



Republic of the Philippines
DEPARTMENT OF ENERGY

**IMPLEMENTING GUIDELINES FOR THE MONITORING AND VERIFICATION (M&V)
PROCEDURES OF ENERGY EFFICIENCY (EE) PROJECTS AND ADMINISTRATION OF
OBLIGATIONS OF ENERGY SERVICE COMPANY (ESCO)**

Pursuant to Section 11 of Department Circular No. 2020-09-0018 or the Guidelines in the Administration, Classification, and Certification of ESCOs, the Implementing Guidelines (IG) for the procedures for the monitoring, verification, and enforcement are hereby issued for the compliance of all ESCOs.

I. GENERAL PROVISIONS

Section 1. Scope. This IG shall cover all accredited, registered, or certified ESCOs under Department Circular Nos. DC2008-09-0004 and DC2020-09-0018.

Section 2. Definition of Terms. As used in this IG, the following terms shall be understood to mean:

- 2.1. **Administration** refers to the process or activity of the enforcement of violations or violations for the purpose of seeing to it that these comply with the provisions of the ESCO Guidelines and this IG.
- 2.2. **Annual Project Accomplishment Report (APAR)** refers to the report to be submitted to the Energy Utilization Management Bureau (EUMB) on the implemented EE projects of an ESCO whether on-going or completed in order to monitor any on-going and/or completed projects.
- 2.3. **Completed Projects** refers to a project where development/installation is completed and energy consumption and/or savings from the installed EE project will materialize.
- 2.4. **Contract Period** refers to the start (award of the contract) and end (final acceptance) of the project.
- 2.5. **Estimated Project Cost** refers to the cost required by the scope of a project.
- 2.6. **Estimated Return on Investment (ROI)** refers to the ratio of benefit divided by investment cost at a specified number of years in terms of percentage.
- 2.7. **Monitoring** refers to an activity where the EUMB keeps track, watches, observes, or checks on EE projects implemented whether on-going or completed by ESCOs for the purpose of seeing to it that these comply with the provisions of this IG.
- 2.8. **Monitoring Team** refers to a core group of EUMB personnel and or its authorized representatives in the conduct of monitoring activities specified in this IG.
- 2.9. **On-going Project** refers to a project where development/installation is going on and for which a completion certificate has not been issued.
- 2.10. **Planned Project** refers to a project where development/installation is awaiting future implementation.

- 2.11. **Verification** refers to the process of confirming, through inspections, the veracity and accuracy of the data provided on the APAR.

II. ADMINISTRATION OF ESCO

Section 3. APAR Obligation. As provided under Section 11.1 of DC2020-09-0018, in order to monitor any on-going and/or completed EE projects being implemented by the ESCO, all accredited, registered, and certified ESCOs to submit their APAR in the template provided in Annex A and following the submission procedures in Annex B to the EUMB.

Section 4. Coordination and Monitoring Obligation. As provided under Section 11.2 of DC2020-09-0018, the monitoring team may conduct coordination and monitoring activities on any on-going and/or completed EE projects being implemented by the ESCO at least once a year.

- 4.1. **Support.** As provided under Section 11.2 of DC2020-09-0018, the value of such support shall in no case exceed the application fee indicated in Section 5 of DC2020-09-0018. The amount of support per project / per ESCO shall be PhP10,000.00, subject to existing rules and regulations.
- 4.2. **Report.** The EUMB will release a list of evaluated projects every quarter. This report shall observe data privacy and will comply with all prevailing policies, guidelines, and issuances pertaining to information confidentiality and data privacy.
- 4.3. **Mission Order.** All Verification Team activities will be approved and covered by the Mission Order of the EUMB Director. The Mission Order will contain the names of the Verification Team and the dates of the activity.

Section 5. Verification Obligation. As provided under Section 11.4 of DC2020-09-0018, all ESCO must subject themselves and their project to Independent Verification to the EUMB following the process in Annex C.

- 5.1. **Frequency.** The frequency of the conduct of the verification activity based on the submitted APAR under Section 3 of this IG shall be determined based on the following condition:

Qualifications	Frequency
On-Going Projects	Once before project completion
Completed Projects	After one (1) year upon project completion then every two (2) years thereafter.

- 5.2. **Timeline.** The timeline of the verification activities will be based on the determined ROI of the project on their submitted APAR. Once the forecasted ROI lapses, the project will no longer be part of the Work Plan that will be developed by the Verification Team.

III. ADMINISTRATION

Section 6. Development of Work Plan. The DOE will prepare an annual Work Plan every first quarter of the year which will include all on-going and completed projects of the previous year based on the submitted APAR of the ESCO. The said Work Plan shall provide the identified projects per ESCO and an indicative schedule of verification activities for the entire year. During the first year of implementation, the DOE shall ensure full compliance of ESCO to the APAR Obligations under Section 3 of the IG.

