

2017 CGS_GOCCs								
Name of GOCC:		Civil Aviation Authority of the Philippines						
Sector:		Trade, Area Development and Tourism						
Date submitted:								
GRP	ITEM	QUESTION	GUIDING REFERENCE	ANS	SCORE	JUSTIFICATION	REFERENCE LINK	
I. Stakeholder Relationships (15%)								
I	1.a	Does the GOCC disclose a policy that: Stipulates the existence and scope of its effort to address customer's welfare?	GCG MC No. 2012-07 Chapter VII Sec. 35, Sec. 37	Y	1	Integrity and honesty in dealings with customers is necessary for a successful and sustained business relationship. The Corporation should operate a highly effective and efficient organization focused on meeting customer objectives with the aim of providing services which give fair and consistent quality, reliability and safety in return for the price paid for the same. The Corporation should operate policies of continuous improvement, of both processes and the skills of the staff to take best advantage of advances in all aspects of society in order to ensure that it continues to add value to its customer's businesses. page 18 of the Manual of Corporate Governance		
I	1.b	Does the GOCC disclose a policy that: Elaborates its efforts to interact with the communities in which they operate?	GCG MC No. 2012-07 Chapter VII	N	0	None disclosed		
I	1.c	Does the GOCC disclose a policy that: Ensure that its value chain is environmentally friendly or is consistent with promoting sustainable development?	GCG MC No. 2012-07 Chapter VII Sec. 40	Y	1	The Corporation should consider that there are inevitable environmental impacts associated with daily operations. It shall be the goal to minimize harmful effects and consider the development and implementation of environmental standards to achieve this to be of great importance. As such, the Corporation should strongly encourage 3 R's: "Reduce", "Reuse", and "Recycle". page 18 of the Manual of Corporate Governance		
I	2.a	Does the GOCC disclose the activities that it has undertaken to implement the abovementioned policies? (Customer health and safety)	GCG MC No. 2012-07 Chapter VII Sec. 35, Sec. 37	OECD Principle IV (A) & Global Reporting Initiative	N	0	The report should be explicit identified that these are employees of CAAP. Source: Office of the Flight Surgeon and Aviation Medicine Accomplishment Report for 2017	
I	2.b	Does the GOCC disclose the activities that it has undertaken to implement the abovementioned policies? (Interaction with the communities)	GCG MC No. 2012-07 Chapter VII Sec. 34	N	0	None disclosed		
I	2.c	Does the GOCC disclose the activities that it has undertaken to implement the abovementioned policies? (Environmentally-friendly value chain)	GCG MC No. 2012-07 Chapter VII Sec. 40	N	0	None disclosed		

I	3	Does the GOCC have a separate corporate social responsibility (CSR) report/section or sustainability report/section?	GCG MC No. 2012-07 Chapter VIII Sec. 41, Sec. 43.4.e		N	0	None disclosed	
I	4	Where stakeholder interests are protected by law, stakeholders should have the opportunity to obtain effective redress for violation of their rights. Does the GOCC provide contact details via the company's website or Annual Report which stakeholders (e.g. customers, suppliers, general public etc.) can use to voice their concerns and/or complaints for possible violation of their rights?		OECD Principle IV (B)	N	0	There is no specified for complaints and concerns: Temporary email of this authority is manila_caap@gmail.com CAAP Telephone Directory List of Airport Information (Updated Jan 2019) source: https://www.caap.gov.ph/?page_id=271	
I	5.a	Performance-enhancing mechanisms for employee participation should be permitted to develop. Does the GOCC explicitly mention the health, safety and welfare policy for its employees?	GCG MC No. 2012-07 Chapter VII Sec. 39	OECD Principle IV (C) Global Reporting Initiative: Sustainability Report	Y	1	The Corporation should aim to ensure a safe and healthy working environment for all its employees, outside contractors and visitors. The Corporation should comply with all relevant local legislation or regulations, and best practice guidelines recommended by national health and safety authorities. The staff should be informed regarding the policies and practices of the Corporation in order to maintain a healthy, safe and enjoyable environment. p 18 of the CG Manual	
I	5.b	Does the GOCC publish data relating to health, safety and welfare of its employees?			N	0	None disclosed	
I	5.c	Does the GOCC have training and development programmes for its employees?	GCG MC No. 2012-07 Chapter VII Sec. 36		N	0	The company only disclosed a Training Calendar source: https://www.caap.gov.ph/wp-content/uploads/2019/07/Trainings-2017.pdf	
I	5.d	Does the GOCC publish data on training and development programmes for its employees?			N	0	The company only disclosed a Training Calendar source: https://www.caap.gov.ph/wp-content/uploads/2019/07/Trainings-2017.pdf	
I	6.a	Stakeholders including individual employee and their representative bodies, should be able to freely communicate their concerns about illegal or unethical practices to the board and their rights should not be compromised for doing this. Does the GOCC have procedures for complaints by employees concerning illegal (including corruption) and unethical behavior?	GCG MC No. 2014-04	OECD Principle IV (E)	N	0	None disclosed	
I	6.b	Does the GOCC have procedures to protect an employee/person who reveals illegal/unethical behavior from retaliation?		OECD Principle IV (E)	N	0	None disclosed	

