



Philippine Electricity
Market Corporation

WESM COMPLIANCE BULLETIN

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14.1	24-Jun-2025	WCO Certification Implementing Guidelines for the Training Service Providers (CC.CERT.02) (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



WCO CERTIFICATION IMPLEMENTING GUIDELINES FOR THE TRAINING SERVICE PROVIDERS (CERTIFICATION GUIDELINES 02)

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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

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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 Additional provision on Section 4.2.2 a on the assignment of greater weight or credit units Further clarification in Section 4.2.3 on the conduct of special training request Additional provision on Section 4.2.5 on the reduction of credit units for inaccurate information provided by a participating WESM Compliance Officer (WCO) Further clarification in Section 4.2.6 requiring the prior enrollment or registration for a training, seminar, or activity with the Training Service Providers (TSPs) Inclusion of Section 4.4.6 on the number of participants for conduct of special trainings Inclusion of Section 4.6.1 b on the retroactive crediting of units 	30-Jun-2025

List of Procedural Templates

Template ID	Template Name	Description
CC.CERT.TSP.TMP.01	Annual WCO Certification Program	This form consists of a set of structured course or training program with a scope in market rules, compliance requirements, market operations, and best practices.

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Template ID	Template Name	Description
CC.CERT.TSP.TMP.02	Training Enrollment Form	This form is used by the WESM Member to register for various training programs offered by the TSPs.
CC.CERT.TSP.TMP.03	Participants' Record	This refers to the documentation and data maintained by TSPs regarding the individuals who participate in their respective training programs.
CC.CERT.TSP.TMP.04	TSP Accomplishment Report Form	This form is used by the TSPs to document and report their training activities and accomplishment.

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 (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 TSPs of the Independent Electricity Market Operator of the Philippines Inc. (IEMOP) and the Philippine Electricity Market Corporation (PEMC) with respect to the development of training courses or activities, enrollment of participating WCOs, conduct of training proper, reporting, and maintenance of certification records and reports.

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 Annual Certification Program – approved by the CC

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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

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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 CRM shall have the same meaning as defined therein.

4.0 Guidelines

4.1 WCO Certification Program and Activity

- 4.1.1 The certification program of the TSP for the compliance period shall include, at the minimum, the course outline or a specific activity, dates, training modality, and the corresponding number of credit units or hours allotted for each training course, subject, series, or activity.

For this purpose, a proposed certification program which shall be signed by the respective department head of the TSPs or its authorized representative or equivalent shall be submitted to the CC on or before the 30th day of April of each year.

- 4.1.2 In the development of the certification program, the TSPs shall ensure that the said program must –
- Cover subjects or topics that provide the obligations, functions, or responsibilities, and compliances of the generators, wholesale customers, suppliers, distribution utilities (DUs), electric cooperatives (ECs), directly connected customers (DCCs), retail electricity suppliers (RES), direct members, contestable customers (CCs), metering service providers (MSPs), and network service providers (NSPs), among others, under the relevant laws, the WESM rules, policies and regulations issued by competent government authorities.
 - Contain training courses, subject, topics, or series of trainings that have significant content relating to the WESM operations, governance, regulatory compliances, or

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compliance with the relevant market rules and manuals. For this purpose, the TSPs may develop a curriculum that would cover –

- (i) Trainings and/or briefings on implementation of issuances, laws, rules, and guidelines issued by the DOE, the ERC, and other relevant agencies or entities, relating to the electric power, energy developments and programs;
- (ii) Forum on energy research and development programs for the optimal development of various forms of energy production and utilization technologies;
- (iii) Consultations, focus group discussions (FGDs), and/or workshops with/among the stakeholders, as facilitated by the TSPs, on pending rules change or amendments to the WESM Rules or Market Manuals or matters of great significance, relevance, or importance.

