

CORPORATE GOVERNANCE SCORECARD REPORT A											ANNEX B	
Name of GOCC: Civil Aviation Authority of the Philippines												
Sector: Utilities and Information-Communication												
Date submitted: 30-Mar-23												
Year being assessed: 2022												
COMPONENT				GOCC SUBMISSION				GCG VALIDATION				
GRP	ITEM	QUESTION	ANS	GUIDE	COMPLIANCE	ANS	REFERENCE LINK/SUPPORTING DOCUMENTS	ANS	Comments	Score	Applied Items	
I. Stakeholder Relationship												
I	1.a	Does the GOCC disclose a policy that: Stipulates the existence and scope of its effort to address customer's welfare?	Y	<i>The GOCC must 1.) identify its stakeholders and 2.) state the policies that were created for the welfare of its customers.</i> <i>The stated policies must not be ambiguous and should include their underlying principles and guidelines.</i>	Section 37: Customers- 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 gave 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 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 customers' business	Y	https://caap.gov.ph/code-of-corporate-governance/ https://drive.google.com/file/d/1RPevkksFo4Y_D9XepwU2ygehQD2jZ2/view?usp=sharing e-link	Y	https://caap.gov.ph/wp-content/uploads/2021/05/The-Civil-Aviation-Authority-of-the-Philippines-Code-of-Corporate-Governance-Signed.pdf p 17 and p 18 of Code of Corporate Governance (Section 35 and Section 37-disclosed by the GOCC in the submission) Section 35: Formal Recognition of the Stakeholders-The Board, as an integral part of its Charter Statement and embodied in its Manual of Corporate Governance, identify and formally recognize the Corporation's major and other Stakeholders, identify the nature of their interests, provide a hierarchy system of their conflicting interest in the Corporation, and providing a clear policy on communicating or relating with Stakeholders accurately, effectively and sufficiently, together with a system of properly rendering an accounting on how the Corporation has served their legitimate interests.	1.00	1	
I	1.b	Does the GOCC disclose a policy that: Elaborates its efforts to interact with the communities in which they operate?	Y	<i>The GOCC must clearly identify its policy on interacting with the communities around it.</i> <i>The identified policy must not be ambiguous and should include its principles and guidelines.</i>	Section 34:As an integral part of the National Government, the Corporation inherently mandated to be socially responsible, to act and operate as good corporate citizens. The Governing Board shall recognize and perform the obligations of the Corporation to the National Government, as well as the minority stakeholders when existing together with employees, suppliers, customers and the communities in which it operates.	Y	https://caap.gov.ph/code-of-corporate-governance/	Y	Disclosure found: https://caap.gov.ph/wp-content/uploads/2021/05/The-Civil-Aviation-Authority-of-the-Philippines-Code-of-Corporate-Governance-Signed.pdf	1.00	1	
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?	Y	<i>The GOCC must clearly identify its policy on 1) keeping its value chain environmentally friendly or 2) promoting sustainable development.</i> <i>The identified policy must not only show how the GOCC complies with existing environmental regulations but should also show how it employs value processes that reduce waste and damage to the environment. The policy should also not be ambiguous and should include its principles and guidelines.</i>	Section 40. 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. As such, the Corporation should strongly encourage Reduce, Recycle and Reuse	Y	https://caap.gov.ph/code-of-corporate-governance/	Y	Disclosure found: https://caap.gov.ph/wp-content/uploads/2021/05/The-Civil-Aviation-Authority-of-the-Philippines-Code-of-Corporate-Governance-Signed.pdf	1.00	1	
I	2.a	Does the GOCC disclose the activities that it has undertaken to implement the abovementioned policies? (Customer health and safety)	Y	<i>The GOCC must state the activities it has undergone during the year being assessed to implement its policies on customer health and safety.</i> <i>The GOCC must state the dates when the aforementioned activities took place.</i>		N		N	No disclosure found	0.00	0	
I	2.b	Does the GOCC disclose the activities that it has undertaken to implement the abovementioned policies? (Interaction with the communities)	Y	<i>The GOCC must state the activities it has undergone during the year being assessed to implement its policies on community interaction.</i> <i>The GOCC must state the dates when the aforementioned activities took place.</i>		N		N	No disclosure found	0.00	0	
