

WESM COMPLIANCE BULLETIN

Issue No.	Date Issued	Contents
6.1	30 June 2016	Trading Participant Notices and Reports on Significant Event Affecting Submission of Offers, Demand Bids, Projected Outputs or Loading levels – Procedures and Report Templates (Revision 2.0)

Enforcement and Compliance Office
Philippine Electricity Market Corporation
30 June 2016

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 the Enforcement and Compliance Office, Philippine Electricity Market Corporation, 18th Floor Robinsons Equitable Tower, ADB Avenue, Ortigas Center, Pasig City or by email at compliance@wesm.ph.

This issue of the WESM Compliance Bulletin provides the procedures for submission of the significant event report required of Trading Participants under WESM Rules clause 3.5.11.7. This Bulletin provides a description of the **Significant Event Notice** and the **Significant Event Report Form** that are required to be submitted to comply with the reportorial requirements under said rule. To guide Trading Participants in accomplishing the required reports, this Bulletin also sets out a suggested classification of significant events.

This Revision provides details on the electronic facility that will be used for submission of the report in accordance with the procedures set out in this Bulletin.

The Significant Event Report Form is not the same as the **Non-Compliance Report Form 1 – Possible Non-Compliance with the Must Offer Rule by Scheduled Generating Units**. The latter is the report form utilized for submission of replies to investigations conducted by the Enforcement and Compliance Office (ECO) of PEMC, and as such, is submitted only when replying to a notice of investigation issued by the ECO.

The **Significant Event Report Form**, meanwhile, is submitted the day after a significant event occurred, even if no notice of investigation is issued.

Guidelines and Procedures

1. PURPOSE

- 1.1. The procedures set out are intended to facilitate the compliance by Trading Participants with their obligations under WESM Rules clause 3.5.11.7¹ and the WESM Dispatch Protocol, Appendix A.1 (Section 4.9), particularly the submission of the required notices and reports to the Philippine Electricity Market Corporation (referred to as “PEMC”), as the Market Operator.
- 1.2. These procedures set out herein are not intended to supersede any provision of the WESM Rules or the WESM Dispatch Protocol, and the latter documents shall prevail in case of any conflict.
- 1.3. The report form and these guidelines may be revised and updated by the ECO from time to time. Each revision will be published in the Enforcement and Compliance page of the market information website at www.wesm.ph

2. REPORTING REQUIREMENTS

- 2.1. Trading Participants are required under WESM Rules clause 3.5.11.7 to advise the Market Operator and the System Operator of any circumstance that threaten significant probability of material adverse change in the state of their facility and that is expected to occur within

¹ WESM Rules clause 3.5.11.7, as amended by Department of Energy Circular DC No. 2016-01-0002 (12 January 2016) reads as follows –

Trading Participants shall immediately advise the System Operator and Market Operator of any circumstance which threaten a significant probability of material adverse change in the state of their facilities in any trading interval of any trading day in the current week-ahead market horizon.

After the occurrence of the significant event referred to above, the Trading Participant shall submit a written report to the Market Operator with supporting data immediately within the following day.

the current week-ahead horizon². After the event occurred, they are further required to submit a written report of the significant event, with supporting data, to the Market Operator within the following day.

- 2.2. Trading Participants shall comply with the obligation to notify and report to the Market Operator by submitting to PEMC, as follows –
 - 2.2.1. A notice of significant event expected to occur within the current week-ahead market horizon, and which is submitted prior to the occurrence of an event or, if unforeseen, immediately upon its occurrence; and
 - 2.2.2. A duly accomplished WESM Participant Significant Event Report Form (referred to as “SERF”) and supporting data (collectively with SERF referred to as “report/s”) the day after each trading day that the significant event occurred.
- 2.3. A non-exhaustive list of the material adverse changes to be reported by Trading Participants are provided for in Section 4.9, Appendix A.1 of the WESM Dispatch Protocol.³ For purposes of complying with this obligation, Trading Participants are encouraged to submit notices and reports when any event or circumstance is expected to occur that will cause them –
 - 2.3.1. to not submit generation offers, loading levels, projected output or demand bids for any trading interval,⁴ or
 - 2.3.2. to cancel or revise offers, bids or nominations already submitted, or
 - 2.3.3. for scheduled generation companies, to submit offers less than the registered maximum capacity of their scheduled generating units,⁵ or
 - 2.3.4. for must dispatch generating units to fail to comply with the prescribed forecast accuracy standards.⁶
- 2.4. Additionally, the Trading Participants may also submit a SERF and supporting documents covering any event or circumstance that has caused their –

² The week ahead market horizon refers to the seven-day period including the relevant trading day, defined as D to D-7 in the WESM Timetable set out in Section 5 of the WESM Dispatch Protocol.

³ The list of events specified in the WESM Dispatch Protocol, Appendix A1.4.9 are as follows (this is a non-exhaustive list) –

- a) *Inadvertent omissions or cancellations of bids and offers of significant quantity relative to the demand in the specific trading interval for which such bids or offers apply;*
- b) *Gross errors in the submission of bids or offers by Trading Participants which deviate from a reasonable estimate of the current state of its facilities or system.*
- c) *Scheduled or forced outages of the system or facilities of a Trading Participant which may impede its ability to commit to its Bids and Offer Submission in the WESM.*
- d) *Impending emergencies which may require the facilities or systems of a Trading Participant to be operational or to be shutdown to prevent any potential disaster or threat to human life or property.*
- e) *Local or national calamities which may affect a significant portion of the system or facilities of a Trading Participant.*
- f) *Labor and management conflict which may result in work stoppage and prevent the Trading Participant or significantly reduce its ability to participate in the WESM.*

⁴ Please see WESM Rules Section 3.5.5 – Generation Offers and Data and Section 3.5.6 – Customer Demand Bids.

⁵ Please see WESM Rules clauses 3.5.5.1 and 3.5.5.2 and Appendix A1.1 and the WESM Dispatch Protocol Appendix A.1 and Glossary (on definition of “maximum available capacity”).