The regular proceedings or meetings conducted by the Rules Change Committee (RCC) and the public consultations, meetings, or conferences, initiated by the DOE or ERC are not covered by this provision;

- (iv) Market participant events, summits, conventions, or assemblies of wider target audience, as facilitated by the TSPs, that involve discussion of matters of mutual interest or engagement in professional development through learning and exchanging of knowledge, ideas, or solutions to trending local or international situation affecting the electric power industry; and
 - (v) Hands-on or interactive learning or training that is designed to orient, familiarize, or engage the intended audience or participants through real experience as to the use of system, method, or facility to be used for WESM operations or governance. This may include other similar hands-on training conducted in collaboration with the government agencies such as DOE and ERC.
- c. Contain course offerings that are adequate to cover the certification requirements, as prescribed by the WCO CRM for at least one (1) compliance period. For this purpose –
- (i) Each TSP must be able to provide or offer courses to the WCOs of at least 24 credit units for each fiscal year covering the months of July of the current year to June of the succeeding year;

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- (ii) The course offerings must be distributed or allocated over a reasonable interval or period within a year unless circumstances or events render it impracticable for the TSPs to conduct the activities in such frequency or period or for such reasons or circumstances mentioned in Section 4.3.10 of these Guidelines.

For example:

- Trainings with equivalent six (6) credit units to be distributed every quarter
- Trainings with equivalent twelve (12) credit units to be distributed every six (6) months;

- (iii) The TSPs shall endeavor to develop and to continuously enhance and improve the quality and content of the course offerings and expand the coverage of the courses to be offered to the WCO by keeping themselves updated of the recent or latest rule developments concerning the electricity market; and

- (iv) A duplication of course offerings within a year or within the three (3)-year compliance period may be allowed subject to the provision of Section 4.5.5 of these Guidelines –

- For topics that cover basic or fundamental topics in the WESM that could serve as an essential part of, or a foundation in, any certification effort, learning activity or education, or those that present fundamental principles in the WESM
- For any prerequisite subject or any topics that need to be completed before another course is taken at the next level or stage

Any duplication, however, must be managed by the TSP, to the extent possible, as to not limit the progress or advancement of learning of the WCO or defeat the purpose and objectives of the WCO certification rules or manual.

- 4.1.3 The CC shall approve the proposed certification program of the TSPs based on the guidelines set forth in the preceding paragraph.

- a. The Committee may, on its own initiative or based on the inputs or suggestions of the market participants, the WGCs, and the PEM Board, and other stakeholders, propose to include or add other courses, topics, or subjects relevant to the proposed certification program.

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- b. Any changes, modifications, or revisions to the approved certification program which would result in a change in the credit unit/s, singly or in aggregate, shall be submitted to the CC for approval at least 30 calendar days prior to the intended training schedule; provided that the changes, revisions, or modifications shall not cause a reduction in the total credit units for the covered fiscal year, as prescribed in Section 4.1.2 (c) (i) of these Guidelines.
- c. For revisions requiring urgent approval thereof, the TSP shall signify such urgency in its communication to the CC for the latter's immediate action or approval.
- d. The TSP must indicate the current version of the proposed and approved certification program.

4.1.4 The course offerings as contained in the approved annual certification program of the TSPs must be posted, published, or announced –

- a. In the respective websites of the TSPs;
- b. On or before the first day of July of each year or immediately upon approval by the CC of the annual certification program, whichever is earlier;
- c. With a label or mark "*WCO-Certified Lecture or Training*" across each course offering or lecture series or set of activity or program;
- d. With credit units or points assigned to each topic, subject, course, or activity, as determined in accordance with Section 4.2 of these Guidelines.

At the option of the TSP, the published course offerings may also indicate the trainer, speaker, or resource person for a particular course, topic, subject, or activity and/or any statement, reminder, or disclaimer as regards any possible change in the content, schedule, or resource person/s, if necessary.

4.2 Credit Units Assignment

- 4.2.1 Pursuant to Section 5 of the WCO CRM, the course offerings made by the TSPs are assigned credit units which are equivalent to the allotted credit hours. However, a fraction of an hour shall be rounded up to one (1) full hour. For instance, if the duration of the lecture series was three and a half (3.5) hours, four (4) credits will be earned by the WCOs.