Section 7. Utilization. Subject to existing government accounting, auditing, and budgeting laws and regulations, EUMB will prepare an annual plan for the utilization of collections under Section 11.2 of DC2020-09-0018 for approval of the DOE Secretary.

Consistent with DC2020-09-0018, all ESCO-related expenses including safety and health tests may be covered under the annual work plan.

Section 8. Fines and Penalties. As provided under Section 14 of DC2020-09-0018, the DOE may consider the following measures prior to the imposition of fines, penalties, and administrative liabilities for the responsible officers of ESCOs.

Section 9. Blacklisting. In addition to the revocation of the certificate issued to the Registered or Certified ESCO, EUMB may also blacklist the responsible officers which will prohibit them from securing certificates in the future for committing the prohibited acts as provided under Section 13 of DC2020-09-0018.

IV. OTHER PROVISIONS

Section 10. Registry. As provided under Section 12 of DC2020-09-0018, the EUMB shall provide a report on the compliance of ESCOs with the obligations on APAR, coordination and monitoring, and enforcement to the Department of Energy Secretary.

Section 11. Effectivity. This IG shall take effect fifteen (15) days following its publication in at least two (2) newspapers of general circulation or the Official Gazette. Copies of this IG shall be filed with the University of the Philippines Law Center – Office of the National Administrative Register.

Issued at Energy Center, Bonifacio Global City, Taguig City.


PATRICK T. AQUINO, CESO III
Director, Energy Utilization Management Bureau

07222





EUMB - EPMPD
Quality Management System
ANNUAL PROJECT ACCOMPLISHMENT
REPORT
(ANNEX A)

Doc Ref No.:	EUMB-EPMPD-ESCO MVE
Effective Date:	
Revision No.:	0
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ANNUAL PROJECT ACCOMPLISHMENT REPORT

GENERAL INFORMATION

Name of ESCO : _____
Address : _____
Total Number of Employees : _____ Male : _____ Female : _____
Telephone Nos. : _____
Fax No. : _____
E-mail address : _____
Website (if any) : _____

ESCO Function for : Select whichever is applicable

- Energy Supply and Management
- Energy Financing
- Technical Engineering and Consultancy
- Equipment Supply, Installation, Operation and Maintenance
- Others, Specify _____

- A. Completed Project/s *(Please see separate page/s)*
- B. On-going Project/s *(Please see separate page/s)*
- C. Planned Project/s *(Please see separate page/s)*



EUMB - EPMPD
Quality Management System
ANNUAL PROJECT ACCOMPLISHMENT
REPORT
(ANNEX A)

Doc Ref No.:	EUMB-EPMPD-ESCO MVE
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Assurances:

By signing this application form and this set of assurances, I hereby acknowledge the following conditions of the Energy Utilization Management Bureau (EUMB)/Energy Efficiency and Conservation Program Management and Technology Promotion Division (EPMPD) and agree to abide by them if this application is accredited.

1. I represent that the applicant is a business duly registered or licensed under the laws of the Philippines and intends to engage in the business of an Energy Service Company (ESCO) as regulated by Republic Act No. 11285 and its implementing rules and regulations. I further represent that as an ESCO, the applicant seeks to offer its clients services which may include one or more of the following activities energy supply and management, energy investment technical engineering expertise and consultancy, equipment supply, installation, operation, maintenance, and upgrade, and/or monitoring and verification of performance and savings.
2. I agree to submit complete reportorial requirement documents and to abide by the obligations of ESCO for monitoring.
3. I hereby authorized the EPMPD of DOE-EUMB to make direct inquiries to any person, firm, or organization named in the application to verify the information submitted herein.
4. I further agree that if we provide false or misleading information on our application form or otherwise fail to demonstrate that we have sufficient experience or qualifications to perform as an Energy Auditor, the EUMB-EPMPD has the right to suspend our accreditation from the Registration and completely drop from the role if we failed to provide or undertake corrective actions to the satisfaction of the EUMB-EPMPD.
5. I, the undersigned, hereby submit the reportorial requirements with EUMB-EPMPD and certify that, to the best of my knowledge, the particulars given in this submission and all accompanying documents/information are true and correct.