⁶ Please see WESM Rules clauses 3.5.5.8 and 3.5.5.10

- 2.4.1. Scheduled generating units or priority dispatch generating units to not comply with their dispatch schedules or to other dispatch instructions issued by the System Operator (e.g., re-dispatch instructions, must run unit dispatch, must stop instructions, etc.); or
- 2.4.2. Must dispatch generating units or priority dispatch generating units to not comply with restrictions imposed on said units⁷.
- 2.5. Notifications to the System Operator as required by WESM Rules clause 3.5.11.7 shall be in accordance with procedures set out by the National Grid Corporation of the Philippines and shall not be covered by these guidelines.
- 2.6. Trading Participants shall ensure that notices and reports submitted are complete and shall understand that these are to be used by PEMC for, among other things, monitoring compliances by Trading Participants with their obligations under the WESM Rules, particularly the obligations to submit generation offers, demand bids or nominations of loading levels or projected output. The information may also be used for preparing market operations and assessment reports.
- 3. NOTICE OF SIGNIFICANT EVENT**
- 3.1. To the extent practicable, the Trading Participant shall give notice to the Market Operator of a significant event prior to the occurrence of an event, or if not practicable because of the nature of the event (i.e., emergency occurrences), within the same trading day or as soon as practicable after the event commenced.
- 3.2. The notice shall cover all significant events that are planned or foreseen to occur within the current week-ahead market horizon or up to seven days ahead, or for a longer period.
- 3.3. The notice shall be made in the prescribed template, described elsewhere in these guidelines, and shall clearly set out the following –
- 3.3.1. Participant or organization name as registered in the WESM;
- 3.3.2. Facility/Unit affected (i.e., resource name as registered in the WESM);
- 3.3.3. Duration of the event, including time and day it is expected to start (or actually started) and end; and
- 3.3.4. Description of the event, including type and cause of the event.
- 3.4. The notice shall be submitted in electronic files, in accordance with the following format and file naming convention:
- File format: CSV (based on the Excel template provided)
 - File name: *SEN_organization shortname_resource name_yyyyMMddHHmmss.csv*
- The report date to be indicated is the date the report is being submitted.
- 3.5. The report shall be submitted in the manner provided for in Section 5 of this report.
- 3.6. Should there be changes in the status of their facilities, Trading Participants shall immediately submit their respective revised report as soon as practicable

⁷ Please see WESM Rules clauses 3.6.1.7 and 3.8.3.4.

4. SIGNIFICANT EVENT REPORT

4.1. Coverage and Content of Report

4.1.1. Compliance with the obligation to submit a written report shall be accomplished by submitting a duly accomplished Significant Event Report Form (SERF), as prescribed by PEMC from time to time, which shall clearly set out the following information –

4.1.1.1. Participant name as registered in the WESM;

4.1.1.2. Facility affected (i.e., resource name as registered in the WESM)

4.1.1.3. Trading day that the event occurred

4.1.1.4. Trading intervals that the event occurred

4.1.1.5. Description of event, including nature of event, cause, duration and other relevant details; and

4.1.1.6. List of supporting documents being submitted

4.1.1.7. Date report is submitted.

4.1.2. Each report shall cover all events occurring in one trading day. Where an event occurs over several days, a SERF shall be submitted for each day that the event occurred while supporting documents may be submitted only once as stated in to clause 4.4.4 of these guidelines.

4.1.3. Each report will cover one resource or facility as they are registered and represented in the WESM. Where a facility has several units which are represented as separate resources (i.e., disaggregated) in the WESM, each registered resource affected by the significant event shall be reported separately.

4.2. Schedule of Submission

4.2.1. The SERF shall be submitted on the following trading day that the significant event occurred, regardless that the following day is a weekend or a holiday. Trading Participants that, for any reason, are unable or fail to submit the report on the following day are enjoined to submit the report even beyond the prescribed submission date.

4.2.2. If a Trading Participant failed to submit a report and a notice of investigation was already issued by the Enforcement and Compliance Office covering the period or event for which no report was submitted, the Trading Participant shall instead comply with the directives set in the notice of investigation.

4.3. Format and Filenames

4.3.1. The reports shall be submitted in electronic files, in the following formats –

4.3.1.1. SERF: MS Excel xlsx format only and in an editable or un-protected format, i.e., without password protection or any other security setting. A second copy in portable document format (PDF) or read-only format may also be submitted together with the supporting documents and this can serve as the controlling document in case of conflict with the un-protected file.

4.3.1.2. Supporting documents:

- Image: portable document format (PDF)

- Word-processed documents, spreadsheets, presentations, database files and other electronic files: PDF or any format compatible with Microsoft Office.

4.3.1.3. Documents that are scanned shall be scanned at such resolutions that will ensure that the document will be legible both when viewed on a computer screen and when printed. While ensuring that the document is legible, the file size should also be limited to the extent practicable.

4.3.1.4. No security settings or password protection should be included in any PDF documents submitted. PEMC should also be able to print PDF documents.

4.3.1.5. Supporting data or documents shall be organized in and submitted in a compressed (.zip or .rar) folder.

4.3.2. The SERF and the folder containing the supporting data shall bear filenames or folder names in accordance with the following naming convention:

- SERF: *SERF_organization short name_resource name_date (yyyymmdd)*.
Example: SERF_1590EC_1BAUANG_G01_20160229
- Supporting data folder: *SERFDATA_organization short name_resource name_date(yyyyymmdd)*.
Example: SERFDATA_1590EC_1BAUANG_G01_20160229

The organization short name and the resource name should be as these are registered in the WESM while the date is the trading date the event occurred and not the date the report is being submitted.

4.3.3. The SERF report template is in a spreadsheet format and such format is specified in order to facilitate processing and verification of the submission. For this reason, the required format should be strictly followed. If entries are the same or are repeated across several adjacent rows, the entries should be copied in each and the rows should not be merged. If the data required for any column is not applicable, “not applicable” or “N/A” shall be indicated and the column should not be deleted.

4.4. Supporting Data

4.4.1. Each submission shall be accompanied by data or documents showing the occurrence and circumstances of the event being reported. The supporting data shall be listed in the SERF.

4.4.2. Supporting data or documents may include plant operator logbooks, letters and other forms of internal or external communications, work orders, incident reports, or any other business records that are generated, maintained or kept in the ordinary course of business of the Trading Participant, by persons who have direct participation or knowledge of the event being recorded.

4.4.3. Each submission shall also be accompanied by affidavit/s or certification/s, as follows

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- 4.4.3.1. By an authorized representative, preferably the WESM Compliance Officer or the main contact person, attesting to the accuracy of the information contained in the SERF and;
 - 4.4.3.2. By the custodian/s of the supporting data or documents being submitted attesting to the authenticity of the records, or the person/s who prepared or supervised the preparation of the same attesting to the authenticity of the records and the veracity of the information contained.
- 4.4.4. If an event occurs over two or more trading days and is thus covered by more than one SERF, a supporting data or document may be submitted only once. The subsequent SERFs, however, should identify the specific SERF submission with which the supporting data was previously submitted.

