO Appointment Form	This form may be used by a WESM Member in the nominate of its Registered WCO

Reference Procedure and Work Instructions

Procedure / Work Instruction ID	Procedure / Work Instruction Name	Description

The Philippine Electricity Market Corporation reserves all rights to this document and the information contained herein. Printing/photocopying of this document is subject to the Document and Records Management Policy. Copies downloaded from the document management system or obtained by other means shall be considered Uncontrolled.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public
Page : 4 of 15

Table of Contents

1.0	Basis and Authority	5
2.0	Purpose of the Guidelines	5
3.0	Definition of Terms	5
4.0	Guidelines	7
4.1	Coverage	7
4.2	Compliance Period and Certification Requirements	7
4.3	Application for WCO Certification Program	8
4.4	WCO Certification Activities	9
4.5	Accounting of Credits Units	11
4.6	Monitoring and Notification of Certification Status	12
4.7	Issuance of WCO Certificates	13
4.8	Registration of the Certified WCO	14
4.9	Change of WCO	14
4.10	Penalty/Sanction	15
4.11	Provisional Requirements for Newly Registered WESM Members	15
4.12	Review of the Guidelines	15

The Philippine Electricity Market Corporation reserves all rights to this document and the information contained herein. Printing/photocopying of this document is subject to the Document and Records Management Policy. Copies downloaded from the document management system or obtained by other means shall be considered Uncontrolled.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 5 of 15

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 (CC) to review and approve the guidelines for the WCOs' 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 CC to govern the activities associated with the WCO certification and other related affairs of the WCOs, the training service providers (TSPs), and the Enforcement and Compliance Office (ECO):

- WCO Certification Implementing Guidelines **for the WCOs** (CC.CERT.01)
- WCO Certification Implementing Guidelines **for the TSPs** (CC.CERT.02)
- WCO Certification Implementing Guidelines **for the ECO** (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 WCO with respect to the application for the certification program, participating in the training or activities, accounting and earning of credit units, incident reporting and completing the certification requirements.

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.

Proposed Annual Certification Program – submitted to the CC for its approval

Approved Certification Program – approved by the CC

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 6 of 15

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 themselves as somebody else during a training or activity by providing credentials or information that pertain to another person or by attending or presenting themselves 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 (MO), WESM Governance Committees (WGC), 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 (TSPs)	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 (CRM) 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
WESM Compliance Officer (WCO)	May refer to any of the following: <i>Designated WCO</i> – the compliance or enforcement officers listed, permitted, or designated by the WESM Member to participate in the WCO Certification Program <i>Certified WCO</i> – the WCO who completed the certification requirements within a compliance period and who holds a valid WCO certification

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 7 of 15

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 CRM shall have the same meaning as defined therein.

4.0 Guidelines

4.1 Coverage

- 4.1.1 The representative of any WESM Member who is currently exercising risk management, legal, regulatory, or compliance functions are qualified to participate in the WCO Certification Program; *provided* that they are authorized by the WESM Member or the head of the entity.
- 4.1.2 The Certified WCOs who intend to pursue continuing certification requirements are also covered by these Guidelines.

The WCOs mentioned in Sections 4.1.1 to 4.1.2 shall be collectively referred to herein as "*Participating WCOs.*"

4.2 Compliance Period and Certification Requirements

- 4.2.1 The first compliance period commenced on 01 July 2022. The first and the succeeding compliance periods shall be for a duration of 36 months.
- 4.2.2 The Registered WCOs recorded in the WCO Official List shall complete and earn at least 36 credit units of certification courses, as referred to in Section 4.1 of Certification Guidelines 02, during each compliance period, i.e., from 01 July 2022 to 30 June 2025. Such certification shall be a pre-requisite to be a Registered WCO in the WESM within the succeeding compliance period.
- 4.2.3 The Designated WCOs may likewise earn the WCO certification by completing 36 credit units of trainings within a compliance period.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 8 of 15

4.2.4 To renew the WCO certification, the Certified WCOs shall comply with the continuing certification requirements as prescribed by the WCO CRM by completing and earning 36 credit units for each succeeding compliance period.