				Total Number of Applied Items	Total Score	3		
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II. Disclosure and Transparency (35%)								
II	7.a	Does the GOCC's annual report disclose the following items: Corporate objectives	R.A. No. 10149 Chapter V Sec. 25, GCG MC No. 2012-07 Chapter VIII Sec. 41	OECD Principle V (A) OECD Principle V € ICGN 2.4 Composition and structure of the board ICGN 2.4.1 Skills and experience ICGN 2.4.3 Independence ICGN 5.0 Remuneration ICGN 5.4 Transparency UK Corporate Governance Code (2010) CLSA-ACGA (2010) CG Watch 2010 - Appendix 2	N	0.00	No disclosure	
II	7.b	Does the GOCC's annual report disclose the following items: Financial performance indicators			N	0.00	No disclosure	
II	7.c	Does the GOCC's annual report disclose the following items: Non-financial performance indicators			N	0.00	No disclosure	
II	7.d	Does the GOCC's annual report disclose the following items: Details of whistle-blowing policy			N	0.00	No disclosure	
II	7.e	Does the GOCC's annual report disclose the following items: Biographical details (at least age, qualifications, date of first appointment, relevant experience, and any other directorships of listed companies) of directors/commissioners			N	0.00	The profile for board directors shall include if they hold position in other companies and date of first appointment	
II	7.f	Does the GOCC's annual report disclose the following items: Training and/or continuing education programme attended by each director/commissioner			N	0.00	No disclosure	
II	8	Are the annual reports downloadable from the GOCC's website?			N	0.00	https://www.caap.gov.ph/?page_id=1258	

II	9	Does the Annual Report contain a statement confirming the company's full compliance with the code of corporate governance and where there is non-compliance, identify and explain reasons for each such issue?		OECD PRINCIPLE V (A) (8)	N	0.00	No disclosure	
II	10.a	Are the audited annual financial report/statement released within 60 days upon receipt from COA?		OECD Principle V. Transparency and Disclosure, A. OECD Principle II. The State Acting as an Owner, F. (3)	N	0.00	No disclosure	
II	10.b	Is the annual report released within 90 days from release of audited financial report?			N	0.00	No disclosure	
II	10.c	Is the true and fairness/fair representation of the annual financial statement/reports affirmed by the board of directors/commissioners and/or the relevant officers of the company?	GCG MC No. 2012-07 Chapter VIII Sec. 42 (d)	OECD Principle V (C) OECD Principle V (E) OECD Principle V-(A). ICGN 7.2 Timely disclosure ICGN 7.3 Affirmation of financial statements	Y	2.50	https://www.caap.gov.ph/wp-content/uploads/2019/07/06-CAAP2017_Part1-Mgmt_Responsibility_for_FS.pdf	
				Total Number of Applied Items	Total Score	2.50		