5. FACILITY FOR SUBMISSION

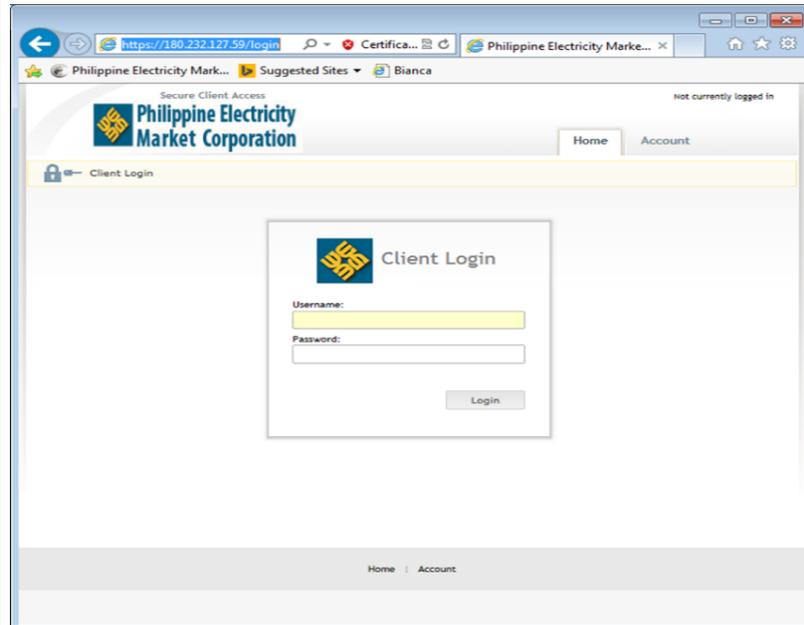
- 5.1. The reports and supporting documents shall be submitted strictly in accordance with this Section 5. Reports submitted through other means may not be received properly by PEMC and the Trading Participant may become non-compliant with the reporting requirement under WESM Rules clause 3.5.11.7.
- 5.2. The report and supporting documents shall be submitted through the PEMC FTP website at <https://180.232.127.59> using the log-in credential assigned to the Trading Participant. The procedures for uploading a file is set out in the succeeding section 5.5.
- 5.3. If the facility becomes temporarily unavailable or cannot be accessed by a Trading Participant, the notices and reports may be submitted by email to PEMC at the following addresses or other email address/es as may be notified from time to time.
 - Notice of Significant Event: tod.tocms@wesm.ph
 - Significant Event Report: compliance@wesm.ph **and** mag_ser@wesm.ph

Important. The Significant Event Report shall be emailed to the two (2) recipients addresses stated above.

- 5.4. As a last recourse, notices and reports may be submitted on a CD, DVD or USB drive in two copies to PEMC at its offices at the 18th Floor, Robinsons Equitable Tower, ADB Avenue, Ortigas Center, Pasig City. Trading Participants are encouraged to ensure that files are scanned, checked and cleaned of potential viruses before submission. CDs, DVDs or USB drives should be labelled with the organization name, resource name and date the significant event occurred. Reports shall be addressed to the Enforcement and Compliance Office of PEMC, and may be submitted at PEMC's Metro Manila or Cebu offices.
- 5.5. **Procedures for Uploading Files through PEMC FTP**

Log in to the PEMC FTP website at <https://180.232.127.59/login>. Recommended browser is Internet Explorer.

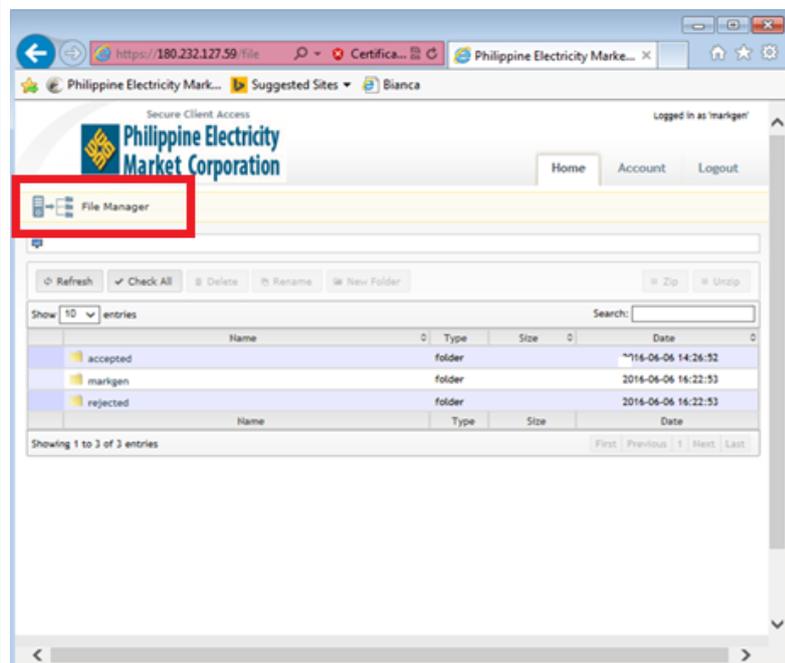
Log-in credentials (username and password) are assigned for each WESM Trading Participant. These details will be provided upon launch of the facility. *For further assistance, please get in touch with the PEMC helpdesk.*



Upon successful login, the main window will be displayed. The File Manager can be accessed under the Home tab.

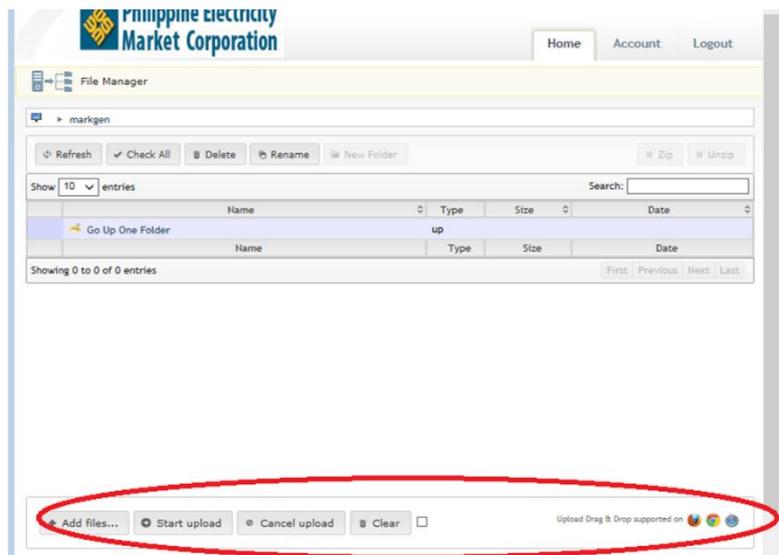
The File Manager contains three folders, as follows –

- Accepted – which contains all **successfully upload files**.
- Rejected – which contains files with **incorrect filename format**.
- Markgen – is where the files will be uploaded. **This folder should be empty at all times.**