4.3 Application for WCO Certification Program

4.3.1 The Designated WCOs as referred to in Section 4.1.1 of these Guidelines may apply for the WCO Certification Program by accomplishing the Application Request via WCO Certification and Registration in Microsoft (MS) Forms <https://forms.office.com/r/H6iC6ACAPV> and submit the same together with the following at any time after the issuance of these Guidelines for appropriate recording in the ECO database:

- a. Valid company ID
- b. Accomplished WCO Designation Form for Certification Program signed by the head of the entity of the WESM Member or their authorized representative (CC.CERT.WCO.TMP.01)
- c. 1 x 1 Photo

The Application for the WCO Certification Program, as referred to herein and in any of the certification guidelines, shall not be used interchangeably with the Enrollment in a Training Course or Activity as mentioned in Section 4.4 of the Certification Guidelines 02. The former refers to the act signifying the intent to complete or fulfill the entire certification process and is communicated to the ECO through a prescribed form, while the latter refers to the preparatory act for taking up or pursuing training courses in fragments or training courses with certain credit units at a particular time and is directly coordinated with the respective TSPs.

4.3.2 If a WESM Member authorizes two (2) or more representatives to participate in the Certification Program, it may submit one (1) form, with complete and full details and information of the Designated WCOs, as prescribed in the form (CC.CERT.WCO.TMP.01).

4.3.3 The application for the Certification Program filed by the WESM Member or the Designated WCO shall be processed by ECO within five (5) working days from the receipt of the accomplished form. Upon proof of completion of the requirements the ECO shall approve the application of the Designated WCO and issue a unique WCO Identification Number (WCO ID) which shall serve as their primary reference for monitoring continuing compliance, streamlining transactions, and providing ease and convenience in accounting the credit units and related activities.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 9 of 15

4.3.4 The ECO shall maintain and publish an official List of the Designated WCOs who are eligible to join the Certification Program. The list shall contain the names of the WCOs and other relevant information. The participating WCO may verify or confirm the said eligibility in the published list prior to the enrollment to any training course/s or lecture series.

4.3.5 The application for the Certification Program by a Designated WCO who is included in the WCO Official List but however failed to enroll in any of the training course/s or lecture services offered by the TSPs within the compliance period or within three (3) years from the application shall be considered 'dormant' and shall be delisted from the official list.

The said Designated WCO who is delisted from the Certification Program may, however, be permitted to re-apply for Certification Program subject to the completion of the requirements set forth in the rules and these guidelines.

4.3.6 Should there be any change/s in the information details of the participating WCO such as contact information, position, or designation in the company, and the like, except for transfer of WESM Member/Company, the participating WCO shall update the ECO by accomplishing the Update Request via WCO Certification and Registration in MS Forms and submit relevant requirements as referred to in Section 4.3.1 of this Guidelines.

In cases where the change or update involves a transfer of WESM Member/Company, the participating WCO shall accomplish the Transfer Request Form instead.

4.3.7 If the concerned applicant who is not yet in the WCO Official List has attended a WCO-Certified Lecture with the intent of earning credit units, shall be subject to the following:

- 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 they apply afterwards.

4.4 WCO Certification Activities

4.4.1 The participating WCO who intends to earn credit units for the Certification Program shall enroll or register for training, seminars, or activity with the TSPs subject to the respective TSP's authentication requirements.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 10 of 15

- 4.4.2 Before the start of the training or activity, the participating WCO shall inform the TSP if they have a pending approval of application and their intent to have the credit unit/s be accounted for under the Certification Program. They must, however, communicate their concerns immediately to the ECO for the update of the list and the appropriate accounting of credit units subject to conditions set forth in Section 4.3.7 of this Guidelines.
- 4.4.3 The participating WCO shall observe proper decorum, dress code, punctuality, and professionalism while attending a training or activity. They shall refrain from using indecent, abusive, or offensive language, or deliver any derogatory remarks, intentional or otherwise, during the open forum, question and answer (Q&A) session, or any interactive activity.
- 4.4.4 For online training, the participating WCO shall ensure reliable internet connection with facility for back-up connection to ensure continuous viewing of the training course, subject, or program.
- 4.4.5 The participating WCO shall be present throughout the entire duration of training or activity. They may be allowed to leave the training venue or go offline for emergency or justifiable reasons subject to the following conditions:
- a. They shall notify the training moderator of their intent to leave and the reasons therefor.
 - b. The corresponding credit unit/s pertaining to the hours not spent in the training or activity shall be deducted from the total credit unit/s assigned for a particular enrolled training course, subject, topic, or program. A fraction of an hour shall be rounded up to one (1) full hour.