NAME : _____

SIGNATURE : _____

DATE : _____

A. COMPLETED PROJECT/S

No	Project Title	Customers' Information (Contact Number, Email Address)	Contract Period (MM/YYYY) to (MM/YYYY)	Funding Status (Funded or Not Yet Funded)	Estimated Project Cost (PHP)	Energy Efficiency Technologies	Energy Savings (kWh)	Job Generated	GHG Reduction (MTCO ₂ e)	Estimated ROI (in years)
1										
2										
3										
4										
5										
6										
7										
TOTAL										

(Continue on a separate sheet if necessary)

**Note: Provide details and profile of each project enumerated.*

Prepared by:

NAME : _____

SIGNATURE : _____

DATE : _____

B. ON-GOING PROJECT/S

No	Project Title	Customers' Information (Contact Number, Email Address)	Contract Period (MM/YYYY) to (MM/YYYY)	Funding Status (Funded or Not Yet Funded)	Estimated Project Cost (PHP)	Energy Efficiency Technologies	Energy Savings (kWh)		Job Generation	GHG Reduction (MTCO2e)	Estimated ROI (in years)
							Current	Upon Completion			
1											
2											
3											
4											
5											
6											
7											
TOTAL											

(Continue on a separate sheet if necessary)

**Note: Provide details and profile of each project enumerated.*

Prepared by:

NAME : _____

SIGNATURE : _____

DATE : _____

C. PLANNED PROJECT/S

No	Project Title	Customers' Information (Contact Number, Email Address)	Contract Period (MM/YYYY) to (MM/YYYY)	Funding Status (Funded or Not Yet Funded)	Estimated Project Cost (PHP)	Energy Efficiency Technologies	Potential Energy Savings (kWh)		Projected Job Generation	Projected GHG Reduction (MTCO2e)	Estimated ROI (in years)
							Current	Upon Completion			
1											
2											
3											
4											
5											
6											
7											
			TOTAL								

(Continue on a separate sheet if necessary)

**Note: Provide details and profile of each project enumerated.*

Prepared by:

NAME : _____

SIGNATURE : _____

DATE : _____



**EUMB - EPMPD
Quality Management System
SUBMISSION GUIDELINES
(ANNEX B)**

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SUBMISSION GUIDELINES

The documents pertaining to the submission of reportorial requirements can be accessed through https://bit.ly/DOE_IGESCOMVE.

All submissions, together with the required documents, should be submitted through e-mail esco@doe.gov.ph. Please take note that submissions made through other e-mail addresses will not be deemed official by the DOE.

For further guidance, the following documents should be included in the e-mail of the applicant:

1. Duly accomplished Annual Project Accomplishment Report under Annex A
(PDF format, File Name: "ESCOMVE_ESCO Name_APAR.pdf");
2. One (1) Copy of Project Profile each stated under Annex A*
(PDF format, File Name: "ESCOMVE_ESCO Name_ProjectProfile.pdf")

The Application e-mail should at least include the following contents:

<Date>

DIRECTOR

Energy Utilization Management Bureau (EUMB)
Department of Energy (DOE)
Energy Center, Rizal Drive
Bonifacio Global City, Taguig City

Subject: <ESCO Name> - Reportorial Requirements (e.g., **DOE – Reportorial Requirements**)

Dear Director:

Good day!

<ESCO Name> is hereby submitting its reportorial requirement for the obligation of an ESCO. The following documents are attached to this email for your reference:

1. Duly Accomplished Application Form (Annex A)
2. Project Profile each stated under Annex A

For your reference.

Thank you.

