

Energy Regulatory Commission
Market Operations Service - Licensing & Market Monitoring Division

**Checklist of Requirements for COC
Change of Status from Self-Generation Facility (SGF) to
Independent Power Producer (IPP)**

Name of GENCO: _____

A. General Requirements

- (1) Application Form (COC Form No.1);
- (2) Company Profile (COC Form No.2);

B. COC Application Fee

- (3) P10,000.00

C. Technical Qualification

- (4) Sworn Statement that each of the Facilities will comply with the PGC and PDC for the duration of the COC (Form No.4);
- (5) Sworn Statement that the company and its Generating Facilities will comply with the Wholesale Electricity Spot Market (WESM) Rules and Manuals for the duration of the COC, upon its registration with the WESM, when applicable (Form No.5);
- (6) Management and/or lease contracts in force **(in case the plant is operated, leased and/or managed by an entity other than the owner)**, if applicable;
- (7) General Plant Description (Form No.7);
- (8) Location Map;
- (9) Connection Agreement between the Grid Owner (NGCP) and the Existing Generation Facility or Interconnection plans/details with the high voltage backbone transmission system/grid or Distribution System (for Embedded Generators) and/or Transmission/Distribution Service Agreement, if available; and
- (10) PGC, PDC and WESM Requirements
 - (10.1) Electrical/Mechanical Plans and Diagrams;

- (10.2) **Plant Specifications such as Minimum Stable Load, Maximum Stable Load, Ramp Up Rate and Ramp Down Rate, including plant efficiency and Heat Rate, if applicable;**
- (10.3) **Technical Description of the Load to be served (for those in isolated Areas and those serving dedicated loads);**
- (10.4) **Details of its Communication and SCADA Requirements, if applicable;**
- (10.5) **Certificate of Technical Requirements Compliance issued by NGCP to a Generation Company or a Generation Facility confirming a generating unit's capability to operate within its registered parameters and its capability to meet the requirements of the PGC through the conduct of Generating Unit Capability Test;**
- (10.6) **Certification issued by NGCP to Generation Company or Generation Facility attesting to its compliance with the approved connection scheme provided in the Grid Impact Study (GIS), Facility Study (FS) Connection Agreement (CA) and Transmission Service Agreement (TSA), if applicable; and**
- (10.7) **For Embedded Generating Facilities, Distribution Impact Study (DIS) as required by the PDC.**

D. Financial Capability

- (11) **Complete set of Audited Financial Statements (AFS) covering the two (2) most recent twelve (12) month periods, (i.e., balance sheet, income statement, statement of cash flows, notes, audit opinion and the statement of management's responsibility on the financial statements). For a Generation Company which has been in operation for less than two (2) years, the AFS of the parent company shall be required in lieu of the above, covering the two (2) most recent twelve (12) month periods, if available;**
- (12) **Schedule of liabilities, to include the following information: name of creditor, type of credit, credit terms; and**
- (13) **Five (5) year financial plan.**

E. Ownership/Control

- (14) Articles of Incorporation/Partnership (for Corporation / Partnership) with Certificate of Registration;
- (15) Business Name Registration Certificate (for Single Proprietorship);
- (16) **Latest General Information Sheet (GIS) of the applicant-Securities and Exchange Commission (SEC) Form;**
- (17) Sworn Statement that the applicant complies with and will continue to comply with the provisions on cross ownership and market share restrictions under Republic Act No. 9136, its Implementing Rules and Regulations, and these Revised Rules for the duration of the COC (Form No.6);
- (18) Duly attested comprehensive and complete listing of Affiliates and Related Groups, including ownership and management structure; and
- (19) PSE Certificate to the effect that the Generation Company is listed with PSE, if applicable.

F. Other Requirements

- (20) Power Supply Agreement(s), if applicable;
- (21) Memorandum of Agreement on the Establishment of Trust Accounts by the Generation Company and/or the Energy Resource Developer and the Department of Energy on Benefits to Host Communities pursuant to Rule 29 of the IRR of R.A. 9136;
- (22) Environmental Compliance Certificate (ECC) duly approved by the Department of Environment and Natural Resources (DENR);
- (23) Department of Energy (DOE) Endorsement indicating that the Power Plant Project is consistent with the Power Development Program of the Government or with the Missionary Electrification Development Program (MEDP) for power plant project located in isolated grids;
- (24) **In the case of a Generation Company operating an RE plant that intends to avail of the FIT:**
 - (24.1) **DOE issuance of Confirmation of Commerciality confirming the commercial viability of the project;**
 - (24.2) **DOE Confirmation of Electromechanical Completion; and**

(24.3) DOE Certificate of Endorsement for FIT Eligibility.

(25) Such other information or document that the ERC may require. Any additional technical information may be required by the ERC upon prior notice to the applicant.

Evaluator's Comment/Recommendation:

Legend:

✓ - Submitted Document with Complete Entries N/A - Not applicable
Inc. - Incomplete Entries on Submitted Forms

Note:

* Only forms/ documents with complete entries will be accepted; otherwise it will be returned to the applicant for re-submission of forms with complete entries

Documents Checked/Evaluated by: _____
Signature over Printed Name - Position/ Date