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III. Board Responsibility (50%)									
III	11.a	Has the Board of Directors reviewed the vision and mission/strategy in the last financial year?	GCG MC No. 2012-06 Chapter III Sec. 27.1 (a)	OECD PRINCIPLE 6 (P58) ICGN:3.2 Integrity	N	0.00	No disclosure		
III	11.b	Does the Board of Directors monitor/oversee the implementation of the corporate strategy?	GCG MC No. 2012-06 Chapter III Sec. 27.1 (b)		N	0.00	No disclosure		
III	12	Did the GOCC achieve 90% in the PES?			N	0.00	No disclosure		
III	13.a	Are the details of the code of ethics or conduct disclosed?	GCG MC No. 2012-07 Chapter VIII Sec. 41	OECD PRINCIPLE VI	N	0.00	No disclosure		
III	13.b	Does the GOCC disclose that all Directors/Commissioners, senior management and employees are required to comply with the code?			N	0.00	No disclosure		
III	13.c	Does the company disclose how it implements and monitors compliance with the code of ethics or conduct?			N	0.00	No disclosure		
III	14	Does the Board appoint a Nomination Compensation / Remuneration Committee?	GCG MC No. 2012-07 Chapter III Sec. 16.2.4. RA No. 10149 Chapter IV Sec.23 GCG MC No. 2012-07 Chapter VIII. Sec. 41	OECD Principle II. The State Acting as an Owner, F. (2) ICGN Global Corporate Principles 5.0 Remuneration & 5.4 Transparency 2013 ASEAN Corporate Governance Scorecard E.2.10 & E.2.16 SEC MC No. 2. s. 2002 Sec. 9 (B)(b)	N	0.00	No disclosure		
III	15	Did the Nomination Compensation/Remuneration Committee meet at least twice during the year?			N	0.00	No disclosure		
III	16	If yes, is the report of the Nomination Compensation/Remuneration Committee publicly disclosed?			N	0.00	No disclosure		

III	17	Does the Board appoint an Audit Committee?	GCG MC No. 2012-07 Sec. 8 (j) GCG MC No. 2012-07 Chapter III Sec. 16.2.2 GCG MC No. 2012-07 Chapter VIII. Sec. 41	OECD Principle V. Transparency and Disclosure, B. 2013 ASEAN Corporate Governance Scorecard E.2.22 SEC MC NO.2 s. 2002 Sec. 9 (A)	N	0.00	No disclosure		
III	18	If yes, is the report of the Audit Committee publicly disclosed?			N	0.00	No disclosure		
III	19	Does at least one member of the Audit Committee have an audit, accounting or finance background (qualification or experience)?			N	0.00	No disclosure		
III	20	Did the Audit Committee meet at least four times during the year?			N	0.00	No disclosure		
III	21	Does the Board appoint a Risk Management Committee?	GCG MC No. 2012-07 Chapter III Sec. 16.2.5. GCG MC No. 2012-07 Chapter III Sec. 8 (b), (h)	OECD Principle VI D (6)	N	0.00	No disclosure		
III	22	If yes, is the report on Risk Management Committee publicly disclosed?			N	0.00	No disclosure		
III	23	Does at least one member of the Risk Management Committee have a background in finance and investments?	GCG MC No. 2012-07 Chapter III Sec. 16.2.5.		N	0.00	No disclosure		
III	24.a	Are the Board of Directors meetings scheduled at the beginning of the year? (end of Q1)			N	0.00	No disclosure		
III	24.b	Does the Board of Directors meet at least monthly?	GCG MC No. 2012-07 Sec. 8 (a)		N	0.00	No disclosure		
III	24.c	Did the Board of Directors meet on at least 75% on their scheduled meetings?		INDO SCORECARD	N	0.00	No disclosure		
III	24.d	Has each of the directors/commissioners attended at least 90% of all the board meetings held during the year?		OECD PRINCIPLE VI (E)	N	0.00	No disclosure		
III	24.e	Did the Board of Directors meet separately at least once during the year without the President/CEO present?		WORLD BANK PRINCIPLE 6	N	0.00	No disclosure		
III	25.a	Does the GOCC have a policy that stipulates board papers for Board of Directors/Commissioners meetings be provided to the Board at least three (3) working days in advance of the board meeting?			N	0.00	No disclosure		