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4.2.2 The TSP may, however, assign a greater weight or credit unit subject to the following conditions:

- a. A particular course, subject, topic, or activity to which a greater weight or credit unit is to be assigned must be clearly specified in the proposed annual certification program that will be submitted to the CC for its approval in accordance with Sections 4.1.1 and 4.1.3 of these Guidelines.

The TSP may assign greater weight or credit unit of up to twice (2x) of the training duration. For example, a four (4) hour training may only be assigned greater weight or credit unit of up to eight (8), subject to 4.2.2 b

- b. The TSP must provide an explanation or reason for assigning a weight or credit unit that is greater than the points established in the WCO CRM and Section 4.2.1 of these Guidelines, such as considerations to the degree of importance, relevance, or complexity of a certain course or lecture series; vastness of audience or wide area of expertise of speakers, local or international; hosting of global events of international significance that is aimed at promoting progress in the electric power industry and/or fostering cooperation and compliance.

4.2.3 Trainings conducted upon a special request of the WESM Member with a minimum of ten (10) participating WCOs, as permitted under Section 4.3.11 of these Guidelines may be allotted or assigned credit units subject to the following conditions:

- a. For trainings requiring travel by land, water, or air, the credit units to be assigned shall be based on the number of actual hours spent for the training proper. The assignment of credit units should not include the time for traveling to/from the site, place, or venue.
- b. The cost associated with such special training request shall be borne by the WESM Member or the participating WCOs unless otherwise agreed upon by the trainees and the TSPs.
- c. If such training activity is not previously included in the approved certification program, the assignment of credit units to such additional training activity shall be approved by the CC.

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- 4.2.4 The CC shall approve the proposed assignment of greater credit units upon showing of a clear justification therefor, which approval must be indicated in the approved annual certification program of the TSP.
- 4.2.5 The TSP may reduce the credit units earned for a training course or event if the participating WCO provides inaccurate information in the respective TSP's training enrollment or event registration forms.
- 4.2.6 All participating WCOs intending to earn credit units from attending a training course or event is required to enroll or register prior to attending the training course or event. Otherwise, these participating WCOs shall not earn any credit units. The completion of the relevant Attendance Sheet/s for the training course or event shall not suffice without prior enrollment or registration.

4.3 Permitted Activities of TSPs

- 4.3.1 Conduct training or activities for the certification of the WCOs in such training modality as it deems appropriate, consistent with the learning content and timeline as indicated in the approved certification program.
- 4.3.2 Advertise or announce through notices, invites, teasers, emails, and posting in social media, in addition to the required posting or publication under Section 4.1.4 of these Guidelines.
- 4.3.3 Develop internal procedures for the admission or enrollment in the training courses or activities subject to the requirements and conditions specified in Section 4.4.1 of these Guidelines.
- 4.3.4 Use or adopt training modalities, venue, or platform, such as, but not limited to, face-to-face or live instructor-led training, online training or webinar, or hybrid form of training (combination of face-to-face and online training); provided that the required authentication mechanisms required under Section 4.5.1 of these Guidelines can be carried out using any of said training modalities.
- 4.3.5 Collect reasonable training fees to cover the cost of training materials, professional fees, meals, and other related expenses.
- 4.3.6 Provide modest promotional materials or items, tokens, or souvenirs to raise awareness and promote learning and education.
- 4.3.7 Create and publish ready-made videos, visual or promotional aids, or eLearning

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videos designed to provide basic learning, preview of any training course offerings, or simple overview of certain topics on the website, system, or platform.