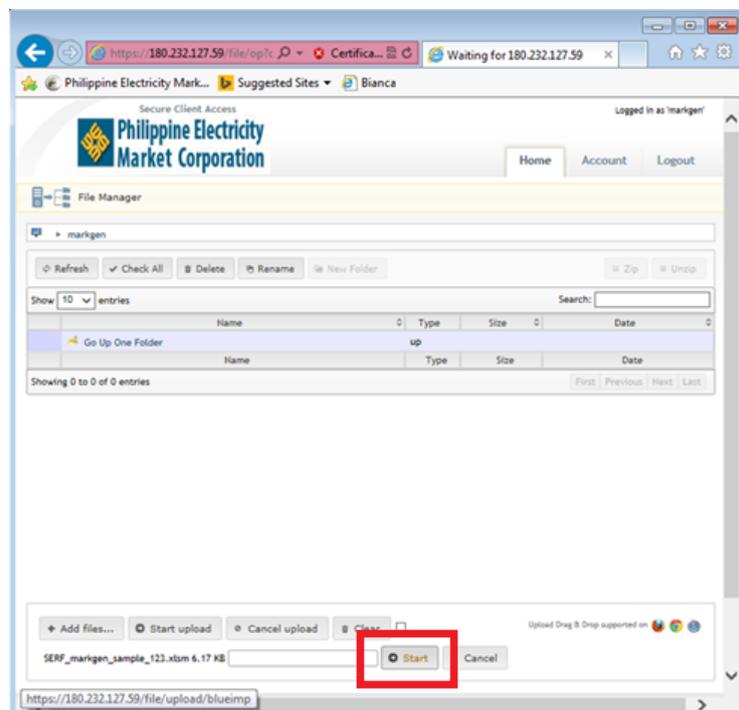


To upload a file, select the **Markgen** folder and then click the “**Add file**” button or use the “**Upload Drag & Drop**” option.

The **Upload Drag & Drop** feature is also available on other browsers (e.g, Mozilla Firefox, Google Chrome, and Safari).



Once the file(s) to be submitted has been added, click the **Start** button to start uploading the file/s.



Significant Event Notice Form (SEN) Description

Column	Header	Contents/Data Format
A	Resource	The resource name as appears in the prevailing WESM Market Network Model and registered in the Market Management System. (e.g., 1Bauang_G01; 8Global_G01)
B	Trading Date	mm/dd/yyyy e.g., 04/27/2015
C	Trading Interval/Delivery Hour	Use 24-hour format – e.g., 2400
D	Capacity on Outage, MW	Total capacity that is on outage during the interval
E	Derated Capacity, MW	Total capacity reduction during the interval due to derating resulting from the following – <ul style="list-style-type: none"> • Plant equipment failure • Ambient temperature/conditions • Hydro resource constraint • Geothermal resource constraint • Solar resource constraint • Wind resource constraint • Biomass resource constraints
F	Offered Capacity, Demand Bids Projected Output or Loading level, MW	<ul style="list-style-type: none"> • Generation offer for scheduled generating units, loading level of non-scheduled generating units or projected output of must dispatch generating units, or customer demand bids submitted to the MMS. <p><i>For brevity, generation offers and customer demand bids shall be collectively referred to as “offers/bids” while submissions of projected output of preferential dispatch generating units and loading levels of non-scheduled generating units shall collectively be referred to as “nomination/s”.</i></p>
G	Significant Event – Category	<ul style="list-style-type: none"> • State the category of significant event that caused or resulted to the non-submission offers or nominations, or cancellation of offers or nominations already made, or, for scheduled generating units, submission of offers below registered Pmax. Select from applicable categories in the <i>Significant Event Classification</i>. The <i>SERF</i> template published in the WESM website contains a drop-down list. Please select from the list. • If none of the categories apply or you are uncertain as to which category will apply, please classify as “Other Causes”. • If there are several reasons, cite all applicable event categories.
H	Significant Event – Description	<ul style="list-style-type: none"> • Describe the significant event. Provide information described in the <i>Significant Event Classification</i> and other relevant information. • If there are several significant events occurring during the interval, describe each event. • Specify the MW that is not available for each reason or significant event, other than the following – <ul style="list-style-type: none"> ○ Outage ○ Derating Due to Plant Equipment Failure ○ Derating – Ambient Conditions/Temperature

Column	Header	Contents/Data Format
		<ul style="list-style-type: none"> ○ Hydro resource constraint ○ Geothermal resource constraint ○ Solar resource constraint ○ Wind resource constraint ○ Biomass resource constraints

Significant Event Report Form (SERF) Description

Column	Header	Contents/Format
A	Resource	The resource name as appears in the prevailing WESM Market Network Model and registered in the Market Management System. (e.g., 1Bauang_G01; 8Global_G01)
B	Trading Date	mm/dd/yyyy e.g., 04/27/2015
C	Trading Interval/Delivery Hour	Use 24-hour format – e.g., 2400
D	Registered Capacity, MW	Registered Pmax on the dates covered by the investigation. This is the PMax as registered with the PEMC.
E	Capacity on Outage, MW	Total capacity that is on outage during the interval
F	Derated Capacity, MW	Total capacity reduction during the interval due to derating resulting from the following – <ul style="list-style-type: none"> ● Plant equipment failure ● Ambient temperature/conditions ● Hydro resource constraint ● Geothermal resource constraint ● Solar resource constraint ● Wind resource constraint ● Biomass resource constraints
G	Offered Capacity, Demand Bids Projected Output or Loading level, MW	<ul style="list-style-type: none"> ● Generation offer for scheduled generating units, loading level of non-scheduled generating units or projected output of must dispatch generating units, or customer demand bids submitted to the MMS. <p><i>For brevity, generation offers and customer demand bids shall be collectively referred to as “offers/bids” while submissions of projected output of preferential dispatch generating units and loading levels of non-scheduled generating units shall collectively be referred to as “nomination/s”.</i></p>
H	Significant Event – Category	<ul style="list-style-type: none"> ● State the category of significant event that caused or resulted to the non-submission offers or nominations, or cancellation of offers or nominations already made, or, for scheduled generating units, submission of offers below registered Pmax. Select from applicable categories in the <i>Significant Event Classification</i>. The SERF template published in the WESM website contains a drop-down list. Please select from the list. ● If none of the categories apply or you are uncertain as to which category will apply, please classify as “Other Causes”. ● If there are several reasons, cite all applicable event categories.