For instance, if the participating WCO failed to attend for an hour and a half (1.5 hours), two (2) credit units or the equivalent pro-rated units if a greater weight is assigned will be deducted from the WCO. An example of a pro-rated unit deduction is as follows:

For an absence or interruption of one and a half (1.5) hours from a four (4)-hour training but assigned a weight of six (6) credit units:

$$1.5 \times [6 \text{ credit units}/4 \text{ hours}] = 2.25 \text{ hours rounded up to 3 hours deduction}$$

- 4.4.6 The participating WCO is not authorized to be represented by a proxy or any personnel during the training. Any participating WCO who is found to be employing fraud, misrepresentation, and/or deceit during the training shall be reported and shall be

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 11 of 15

imposed appropriate sanctions in accordance with Section 4.7.3 of the Certification Guidelines 03.

4.4.7 A WESM Member or its participating WCO who gathers a minimum of (10) participating WCOs may request a special training from the TSP and may earn credit unit/s therefrom, subject to the conditions set in Section 4.2.3 of the Certification Guidelines 02.

4.5 Accounting of Credits Units

4.5.1 The credit units shall be computed in accordance with Section 5 of the WCO CRM and Section 4.2 of the Certification Guidelines 02.

4.5.2 Subject to the provisions of Section 4.1.2 (c) (iv) of the Certification Guidelines 02 on the allowable duplicate training course lecture, the participating WCO may, at their option, attend a duplicate training course or lecture series. However, they may not be credited with the same credit units pertaining to subjects or courses that have already been taken or attended. Nevertheless, additional credit unit/s may be added if the duplicate trainings include new topics/subjects to the course or lecture series. For example:

- First training attended: Course A with three (3) credit units
- Second training attended: Duplicate Course A plus new topics/subjects with a total of four (4) credit units

Units to be credited: Additional one (1) credit unit for the duplicate course/lecture series

4.5.3 The crediting of the number of units for duplicate courses, subjects, or topics by the concerned TSP in accordance with the preceding section shall be subject to evaluation and confirmation of the CC.

4.5.4 No credit unit shall be earned by accessing a ready-made video, visual or promotional aids, or eLearning video that is designed to provide basic learning, preview of any training course offerings or related matters, or simple overview of certain topics on the website, system, or platform of the TSP unless the same is included in, or part of, the training course or lecture series that is marked as "*WCO-Certified Training or Lecture,*" and is shown during the training course, program, or lecture series.

4.5.5 The excess credit unit/s earned during a compliance period shall not be carried over to the next compliance period.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 12 of 15

4.5.6 If a participating WCO has already earned credit units during their previous employment or engagement, but they have transferred to another WESM Member at any time within a compliance period, the said participating WCO may request to the ECO to retain under their account the said earned credit units by accomplishing the Transfer Request via WCO Certification and Registration in MS Forms and submit relevant requirements as referred to in Section 4.3.1 of these Guidelines. This request shall be subject to the approval of the CC. Upon approval, the participating WCO shall receive a notification from the ECO of the successful transfer and update of their credit unit status.

If the Transfer Request pertains to a Registered WCO, they shall be reclassified as Designated WCO and must be nominated by the new WESM Member to reaffirm their status as a Registered WCO.

4.5.7 A participating WCO's provision of inaccurate information in the respective TSP's training enrollment or event registration forms may result in the reduction of credit units earned for the relevant training course or event.

4.6 Monitoring and Notification of Certification Status

4.6.1 In addition to the requirement of Section 3.2.7 of the WCO CRM, the participating WCO shall be periodically apprised by the ECO of the certification requirement status which shall include the number of credit units earned and the number of units to be completed within a compliance period. At their option, the participating WCO may also request from the ECO for the certification status or may confirm the credit units earned as of a certain period or time.

Furthermore, the participating WCO shall actively monitor the status of the credit units earned and may verify with the ECO to confirm the total credit units accumulated as of a specific date.

4.6.2 The Designated WCO whose Application for Certification Program has become dormant because of the circumstance referred to in Section 4.3.5 of these Guidelines shall also be apprised by the ECO in the same manner as provided in the preceding section.

4.6.3 The Registered WCOs may receive a notification from the CC as to any deficiency in the certification requirements, they shall take the necessary steps to fulfill the remaining requirements and shall coordinate with the ECO for the updating of the status, details, and other information to ensure correctness and completeness thereof before the end of the compliance period.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 13 of 15

4.6.4 The issues, concerns, complaints raised or filed, if any, under Section 4.7 of the Certification Guidelines 02 shall be resolved by the concerned parties or the CC, as the case may be, before the end of the compliance period or within the period specified in the said section. The participating WCO shall be apprised by the CC or the ECO if resolution of this matter affects the computation of their credit units or certification status.