- 4.3.8 Engage trainers, facilitators, resource persons, experts, coaches, or mentors whether full-time, project-based, or by invitation.
- 4.3.9 Change the speakers or resource persons listed in the approved certification program for justifiable reasons, provided that the notification on the change shall be reflected in the updated notice, posting, or publication of the course offering within five (5) days before the scheduled training.
- 4.3.10 Cancel, postpone, or defer the conduct of training due to force majeure or other justifiable reasons, provided that notification on such cancellation, postponement or deferment and the reasons therefor, shall be communicated to the WCOs or published on the website. Whenever possible, it shall also indicate the alternative or new training schedule, and the action plan as to the appropriate communication to the participating WCOs of any cancellation or re-scheduling of the proposed training program or activity.
- 4.3.11 Conduct training upon the special request of the WESM Member which can be done virtually, on-site, or at the specified place or venue as may be proposed by the requesting WESM Member subject to the conditions provided in Section 4.2.3 of these Guidelines.
- 4.3.12 Conduct internal education and upgrading of competence of its own trainers, facilitators, and resource persons for its continuing improvement in the delivery of training services.

4.4 Enrollment of Designated WCOs for Certification Program

- 4.4.1 The TSP must ensure the identity of the WCO by requiring the submission of the accomplished training registration form.
- 4.4.2 The TSP must identify or classify if the applicant or enrollee is a designated WCO based on the Official List of Designated WCOs, as may be furnished or provided by the ECO in accordance with Section 4.2.2. of the Certification Guidelines 03.

The Enrollment referred to herein differs from, and should not be used interchangeably with, the Application for Certification Program referred to in any of the Certification Guidelines. For guidance, the distinction between the two acts is stated in Section 4.3.1 of Certification Guidelines 01.

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- 4.4.3 If the applicant or enrollee wishes to participate in the certification program but they are not included in the Official List of Designated WCOs, the TSP shall advise the applicant or enrollee to immediately coordinate with the ECO for the designation or application process. This, notwithstanding, the TSP may proceed with the enrollment of the applicant for the training, and the applicant or enrollee may attend and participate in the training or activities.
- 4.4.4 The TSP shall ensure compliance with the Data Privacy Act (DPA) and its implementing rules and regulations by securing a consent of participants through posting of notices prior to the gathering of personal data and information with the assurance that the processing of the gathered data is consistent with the privacy principles of transparency, legitimate purpose, and proportionality.
- 4.4.5 The maximum number of registrants or enrollees shall depend on the physical capacity of the venue or the technical capacity of the system or platform for virtual training or webinar, as may be determined by the TSP. In the determination thereof, the TSP shall consider the basic delivery requirements such as, the clarity of audio or video, reliable connectivity, and the like, relative to the number of users at any given time.

4.5 Training/Activity Proper

- 4.5.1 The TSP must adopt authentication mechanism/s to ensure the identity of the WCO regardless of the modality used.
 - a. If it is an online training, the identity of the WCO may be checked while viewing a course, subject, or topic through means such as, but not limited to, random snapshots, random video capturing, facial recognition, or such other available authentication mechanisms that the TSPs may deem fit and effective for the occasion.
 - b. The TSP shall refrain from conducting any unauthorized activity relating to certification activities, issuing a spurious certificate, or favoring or tolerating in whatever form, the participation of dummy participants in violation of these Guidelines.
 - c. The TSP shall record or report the names of the dummy participants in accordance with Section 4.8.1 (b) (vii) and (viii) of these Guidelines.
- 4.5.2 The TSP is encouraged to incorporate interactive content in the training or activity

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such as, but not limited to, quizzes, open forum, short but relevant games, or other similar methods to engage active participation of the WCOs while learning. The hours spent for such interactive content is given the appropriate credit unit or point as computed under Section 4.2 of these Guidelines.