Column	Header	Contents/Format
I	Significant Event – Description	<ul style="list-style-type: none"> • Describe the significant event. Provide information described in the <i>Significant Event Classification</i> and other relevant information. • If there are several significant events occurring during the interval, describe each event. • Specify the MW that is not available for each reason or significant event, other than the following – <ul style="list-style-type: none"> ○ Outage ○ Derating Due to Plant Equipment Failure ○ Derating – Ambient Conditions/Temperature ○ Hydro resource constraint ○ Geothermal resource constraint ○ Solar resource constraint ○ Wind resource constraint ○ Biomass resource constraints
J	List of Supporting Data/Documents	<ul style="list-style-type: none"> • Provide a list of the supporting documents being submitted to support explanations. Please refer to <i>Significant Event Classification</i> for the types of documents or data that can be submitted. The list provided is a suggestion. Other documents or data not mentioned may also be submitted if relevant. • If document consists of several pages, sections, worksheets, etc., indicate page number, worksheet name, section, etc. • If logs or other data that presents a chronological or sequential account of events or circumstances are submitted, please make sure to submit all relevant pages or records that show not only the occurrence of the event, but antecedent events as well. • If labelled as annexes to the submission, indicate annex number or label. • Make sure that all the documents or data listed are submitted, unless otherwise provided in the Guidelines.
K	<i>Previous data submission</i>	<ul style="list-style-type: none"> • For events that occur over an extended period, supporting data or documents may only be submitted once. • If a data/document referred to has already been submitted, state in this column the date of the SERF with which the data/document was previously submitted. This is to allow easy retrieval of the material.

Significant Events Classification

For uniformity in reporting of significant events, please refer also to descriptions provided in ERC Resolution No. 17, Series of 2013, or its subsequent amendments and its reference documents, as well as the reference documents listed below. Note, however, that the following event classification provide for more categories or more detailed description, and in such cases, please follow the event classifications described in the following table.

The list of supporting documents provided is a suggestion. Other documents not specified may also be submitted where relevant.

Event Category	Details of Explanation	Reference
Ancillary Services	<p>Application</p> <ul style="list-style-type: none"> • This applies to ancillary services providers that were scheduled by the System Operator (a) to provide Dispatchable Reserves or (b) to provide other types of ancillary services not centrally scheduled in the WESM and that will make the generating unit unavailable for scheduling in the WESM. • <i>This does not apply to reserves that are centrally scheduled in the WESM.</i> • For periods prior to implementation of central scheduling of reserves, this applies to all types of reserves or ancillary services scheduled by the System Operator. <p>Explanation</p> <ul style="list-style-type: none"> • For aggregated units or resources with multiple engines, indicate unit/engine and total MW that is scheduled to provide ancillary services and that is no longer available for scheduling in the WESM. • For combined cycle power plants, indicate resulting mode of operations, and resulting total MW that is not available for energy. • Details of ASPA and certification as A/S provider – date of agreement, ERC approval, and type of A/S contracted/certified. <p>Supporting Documents</p> <ul style="list-style-type: none"> • <i>There is no need to submit day-ahead ancillary services schedules, ancillary services nominations or copies of the ASPA.</i> 	WESM Rules Appendix A1.1
Outage	<p>Application</p> <ul style="list-style-type: none"> • This applies to all types of planned or unplanned outages, except forced outages classified as Outside Management Control (OMC) in ERC Resolution 17, Series of 2013. The latter will fall under other event categories. • This includes intervals when the unit is undergoing online testing as part of maintenance activities during the outage. • For natural gas power plants, this includes intervals when the power plant was placed on planned or maintenance outage during the gas supply curtailment. <p>Explanation</p> <ul style="list-style-type: none"> • Type of outage – planned or unplanned. If unplanned, indicate if forced or maintenance outage. <ul style="list-style-type: none"> ○ Indicate if in GOMP or not. ○ Indicate if outage is extended. • Unit/engine affected – for aggregated units or multi-engine resources, indicate unit/engines on outage and corresponding capacity, MW, not available. • Cause of outage or maintenance activities undertaken • Duration of outage – date and time of start and end of outage. • Conduct of online testing <ul style="list-style-type: none"> ○ Basis for determining capacity offered during conduct of online testing ○ Duration of online tests <p>Supporting Documents</p>	<p>WESM Dispatch Protocol Glossary (Definition of Maximum Available Capacity)</p> <p>WESM Rules Appendix A1.1</p> <p>WESM Dispatch Protocol, Appendix 1.4.9 (Procedure – Report of Material Adverse Change in State of Trading Participant Facilities)</p> <p><i>ERC Resolution 17 –</i></p> <ul style="list-style-type: none"> • 1.1.2.1 • 1.1.2.2.1.1 to 1.1.2.2.1.4 & 1.1.2.2.1.6 • 1.1.2.2.2 <p><i>Outside Management Control – 1.1.2.2.1.5 – falls under different event categories.</i></p>

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"> Notices to and from NGCP confirming schedule of outage, and other related notices Notices to and from PEMC and relevant government agencies Plant operator logs, work orders, incident reports and similar documents Significant event or other reports submitted to ERC, DOE or other government agencies or other entities. 	
Derating – Plant Equipment Failure	<p>Application</p> <ul style="list-style-type: none"> This applies to maintenance or forced derating attributable to plant equipment failure or maintenance, except for forced derating classified as “Outside Management Control” in ERC Resolution 17 (1.1.1.1.3.4). The latter is classified under other event categories. <p>Explanation</p> <ul style="list-style-type: none"> Type of derating – maintenance or forced Capacity, MW, not available because of derating Unit and plant equipment affected Cause of derating and activities undertaken <p>Supporting Documents</p> <ul style="list-style-type: none"> Notices to and from NGCP, PEMC and relevant government agencies regarding derating or activity Plant operator logs, work orders, incident reports and similar documents Significant event or other reports submitted to ERC, DOE or other government agencies or other entities 	<p>WESM Rules Appendix A1.1</p> <p>WESM Dispatch Protocol Glossary (Definition of Maximum Available Capacity)</p> <p><i>ERC Resolution 17 –</i></p> <ul style="list-style-type: none"> <i>1.1.1.1.2</i> <i>1.1.1.1.3.1 to</i> <i>1.1.1.1.3.3</i> <p><i>Outside Management Control – 1.1.1.1.3.4 – falls under different event categories.</i></p>
Derating – Ambient Conditions	<p>Application</p> <ul style="list-style-type: none"> This applies to derating to account for deviations because of ambient conditions. <p>Explanation</p> <ul style="list-style-type: none"> Indicate reduction in availability or adjustment in offers or nomination, in MW, because of effects of ambient conditions Describe condition/s that was expected to cause or that caused the deviation in the unit’s performance, e.g., air temperature, humidity, seasonal variations, etc. <p>Supporting Documents</p> <ul style="list-style-type: none"> Relevant data on actual or expected conditions 	<p>WESM Rules Appendix A1.1</p> <p>WESM Dispatch Protocol Glossary (Definition of Maximum Available Capacity)</p>
Resource Constraint – Hydro	<p>Application</p> <ul style="list-style-type: none"> This refers to constraints affecting the water resources of hydro-electric power plants, particularly to limitation on the water elevation, turbine discharge and MW output of the plant. <p>Explanation</p> <ul style="list-style-type: none"> Identify constraint affecting water resources. Explain effect of constraint on availability. Indicate reduction in available capacity, MW, resulting from constraint. For run-of-river hydro, cite basis for offers, e.g., load forecast data utilized, and identify data source. <p>Supporting Documents</p> <ul style="list-style-type: none"> Water elevation data from relevant agencies, i.e., NIA, NPC, NWRB Rule curve operations/protocols 	<p>WESM Rules Appendix A1.1</p> <p>WESM Dispatch Protocol Glossary (Definition of Maximum Available Capacity)</p> <p><i>ERC Resolution 17 – 1.1.1.1.3.4 in relation to 1.1.2.2.1.5 (Outside Management Control)</i></p>