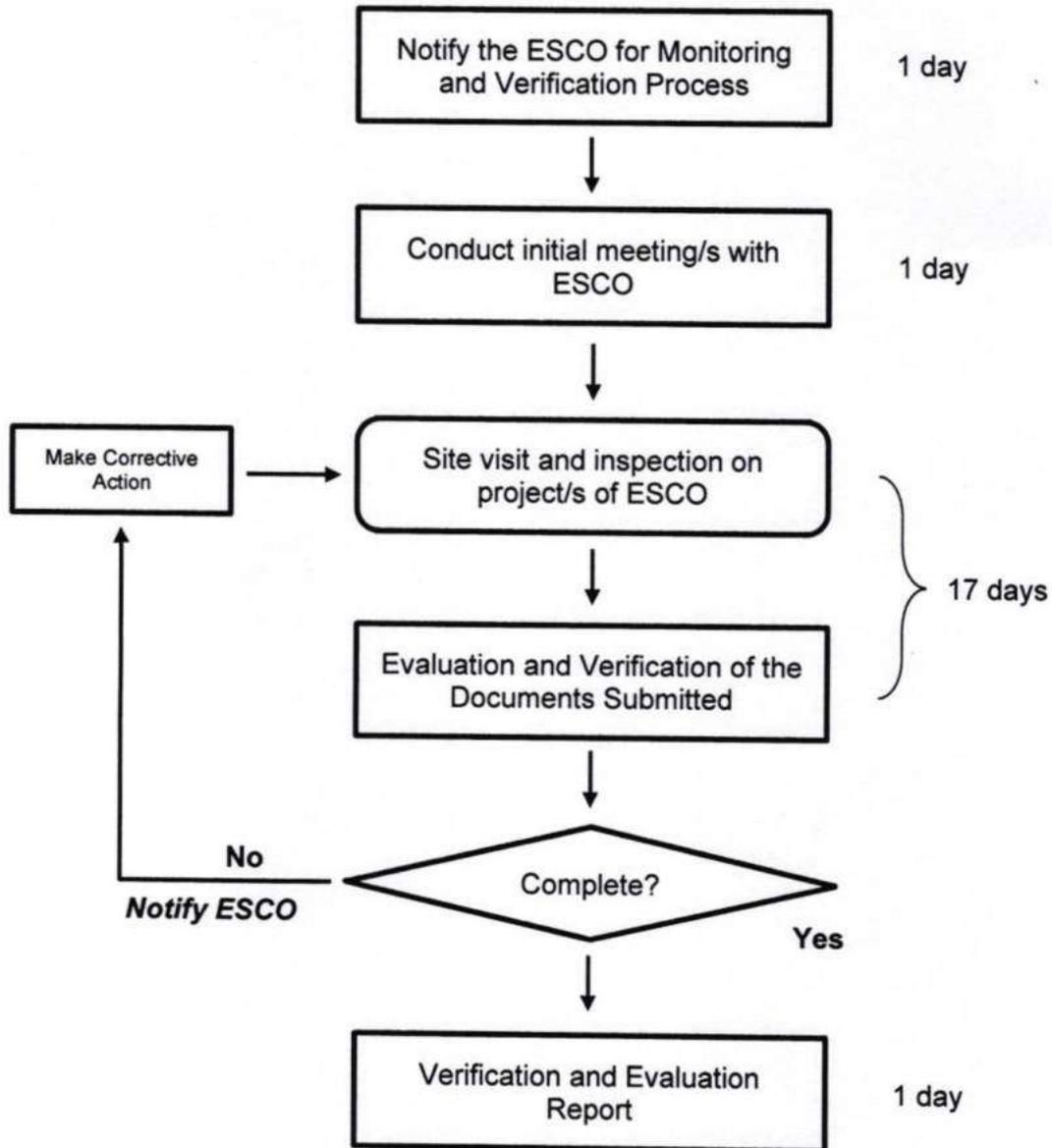
<Authorized Representative>
<Affiliation/Office/Company>
<Contact Detail>



EUMB - EPMPD
Quality Management System
MONITORING AND VERIFICATION
PROCESS
(ANNEX C)

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Monitoring and Verification Process



* Legend:

-  - Applicant
-  - DOE
-  - Decision

20 days

Note: Unless specified, days here pertains to working days.



EUMB - EPMPD
Quality Management System
SCHEDULE OF FINES AND PENALTIES
(ANNEX D)

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SCHEDULE OF FINES AND PENALTIES

Pursuant to Section 30 of the EEC Act, the following shall be the penalties provided for violations as provided under Section 14 of DC2020-09-0018.

Violation	Penalties and Fines (in PHP)		
	10,000.00 – 20,000.00	20,000.00 – 50,000.00	50,000.00 – 100,000.00
Failure to submit an annual report of their projects whether on-going or completed in the form prescribed by EUMB no later than 30 April of every year.	1 st Offense	2 nd Offense	3 rd Offense with Suspension/ Revocation of Certification and/or Blacklisting
Failure to provide support for coordination and monitoring by the EUMB for projects undertaken.	1 st Offense	2 nd Offense	3 rd Offense with Suspension/ Revocation of Certification and/or Blacklisting
Failure to subject themselves and their projects to Independent Verification.	1 st Offense	2 nd Offense	3 rd Offense with Suspension/ Revocation of Certification and/or Blacklisting
Failure to comply with such other requirements as may be required by the DOE for the attainment of the objectives of the EEC Act and EEC IRR.	1 st Offense	2 nd Offense	3 rd Offense with Suspension/ Revocation of Certification and/or Blacklisting
Failing to comply with the obligations under Sections 3, 4, and 5 of this Implementing Guidelines.	1 st Offense	2 nd Offense	3 rd Offense with Suspension/ Revocation of Certification and/or Blacklisting
Failure to provide accurate, information or the provision of false or misleading energy information as required under this Implementing Guidelines.	1 st Offense	2 nd Offense	3 rd Offense with Suspension/ Revocation of Certification and/or Blacklisting
Failure to comply with issued orders of the DOE.	1 st Offense	2 nd Offense	3 rd Offense with Suspension/ Revocation of Certification and/or Blacklisting