- 4.5.3 The TSP shall appoint a moderator who shall, among others –
- Ensure an orderly and systematic conduct of the training or activity;
 - Take screenshots of the participants at the start and end of the course or lecture; and random screenshots per hour interspersed within the duration of the course or lecture;
 - Keep track of questions, clarifications, or concerns raised before, during, and after the training;
 - Moderate the open forum or the question and answer (Q&A) session; and
 - Provide such other similar assistance to the trainers and/or the participating WCOs.
- 4.5.4 The TSP shall furnish the WCOs with the presentation materials or hand-outs in printed or electronic form before or after the scheduled training or activity. The TSP is, however, authorized to set or impose additional terms or conditions, as reasonably necessary, before the presentation material is provided to the WCOs.
- 4.5.5 In conducting trainings with similar or duplicated training contents, topics, or subjects, as may be allowed under the conditions set forth in Section 4.1.2 (c) (iv) of these Guidelines, the TSP shall ensure that the presentation materials to be used are updated as may be necessary to keep its knowledge content relevant and shall exclude any form of obsolescence to avoid confusion as to their applicability at the present time.
- 4.5.6 The TSP shall undertake strict monitoring of attendance of the WCOs with appropriate documentation, in printed or electronic form. The Training Attendance Sheet for each training activity, set, or series or schedule shall contain the basic information of the WCOs such as, attendee's full name, company name, position, contact information (e.g., contact numbers, email address), and classification whether or not the WCO is a Designated WCO.

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Should the participating WCO represent two (2) or more WESM Members, they shall be asked to declare all the companies that they represent for compliance purposes.

- 4.5.7 The trainer or resource speaker shall observe proper decorum, dress code, punctuality, and professionalism while conducting a training or activity. They shall refrain from using indecent, abusive, or offensive language, or deliver any derogatory remarks, intentional or otherwise, during the conduct of training or activity or the delivery of training services.
- 4.5.8 For online training, in addition to the foregoing requirements –
- a. The TSP must always ensure a stable internet connection with facility for back-up connection to ensure continuous delivery of the training.
 - b. The trainer or resource speaker is encouraged to adopt or use the official company virtual background; or if it is not possible for the time being, to maintain a clear, decent, and suitable virtual background throughout the training.
 - c. The trainer, speaker, and the moderator must be virtually available, present, and ready at least ten (10) minutes before the start of the training or activity.
 - d. The trainer, speaker, or the moderator must have the ability to control the platform such as placing the attendees on mute to eliminate unwanted background noise or to avoid similar distractions from participants' audio or video throughout the entire activity or session.
 - e. The trainer or speaker must be on live or virtually present while delivering or conducting the training and must be on-camera, as much as possible. A pre-recorded course or module shall only be allowed –
 - (i) For just cause such as, sudden unavailability or emergency condition involving the trainer or resource speaker, unexpected or sudden unstable internet connection or power interruption, or such circumstances which make it impossible for the trainer or resource speaker to effectively deliver the training content.
 - (ii) For short parts of the training session such as opening or closing remarks or short video intermission that may be injected in the training course as an

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integral part thereof for interactive learning, illustration, or demonstration purposes.

4.6 Reports, Certificates, and Record-Keeping

4.6.1 Participants' Record

- a. For each training course, activity, or lecture series completed, the TSP shall keep and maintain a complete list of participants in a form prescribed by the CC with basic information such as complete name, date, location or training modality, the name of the training course or series attended, duration or length of the training activity, the number of credit units earned, the training certificate control number, and a classification whether or not the WCO is a designated WCO.
- b. 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:
 - (i) Completion of training course pending approval of application: The appropriate credit unit/s shall be accounted retroactively upon approval.
 - (ii) 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.

4.6.2 Certificate of Attendance

- a. Upon the completion of each training course, lecture series, or activity, the TSP shall issue a Certificate of Attendance within five (5) working days from the conclusion of the training course, lecture series, or activity.
- b. The Certificate of Attendance shall indicate the complete name, date, location or training modality, training course name, duration or length of the training activity, the number of credit units earned, and certificate control number.
- c. The TSP is given authority to adopt its own creative design, logo, emblem, template, or form of the certificates to be issued to the participants provided that the basic contents as stated in the preceding paragraph are indicated therein.