4.7 Issuance of WCO Certificates

4.7.1 Upon evaluation and confirmation by the CC of the completion of the certification requirements by the participating WCOs, the CC shall issue a WCO Certification. The WCO Certification shall bear the signature of the Chairperson of the CC and shall indicate the following:

- a. A statement that the person named therein has met the certification requirements, and is qualified as Certified WESM Compliance Officer,
- b. Validity period of the certification which should not exceed a particular compliance period, and
- c. Date and place of issuance.

The certification shall automatically expire after the covered compliance period. A new certification shall be issued for each compliance period that the certification requirements are met.

4.7.2 In addition to the foregoing, the participating WCO who successfully completed the certification requirements shall also be –

- a. Issued a Certified WCO Roster Number which shall serve as their primary reference for monitoring continuing compliance and certification.
- b. Listed in the Roster of Certified WCOs in the WESM.

4.7.3 For purposes of representation and ease of identification in any enforcement proceedings, correspondences, communications, or related activities in the WESM, the Certified WCO may use a professional certification title to signify WCO Certification by using a suffix “CWCO” following the person’s name, such as, *Mr. Juan Dela Cruz, CWCO*.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 14 of 15

4.7.4 The foregoing provisions shall apply to Certified WCOs who have successfully completed and/or maintained the continuing certification requirements in the succeeding compliance periods.

4.8 Registration of the Certified WCO

4.8.1 The WESM Member shall nominate a Certified WCO as Registered WCO in the WESM through the ECO by accomplishing Registration Request via WCO Certification and Registration in MS Forms and submit the accomplished and signed WCO Appointment Form (CC.CERT.WCO.TMP.03) within ten (10) working days from the official certification or from the end of the compliance period whichever is earlier.

- a. If the registered WCO of record has been certified in accordance with the certification rules, manual, and guidelines, the WESM Member shall confirm with the ECO whether it would renominate the registered WCO of record or replace them with another Certified WCO.
- b. If no confirmation, renomination, or request for replacement has been received by the ECO within the timeline set in this section, the Registered WCO of record shall be deemed renominated; *provided* that they have successfully completed the certification requirements; otherwise, the WESM Member shall be advised by the ECO of the requirements and the consequences for not nominating a Certified WCO after the transition period or the initial compliance period.

4.8.2 The WESM Member shall receive a Certificate of Registration from the ECO confirming the status of its compliance with the certification standards set forth in these Guidelines.

4.8.3 The Registered WCO, as nominated or renominated in accordance with the preceding section, shall ensure compliance and fulfillment of obligations required of them under Section 7.2.9 of the WESM Rules.

4.9 Change of WCO

4.9.1 The WESM Member or the participating WCO shall notify the ECO of any change in the employment relationship with the concerned WESM Member due to resignation, retirement, termination, or any other cause of separation from the WESM Member.

4.9.2 If the change in the employment relationship concerns a Designated WCO or Certified WCO, the concerned WESM Member may or may not replace the Designated WCO who shall undergo the certification program.

WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE WESM COMPLIANCE OFFICERS

Document Information Classification : Public

Page : 15 of 15

4.9.3 If the change in the employment relationship concerns a Registered WCO, the WESM Member shall nominate a new Registered WCO from among its pool of certified WCOs within its organization, if any; or shall ensure that a new representative be enrolled for a certification program, and upon completion thereof, shall register the Certified WCO in the WESM.

4.9.4 All request under this section shall be in accordance with Section 4.3.6 and 4.5.6 of this Guidelines.

4.10 Penalty/Sanction

4.10.1 A WESM Member shall be imposed a penalty under the WESM Penalty Manual for the following grounds:

- a. Failure to nominate a Registered WCO mentioned in Section 4.8.1 of this Guidelines; and
- b. Failure of the Registered WCO to complete the certification requirements within the current compliance period, as well as the continued failure to meet certification requirements in the succeeding compliance period/s.

For clarity, it is the WESM Member and not the Registered WCO, which shall be imposed a penalty or sanction for the non-compliance with the certification requirements.

No penalty or sanction shall be imposed on the WESM Member with respect to the non-completion of certification requirements of the Designated WCOs.

4.11 Provisional Requirements for Newly Registered WESM Members

A WESM Member who has newly registered with the WESM shall be entitled to a prorated certification requirement for the 36 credit units, based on the remaining duration of the current compliance period, subject to review and approval of the ECO in accordance to section 4.9 of Guidelines 03.

4.12 Review of the Guidelines

4.12.1 The CC may, as it deems necessary, add, modify, or dispense with some requirements or information from the participating WCOs through the issuance of implementing guidelines or bulletins.