III	25.b	Is the Board Secretary trained in legal, accountancy or company secretarial practices?			Y	1.00	Atty. Roberto Martin S. Buenaventura Corporate Secretary/Actg. Chief Business Development source: https://www.caap.gov.ph/wp-content/uploads/2019/07/UPDATED-ORG-CHART-2019.pdf		
III	26.a	Does the company have a separate internal audit function?	GCG MC No. 20120-07 Chapter III Sec. 16.1, 16.2.2. (a) & (d)	OECD PRINCIPLE VI (D)	N	0.00	Mr. Raul P. Eusebio Officer In Charge, Internal Audit Service source: https://www.caap.gov.ph/wp-content/uploads/2019/07/UPDATED-ORG-CHART-2019.pdf		
III	26.b	Does the appointment and removal of the internal auditor require the approval of the Audit Committee?		OECD PRINCIPLE VI (D) (7) WORLD BANK PRINCIPLE 6 ASX Principles on CG	N	0.00	No disclosure		
III	27.a	Does the company disclose the internal control procedures/risk management systems it has in place?		OECD PRINCIPLE 6 (VI) (D) (7)	N	0.00	No disclosure		
III	27.b	Does the Annual Report disclose that the board of directors/commissioners has conducted a review of the company's material controls (including operational, financial and compliance controls) and risk management systems?		UK CODE (JUNE 2010)	N	0.00	No disclosure		
III	27.c	Does the company disclose how key risks are managed?		OECD PRINCIPLE V (A)	N	0.00	No disclosure		
III	27.d	Does the Annual Report contain a statement from the Board of Directors or Audit Committee commenting on the adequacy of the GOCC's internal controls/risk management systems?			N	0.00	No disclosure		
III	28	Do different persons assume the roles of Chairman and CEO?		OECD PRINCIPLE VI ICGN: 2.5 Role of the Chair	N	0.00	No disclosure		
III	29.a	Does the GOCC have orientation programs for new Directors?	R.A. No. 10149 Sec. 16, GCG MC No. 2012-05 Art. 5 (f)		N	0.00	No disclosure		
III	29.b	Does the GOCC have a policy that encourages Directors/Commissioners to attend on-going or continuous professional education programs?		OECD PRINCIPLE VI (E)	N	0.00	No disclosure		
III	29.c	Did all Appointive Directors attend at least 1 training for the calendar year?			N	0.00	No disclosure		
III	30.a	Is an annual performance assessment conducted of the Board of Directors?	GCG MC No. 2012-07 Chapter III Sec. 17	OECD Principle VI. The Responsibilities of the Boards of State-Owned Enterprises, F.	N	0.00	No disclosure		

III	30.b	Does the GOCC disclose the process followed in conducting the Board assessment?			N	0.00	No disclosure		
III	30.c	Does the GOCC disclose the criteria used in the Board assessment?			N	0.00	No disclosure		
III	31	Is an annual performance assessment conducted of the Board of Directors Committees?		UK CODE (JUNE 2010)	N	0.00	No disclosure		
				Total No. of Applied Items	Total Score	1.00			

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IV. Bonus								
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IV	1 Stakeholder Relationship	Does the GOCC practice Global Reporting Index (GRI) on its annual reports?		International <IR> Framework - DRAFT ,IIRC Council Item 3b Meeting of 5 December 2013 *Assessment Guide: GRI	N	0	No disclosure found	
IV	2 Timely release of annual financial report	Is the audited annual financial report/statement released within 30 days upon receipt from COA?		OECD Principle V (C) OECD Principle V (E) ICGN 7.2 Timely disclosure ICGN 7.3 Affirmation of	N	0	No disclosure found	
				Total No. of Applied Items	Total Score	0		
V. Penalty								
V	1 Responsibilities of the Board	Are there members of the Board of Directors who hold more than five (5) positions in GOCCs and PLCs?			N	0	No disclosure found	
V	2 Responsibilities of the Board	Is there non-compliance with Good Governance Conditions?			N	0	No disclosure found	
				Total No. of Applied Items	Total Score	0		

Civil Aviation Authority of the Philippines

	CORPORATE GOVERNANCE SCORECARD	No. of Applied Items	SCORE	WEIGHT
I	Stakeholder Relationships (15%)	3	3.00	15.00%
II	Disclosure and Transparency (35%)	1	2.50	35.00%
III	Responsibilities of the Board (50%)	1	1.00	50.00%
	Bonus	0	0.00	
	Penalty	0	0.00	
		5	6.50	100.00%