

ANNEX A

Requirements for Certificate of Endorsement to the Energy Regulatory Commission (COE-ERC)

CHECKLIST OF REQUIREMENTS	WHERE TO SECURE
<i>Note:</i> <i>The project should be in the Department of Energy's (DOE) List of Private Sector Initiated Power Projects with a Committed Status.</i> <i>For coal power projects, it must satisfy the requirements of coal moratorium advisory.</i>	
1. Letter of Request addressed to Electric Power Industry Management Bureau Director indicating the nature of request, whether:	<i>To be provided by the Client</i>
1.1. For new application should include the official name of the project generating facility, nameplate capacity in three (3) decimal places, and complete location of the project;	
1.2. For amendment (amendment of Developer name, capacity, project name or location), previously issued COE number, the official name of the project, nameplate capacity in three (3) decimal places in MW, and complete location of the project including barangay, municipality, province; For consistency of information, if location is within highly urbanized city, kindly cite the province where the city is geographically located.	
2. Company Profile (if the request is for the amendment of company name or project developer, indicating the transition from the previous developer to the new developer);	

3. Copy of the previously issued COE to ERC (if the request is for amendment);	
4. Project Background / Description including the following information:	
4.1. Name of the Generating Facility / Project;	
4.2. Nameplate capacity in three (3) decimal places in MW. For Solar Projects should be in MWDC and MWAC; For ESS Capacity in MW and MWh	
4.3. Clear copy of the photograph of the front view of Generator nameplate / Engine nameplate / rating capacity attached in each generating unit. For solar projects, sample photograph of the nameplate of the solar panels/modules and summary of serial numbers with corresponding specifications. For ESS, photograph of nameplate of the entire battery modules. In the absence of the clear photograph of the nameplate, kindly provide any of the following: a. Certification that the unit is already unreadable and providing the information in the nameplate photograph; or b. Copy of the manufacturer's booklet containing the specifications in the nameplate.	
4.4. Computation in converting the said generator rating per unit, from Mega-Volt Ampere (MVA) to Megawatt (MW), in three (3) decimal places;	
4.5. For Solar power projects, include also the computation in converting the Wp to MWp, in three (3) decimal places.	
4.6. For ESS projects, also include the computation for the battery capacity in terms of MWh.	
4.7. Summary of the nameplate / rating capacities per unit, in three (3) decimal places, if multiple generators, with the total capacity;	
4.8. Exact location of the power plant including the barangay, municipality, and province; For consistency of information, if	
the location is within highly urbanized city, kindly cite the province where the city is geographically located.	

4.9. For New Power Plant: Target Commercial Operation Date; For Existing Power Plant: Commencement of Operation Date;	
4.10. Summary of Off taker/s of the Electric Output with corresponding capacity (no need to provide if the power plant is already operational);	
4.11. Engineering, Procurement, and Construction (EPC) Contractor (no need to provide if the power plant is already operational);	
4.12. Jobs Generated during Construction and During Operation (current number of employees if the plant is already operational);	
5. Proof of Financial Closing, whichever is available (no need to provide if the power plant is already operational):	<i>To be provided by the Client</i>
5.1. For 100% Equity:	
5.1.1. Notarized Certificate of Availability of Funds indicating to finance 100% of project cost through Internally Generated Funds to be signed by the President or Treasurer of the Company with the following information: 5.1.1.1. Company / Developer's Name; 5.1.1.2. Official Project Name; 5.1.1.3. Capacity in 3 decimal places [MW and MWp (if solar)] [MW and MWh (if ESS)]; 5.1.1.4. Exact location of the power plant including barangay, municipality, and province; 5.1.1.5. Amount of Total project cost; and 5.1.1.6. Indicate that it will be financed 100% by the company	
5.2. For Loan-Equity Ratio of the total project cost:	

5.2.1 Notarized Certification from the company signed by the President or Treasurer of the Company with the following information: a. Company / Developer's Name; b. Official Project Name; c. Capacity in 3 decimal places [MW and MWp (if solar)] [MW and MWh (if ESS)]; d. Exact location including barangay, municipality, and province; e. Amount of Total project cost; f. Amount of Project Cost to be financed by the company; and indicate the percentage of the project cost to be financed by the company.	
5.2.2 Bank Certification or Notarized Memorandum of Agreement or Loan Term Agreement indicating percentage and amount of financial assistance/loan to be provided for the development and construction of the project.	
5.3. For the Financier of the project	
5.2.3 Notarized Memorandum of Agreement / Loan Term Agreement between the Company and the financier on the percentage and amount of Financial Assistance / loan to be provided; or any equivalent documents	
6. Copy of Securities and Exchange Commission (SEC) Registration/Department of Trade and Industry (DTI) Registration, whichever is applicable:	
6.1. For SEC Registration, provide Articles of Incorporation and By-Laws / Articles of Limited Partnership of the Company;	<i>To be provided by the Client</i>
6.2. For DTI Registration (include attachments that the business is into power generation business);	
7. Latest General Information Sheet of the applicant and its stockholders – SEC form duly stamped received by the SEC for Partnership and Corporation.	<i>To be provided by the Client</i>
8. Historical Generation GWh for existing and operational power plants (at least 5 years);	

9. Notarized Certificate of Assumption of Accountability (applicable to the successor company that takes on the ownership and/or takes-over the operations of the generation company whether under a new name or using the same company names as the case may be);	
10. Copy of the Power Supply Agreement (PSA) with Off taker/s filed before the ERC / Copy Generation rate application filed before the ERC / Copy of the Board Resolution allowing the filing of the generation rate to ERC/Ancillary Services Purchase Agreement, or any equivalent document;	
11. For Leased Generating Facilities, provide Notarized Lease / Rental Agreement between the operator and the owner of the generating units;	
12. Certification of the location of the powerhouse.	
13. Copy of the Provisional Authority to Operate from the ERC.	
14. Additional for ERC Certificate of Compliance Renewal.	<i>To be provided by the Client</i>
14.1. Copy of the ERC Certificate of Compliance issued by the ERC being requested for renewal;	
14.2. Certification of new rated capacity, if applicable; and	
14.3. If the project name / capacity / location in the Certificate of Compliance is different from the one being requested to be endorsed provide certification of the correct project name / capacity / location;	
15. Additional Documents for Renewable Energy Power Projects:	
15.1. Copy of the Certificate of Registration (COR) as Renewable Energy (RE) Developer (developer's name, project name and location indicated should be consistent with the request for COE);	

15.2. Copy of Certificate of Confirmation of Commerciality (COCOC) or Operating Contract (OC), whichever is available, containing the developer's name, official name of the generating facility, capacity in 3 decimal places, and location indicated should be consistent with the request for COE.	
15.3. DOE approval on the transfer of assignment of Service Contract, Operating Contract, amended documents i.e., COCOC, COR, OC, if applicable;	