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"> • Irrigation diversion and other requirements from NIA, NWRB or other relevant government agencies • Other instructions or notices from relevant government agencies affecting operations and availability of power plant or water resources • Load forecast – for run of river hydro – or other data utilized for determining offers 	
Resource Constraint – Geothermal	<p>Application</p> <ul style="list-style-type: none"> • This pertains to capacity limitations on geothermal power plants because of steam quality (chemical composition, condensable and non-condensable gases), steam pressure and temperature variation, well blockage and limitation on steam and brine collection and disposal system. <p>Explanation</p> <ul style="list-style-type: none"> • Indicate MW reduction as a result of constraint. • Identify constraint – steam quality, pressure and temperature variation, well blockage or limitations on steam and brine collection and disposal system. • Identify steam source (well) and indicate if shared with other units. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Plant operator logs and similar documents showing steam supply availability and constraints • Steam supply forecasts and other steam supply data provided and certified by supplier or steam field operator • Reports submitted to DOE on resource availability or steam supply status, production and utilization 	<p>WESM Rules Appendix A1.1</p> <p>WESM Dispatch Protocol Glossary (Definition of Maximum Available Capacity)</p> <p><i>ERC Resolution 17 – 1.1.1.1.3.4 in relation to 1.1.2.2.1.5 (Outside Management Control)</i></p>
Resource Constraint – Solar or Wind	<p>Application</p> <ul style="list-style-type: none"> • This pertains to intermittency or unavailability of solar or wind power plants because of seasonal and daily variations, or other naturally occurring constraints. <p>Explanation</p> <ul style="list-style-type: none"> • Describe constraint or cause of unavailability, such as seasonality, unavailability at certain times of the day, or naturally occurring circumstances, e.g., weather disturbances. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Data on plant specifications (e.g., capacity, efficiency) and results of energy resource assessment. <i>Data or documents submitted to the ERC or DOE in compliance with licensing or reportorial requirements can be submitted.</i> • Other resource-related data, such as forecast data • Other data or records showing constraints affecting the power plant, e.g., weather data 	<p><i>ERC Resolution 17 – 1.1.1.1.3.4 in relation to 1.1.2.2.1.5 (Outside Management Control)</i></p>
Resource Constraint – Biomass	<p>Application</p> <ul style="list-style-type: none"> • This applies to biomass power plants with seasonal operations or those utilizing resources or feedstock with limited availability. • If the power plant is a co-generation power plant, limitations relating to steam production or usage should be reported under “Co-Generation Power Plant” event category. 	<p><i>ERC Resolution 17 – 1.1.1.1.3.4 in relation to 1.1.2.2.1.5 (Outside Management Control)</i></p>

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"> • If power plant also an industrial generator or produces energy primarily for its own use, limitation on energy injected to the grid because of own requirements should be reported under “Station Use, House or Industrial Load”. <p>Explanation</p> <ul style="list-style-type: none"> • If operation is seasonal, cite seasonality. • If in operation but with limited feedstock – <ul style="list-style-type: none"> ○ cite reasons for limitation, if relevant ○ feedstock availability during the period and corresponding projected generation, MW, during the period ○ If generation is utilized for other purposes, indicate energy, MW, utilized for other purposes and energy injected to the grid. Data must be in MW. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Plant operator logs and plant documents showing feedstock supply levels, projected and actual MW output and related data. • Notices to and from System Operator and other agencies on start or end of operations. • Significant event reports submitted to relevant government agencies. 	
Fuel Supply Constraint - Natural Gas	<p>Application</p> <ul style="list-style-type: none"> • This applies to natural gas power plants that are supplied from the Malampaya natural gas facility. This includes intervals when the unit is operating on alternate fuel as well when it is performing change-over procedures to and from alternate fuel. • If the unit went on outage in preparation for change-over to and from alternate fuel and was reported to System Operator and other agencies as an outage, please report as “Outage”. • If the unit went on planned or maintenance outage during the curtailment, please report as an “Outage”. <p>Explanation</p> <ul style="list-style-type: none"> • Curtailment <ul style="list-style-type: none"> ○ If curtailment is partial, indicate supply allocation for and equivalent MW output of the unit. • Operations on alternate fuel <ul style="list-style-type: none"> ○ If registered PMax is set based on operations on one type of fuel, but the PMax using a different type of fuel is different, indicate applicable PMax. • Fuel change-over procedures <ul style="list-style-type: none"> ○ Indicate if unit operated at reduced capacity while undergoing change-over procedures, and basis for determining MW offers. ○ Describe fuel change-over protocol and usual duration. ○ Problems encountered during change-over, if procedure was aborted, delayed or was not implemented as expected or in accordance with usual change-over protocol. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Notices to participant on curtailment 	For lack of fuel – <i>ERC Resolution 17 – 1.1.2.2.1.5 (Outside Management Control)</i>