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4.6.3 Training Evaluation or Survey

- a. At the end of each training session or activity, the TSP shall obtain the evaluation and ratings, in printed or electronic form, from the WCOs of the training session or activity conducted in the following areas:
 - (i) Relevance of the topic
 - (ii) Effectiveness of the speakers
 - (iii) Accessibility of the Venue/System
 - (iv) Overall experience/rating
 - (v) Comments and Suggestions
- b. The TSPs may add or include other areas for the rating that it deems important in assessing the participants' experience and areas for improvement.
- c. The TSPs shall endeavor to attain and/or maintain an overall passing rate at all times and to increase or enhance the competency level of the trainers, lectures, or resource speakers.

4.6.4 Training Records and Record-Keeping

- a. The TSPs shall keep all training records in printed or electronic form, relevant to the conduct of training for a period of at least five (5) years.

Training records include all training-related materials such as, but not limited to, knowledge products or presentation materials, proof of attendance by the trainees, trainers' profile or curriculum vitae, proof of conduct of training by the trainers, certifications issued, training schedules/plans/programs, advisories, video recordings, photos or screenshots of participants, notices, evaluations, and other issuances relative to the conduct of trainings, surveys, and other related training documents.

- b. The TSPs shall maintain a database of the said training records and keep a back-up thereof for immediate and ready access, whenever necessary, or whenever required by the CC under Section 4.8.3 of these Guidelines.

4.7 Incident Reporting and Handling of Complaints

- 4.7.1 Participating WCOs who wish to address any issues or concerns about the administration or conduct of training or activity, including an alleged incorrect or non-recording of credit units, inappropriate behavior or demeanor of the trainer,

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resource speaker or moderator, and other similar acts or concerns, may communicate their concerns to the concerned TSP.

- 4.7.2 The TSP may likewise communicate with the concerned participant privately any misdemeanor or inappropriate behavior or acts, or verify any suspected fraud, misrepresentation, or deceit as to the identity and personal circumstance of the participant-WCO.
- 4.7.3 The TSP shall immediately coordinate with the complainant or the concerned participating WCO. Both parties shall endeavor to address the concerns by verifying the relevant documents, records, or incidents and/or by implementing the appropriate action/s.
- 4.7.4 If the same is not resolved within 15 days from the filing of inquiry or concerns, or from the occurrence of the incident, either party may endorse the same concerns to the CC for appropriate action.

4.8 Periodic Reporting and Monitoring

- 4.8.1 The TSPs shall submit to the CC through the ECO the following:
 - a. The Participants' Record referred to in Section 4.6.1 of these Guidelines within 15 working days from the conclusion of each training activity, session, or lecture series via electronic mail or through shared access as may be agreed upon by the TSPs and the ECO.
 - b. An accomplished TSP Accomplishment Report Form semi-annually, that is, on or before 31 December (covering 01 July to 31 December) and 30 June of each compliance period (covering one whole year, i.e., 01 July of the previous year to 30 June of the current year). The said form shall include the following information:
 - (i) List and Name of Training Course/Lecture/Series/Activity
 - (ii) Duration of Training
 - (iii) Credit Units
 - (iv) Total No. of Participants
 - (v) Total No. of Participating Designated WCOs
 - (vi) Total No. of Certificates Issued
 - (vii) Reports on Dummy or Non-Conforming Participants, if any
 - (viii) Immediate Action/s

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- 4.8.2 The accomplished TSP Accomplishment Report Form shall be accompanied by the transactional survey or its equivalent in tabulated form and documents which shall be annexed to the said accomplishment form.
- 4.8.3 The CC may, as it deems necessary for its monitoring and assessment of the certification programs –
- a. Request the submission by the TSPs of any record, documents, or files enumerated in Section 4.6 of these Guidelines or any information relating to WCO certification administration and activities;
 - b. Call for a conference with the TSPs to discuss any updates, regulatory amendments, new issuances or advisories, and other relevant topics that may impact the conduct of training and/or the development of training content or course modules, or the incidents or complaints endorsed to the Committee for appropriate action.

4.9 Review of the Guidelines

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