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"> • Document showing Pmax on alternate fuel operations, <i>This can be a one-time submission, unless changed.</i> • Document showing fuel change-over protocol and load profile. • Plant operator logs, incident reports, and plant documents showing performance of change-over procedures and problems encountered, if any. 	
Fuel Supply Constraint – Other Power Plants	<p>Application</p> <ul style="list-style-type: none"> • Fuel quality issues reported under this category includes those that pertain to the fuel itself (e.g., grindability, moisture, heat content, etc.) and are not caused by problems with plant equipment, pollution control equipment, plant procedures or other problems and errors in operations. • This also applies to instances when power plants operate on secondary or alternate fuel when there are problems with their primary fuel. <p>Explanation</p> <ul style="list-style-type: none"> • Lack of fuel <ul style="list-style-type: none"> ○ State reasons for lack of fuel, and whether these are beyond participant’s control. ○ Describe effect on generation of the unit, i.e., full or partial curtailment. If partial, basis for determining level of offers. ○ Describe measures implemented to rectify the situation. • Fuel quality <ul style="list-style-type: none"> ○ Indicate if the fuel supply was tested as compliant with specifications and summarize results of testing. ○ If supply was tested as compliant, explain reasons why offers were less than registered PMax, e.g., cite factors that affected fuel supply quality. ○ Describe effect on operations of the unit, and basis for determining offers, in MW, submitted. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Fuel test results or certifications • Plant operator logs and fuel supply data and other documents showing lack of fuel or fuel quality, problems encountered, and measures taken to resolve problem. • Incident reports and significant event reports to relevant government agencies on lack of fuel or problems with fuel supply. 	<p>For lack of fuel and fuel quality –</p> <p><i>ERC Resolution 17 – 1.1.2.2.1.5 (Outside Management Control)</i></p>
Pumped Storage Power Plants	<p>Application</p> <ul style="list-style-type: none"> • This applies to pumped storage power plants while electronically connected but performing pumping functions. <p>Explanation</p> <ul style="list-style-type: none"> • Identify unit/s operating in pumping mode and not available for generation. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Plant records showing shift to or schedule of pumping operations • Communications to or from the System Operator on pumping and generation schedules. 	<p><i>ERC Resolution 17</i></p> <ul style="list-style-type: none"> • <i>1.1.1.1.2</i>

Event Category	Details of Explanation	Reference
Co-Generation Power Plants	<p>Application</p> <ul style="list-style-type: none"> This applies to plants that produces and utilizes process steam for industrial requirements, and whose energy generation is limited by its steam usage. This category applies when the limitation in generation is a result of process steam limitations or requirements. If power plant is also an industrial generator or produces energy primarily for its own use, limitation on energy injected to the grid should be reported under “Station Use, House or Industrial Load”. <p>Explanation</p> <ul style="list-style-type: none"> Indicate corresponding energy, MW, generated taking into consideration steam requirements for industrial requirements. Provide steam data and corresponding energy generated, MW, and provide illustration on steam and energy generation. <p>Supporting Documents</p> <ul style="list-style-type: none"> Steam and energy data in MW or kW. Provide illustration of steam production and corresponding energy generation. <i>This may be a one-time submission.</i> 	
Station Use, House Load or Industrial Load	<p>Application</p> <ul style="list-style-type: none"> This applies to power plants, including industrial generators, that are monitored at gross capacity (inclusive of station use, house load and industrial load), and which have chosen to submit offers or nominations net of expected or scheduled own usage. <p>Explanation</p> <ul style="list-style-type: none"> Data for gross energy generated, utilized for station use, house load or industrial load, and injected to the grid. Data should be in MW. Indicate if expected levels of own use and injection to the grid are at fairly constant levels, or varies from time to time and the applicable reasons for variations. <p>Supporting Documents</p> <ul style="list-style-type: none"> Monitoring data on gross energy generation, own load and injected to the grid. Data must be in MW. 	
Start-up/Shutdown Procedures	<p>Application</p> <ul style="list-style-type: none"> This applies to generating units undergoing start-up or shutdown procedures in accordance with WESM Manual on Procedures for Start-up and Shutdown of Generating Units (PSSGU). <p>Explanation</p> <ul style="list-style-type: none"> Indicate if load profile was submitted to the System Operator as required in PSSGU Manual. If submission of offers was not in accordance with load profile submitted, explain reason for deviation. Problems encountered and cause if procedure was not carried out according to usual load profiles or established protocols, such as when activity was aborted, delayed or prolonged. <p>Supporting Documents</p> <ul style="list-style-type: none"> Load profile submitted to System Operator or other entities (e.g., submitted to PSALM or NPC for NPC-IPP plants) 	WESM Manual: Procedures for Start-up and Shutdown of Generating Units

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"> • Communications to and from System Operator on conduct of procedure and related notices. • Plant operator logs, incident reports, and other plant documents • Significant event reports to relevant government agencies on conduct of procedure. 	
Testing and Commissioning	<p>Application</p> <ul style="list-style-type: none"> • This can include generator routine tests, testing and commissioning of new power plants, ancillary service testing, or tests carried out in compliance with commercial and regulatory requirements. • If the unit is undergoing offline or online testing as part of activities during a maintenance outage, this should be reported under “Outage”. • If testing and commissioning of a new power plant was carried out for a period longer than that provided for in prevailing regulations of the ERC, please explain reason for prolonged testing. <p>Explanation</p> <ul style="list-style-type: none"> • Type of testing/commissioning activity conducted. • Cite basis for offered capacity, MW, such as test profiles, protocols or similar documents. • Duration of testing activity • Problems encountered and cause, if activity was not carried out according to usual test profiles or established test protocols, such as when activity was aborted, delayed or prolonged, or, for new power plants, why testing and commissioning is longer than period provided for in prevailing ERC guidelines. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Notices to and from System Operator and other agencies on conduct of tests. • Test-related documents, e.g., protocols, test profiles, etc. • Plant operator logs and similar documents showing conduct of tests. • Significant event reports submitted to relevant government agencies. 	
Other Plant Operations-Related Constraints	<p>Application</p> <ul style="list-style-type: none"> • This refers to any procedure, activity or processes pertaining to or any circumstance <u>arising from normal plant operations</u> that is reasonably expected to cause limitations on the availability of the generating unit. This pertains to circumstance or constraint that does fall under other event categories. <p>Explanation</p> <ul style="list-style-type: none"> • Identify constraint and the procedure, activity or process that caused the constraint or limitation on the unit’s availability. • Explain if constraint was reasonably expected as part of usual plant operations, good practice, etc., or has arisen due to some failures or problems encountered during operations. • Measures implemented to rectify the situation, if applicable. 	

Event Category	Details of Explanation	Reference
	<p>Supporting Documents</p> <ul style="list-style-type: none"> • Plant operator logs, incident reports and other plant documents showing occurrence of constraint and activities undertaken • Significant event reports submitted to relevant government agencies. 	
Transmission-Related Constraints	<p>Application</p> <ul style="list-style-type: none"> • This includes grid connection or sub-station failure arising from problems with transmission lines or equipment serving a generating unit that affects the availability of the generating unit. • This also includes to limits or constraints imposed by the System Operator, not otherwise considered in the WESM scheduling processes, but has affected availability or the generation output of the unit or its injection of power to the grid. <p>Explanation</p> <ul style="list-style-type: none"> • Transmission line or equipment affected • Duration of activity or trouble • Effect on generating unit – shutdown/tripping or curtailment • If partially curtailed and with reduced offers, basis for determining level of offers submitted. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Notices and reports to and from the System Operator and/or relevant Network Service Provider on the constraint. • Plant operator logs, incident reports and other plant documents showing constraint and activities undertaken. • Significant event reports submitted to relevant government agencies 	<p>For grid connection or sub-station failure –</p> <p><i>ERC Resolution 17 – 1.1.2.2.1.5 (Outside Management Control)</i></p>
Legal and Regulatory Compliances	<p>Application</p> <ul style="list-style-type: none"> • This refers to orders, writs, decisions or resolutions issued by judicial tribunals, administrative or regulatory agencies and other authorities with jurisdiction over the participant or the power plant and which effectively requires cessation or suspension of operations, or directly affects availability of the power plant or the ability of the participant to submit offers or nominations for or transact the power plant in the WESM. • This may also refer to compliances under rules, regulations and standards issued by government agencies where compliance would effectively result in curtailment in the operations of the power plant. These may include but not limited to safety and environmental standards. • This does not apply to compliances or obligations under power supply contracts, IPP contracts and other commercial contracts. If compliance with obligations of said commercial contracts affects the ability of the power plant to generate or the corporation to operate its business, please report under “Other Causes” or “Force Majeure Events”, if applicable. <p>Explanation</p>	<p><i>ERC Resolution 17 – 1.1.2.2.1.5 (Outside Management Control)</i></p>

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"> • State order, writ, rule, regulation or standard being complied with and issuing agency. • Explain effect on availability of power plant or operations of the participant, such as full or partial curtailment, suspension or cessation of operations. • If compliance results in partial curtailment and reduced offers or nominations were submitted, explain basis for determining offers or nominations. • If curtailment became necessary to prevent breach of rule, regulation or standard, explain cause or condition that was expected to result to a possible breach of the requirement, e.g., emission levels, and which prompted the curtailment. • Measures undertaken to resolve problem or possible breach of standards. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Certified copy of order, writ, decision or resolution, if applicable • Copy of rule, regulation or standard, if applicable • Plant operator logs, incident reports and other plant document showing curtailment, cause of curtailment and activities undertaken • Significant event reports submitted to relevant government agencies 	
Force Majeure Events	<p>Application</p> <ul style="list-style-type: none"> • This pertains to events beyond the reasonable control of the participant, which effectively prevents it from complying with its obligations in the WESM or results in cessation or suspension of its operations, and which does not fall under any other non-compliance event category. • This includes natural calamities, whether localized or widespread, that affected the ability of the generating unit to operate or the participant to submit offers or nominations. <p>Explanation</p> <ul style="list-style-type: none"> • Identify and describe the force majeure event. • Describe effect on ability to comply with obligation. • Measures taken to resolve situation, to prevent or mitigate adverse impact of the event. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Plant operator logs, incident reports and other plant documents that will show occurrence of event, effect on power plant and activities undertaken • As applicable, notices to and from System Operator, PEMC, DOE, ERC and other relevant agencies regarding occurrence of events and measures undertaken 	<p>WESM Dispatch Protocol, Appendix 1.4.9 (Procedure – Report of Material Adverse Change in State of Trading Participant Facilities)</p> <p><i>ERC Resolution 17 – 1.1.2.2.1.5 (Outside Management Control)</i></p>
Labor and Management Conflicts	<p>Application</p> <ul style="list-style-type: none"> • This applies to situations when labor and management conflicts may result in work stoppage (e.g., strikes and lockouts) and prevent the participant or significantly reduce its ability to operate its power plant or otherwise participate in the WESM. <p>Explanation</p>	<p>WESM Dispatch Protocol, Appendix 1.4.9 (Procedure – Report of Material Adverse Change in State of Trading Participant Facilities)</p> <p><i>ERC Resolution 17 –</i></p>

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"> • Describe nature of conflict, and when work stoppage is expected to occur or if it has already occurred. • Describe effects on operations of the participant or the power plant, i.e., complete stoppage, partial operations, etc. • Describe measures taken to mitigate impact of the conflict on its operations, if applicable. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Notices (e.g., strike or lockout), orders or resolutions of competent government agencies on work stoppage, and similar documents. 	<p>1.1.2.2.1.5 (<i>Outside Management Control</i>)</p>
Errors or Negligence	<p>Application</p> <ul style="list-style-type: none"> • This refers to deviations arising from errors, whether or not inadvertent, or due to negligence. This may include trader or operator errors, software errors or malfunction, interface failures (not attributable to MMS or PEMC), communication link failures, and other errors or circumstance that resulted in failure to submit offers or nominations or to submission of erroneous data. • Widespread failures in communication links or facilities not within the control and cannot be remedied by the participant can be reported under “Force Majeure Event”, if applicable. <p>Explanation</p> <ul style="list-style-type: none"> • Describe circumstance and indicate whether this resulted to non-submission of offers or nominations or submission of erroneous offers or nominations • Describe measures implemented to prevent recurrence of the error or minimize its impact on ability of participant to submit offers or nominations. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Plant operator/trader logs, incident reports, and other plant or trading document that shows occurrence of error and measures taken to rectify the same. • Significant event reports submitted to relevant government agencies. • Reports or notices from third party communication or network providers. 	<p>WESM Dispatch Protocol, Appendix 1.4.9 (Procedure – Report of Material Adverse Change in State of Trading Participant Facilities)</p> <p><i>ERC Resolution 17 – 1.1.2.2.1.5 (Outside Management Control)</i></p>
Other Causes	<p>Application</p> <ul style="list-style-type: none"> • This may be any event or circumstance that effectively prevents the participant from submitting offers or nominations to the WESM, whether in full or in part, or from operating its generating unit, whether in full or in part, or from operating its business, which do not otherwise fall under any of the other event categories. <p>Explanation</p> <ul style="list-style-type: none"> • Identify and describe circumstance or event. • Describe effect on ability to comply with obligation. • Explain measures taken to resolve situation, and to prevent or mitigate its adverse impact. <p>Supporting Documents</p> <ul style="list-style-type: none"> • Plant operator/trader logs, incident reports, and other plant or trading document that shows occurrence of event, its effect on the power plant or the operation of the participant and measures taken to rectify the same. 	

Event Category	Details of Explanation	Reference
	<ul style="list-style-type: none"><li data-bbox="437 232 1083 320">• Significant event reports or disclosure reports submitted to relevant government agencies or other entities.	

This Compliance Bulletin may be viewed or downloaded from the market information website at www.wesm.ph. To navigate the website, click on the Enforcement and Compliance page at the Downloads section of the website. The Significant Event Report Form (SERF) and Significant Event Notice (SEN) templates may be requested from the PEMC Enforcement and Compliance Office by email at compliance@wesm.ph.