I	2.c	Does the GOCC disclose the activities that it has undertaken to implement the abovementioned policies? (Environmentally-friendly value chain)	Y	<i>The GOCC must state the activities it has undergone during the year being assessed to implement its policies on promoting sustainable development and/or environmentally-friendly value chain.</i> <i>The GOCC must state the dates when the aforementioned activities took place.</i>		N		N	No disclosure found	0.00	0	
I	3	Does the GOCC have a separate corporate social responsibility (CSR) report/section or sustainability report/section?	Y	<i>The GOCC must identify both (1) the social and environmental issues of its stakeholders and (2) the activities it undertook to address the said issues during the year being assessed.</i> <i>No points will be given if only the stakeholders and their CSR issues are identified.</i>		N		N	No disclosure found	0.00	0	

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?	Y	The GOCC must have contact details (phone number or email address) specifically for concerns and/or complaints.	Complaints lodged via official public complaints platforms were responded accordingly and in consonance with the regulations of the Anti-Red Tape Act.	Y	https://drive.google.com/file/d/1RPgldgFo4Y_D9XezdU9yghODD2jz0/view?usp=share_link https://caap.gov.ph/citizens-charter/	N	https://caap.gov.ph/wp-content/uploads/2022/04/CAAP-Citizens-Charter-2022-1st-Edition.pdf https://caap.gov.ph/wp-content/uploads/2022/04/CAAP-Citizens-Charter-2022-1st-Edition.pdf The only contact numbers indicated are the general contact details not the GOCC's own dedicated phone number or e-mail address for addressing concerns and/or complaints.: Anti-Red Tape Authority (ARTA): complaints@arta.gov.ph 8-478-5093 Presidential Complaint Center (PCC): pcc@malacanang.gov.ph 8888 Contact Center ng Bayan (CCB): email@contactcenterngbayan.gov.ph 0906-881-6565	0.00	0
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?	Y	The GOCC must clearly identify its policy on employee health, welfare and safety. The identified policy must not be ambiguous and should include its principles and guidelines.	The Corporation should aim to ensure a safe and healthy working environment for all of 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 policies and practices of the Corporation in order to maintain a healthy, safe and enjoyable environment.	Y	https://drive.google.com/drive/folders/1nw4gYYN46H80cdnMuJS05xTqJGefnV7usp=share_link	Y	Disclosure found in the link provided	1.00	1
I	5.b	Does the GOCC publish data relating to health, safety and welfare of its employees?	Y	The GOCC must publish data related to health, safety and welfare of its employees such as, but not limited to, absenteeism and occupational injuries/diseases.	Employees were advised to follow safety protocols. They were encouraged to get vaccinated and have booster shots to avoid the spread of the virus in the workplace. Further, an Infection Prevention and Control Committee was formed to develop comprehensive health and safety policies and standards in the workplace to minimize the risk of spread of infectious diseases and corrective measures based on the guidelines and recommendations of DOH and IATF.	Y	https://drive.google.com/drive/folders/1enQe4dGCVvalTr1rJS8tvggNFKDJW7usp=share_link	Y	Disclosure found in the link provided	1.00	1
I	5.c	Does the GOCC have training and development programmes for its employees?	Y	The training and development programs for employees must have occurred during the year being assessed and there should be a brief description describing each of the programs.	CAAP employees have attended several trainings for 2022. Online platforms were used efficiently. Health and safety protocols were observed for trainings that require physical attendance from the employees.	Y	https://drive.google.com/drive/folders/1YYX5-SUwOxb0ePYSoPdQ-p9g49hzlB2?usp=share_link	N	The GOCC's submission is for Calendar Year 2023. Disclosure regarding 2022 trainings and development programs for employees is not found in the website nor in the annual accomplishment report.	0.00	0
I	5.d	Does the GOCC publish data on training and development programs for its employees?	Y	The GOCC must give the name of the program and either the 1.) number of participants per program or 2.) average hours per training held	CAAP employees have attended several trainings for 2022. Online platforms were used efficiently. Health and safety protocols were observed for trainings that require physical attendance from the employees.	Y	https://drive.google.com/drive/folders/1h5M496UJ-7w6vts7pQc2VJhN87pQr7usp=share_link	N	The GOCC's submission is for Calendar Year 2023. Disclosure regarding 2022 trainings and development programs for employees is not found in the website nor in the annual accomplishment report.	0.00	0
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?	Y	The GOCC must disclose the actual procedures of their whistleblowing policy for their employees or grievance machinery. Merely stating that they have a policy will not suffice.		N		N	No disclosure found	0.00	0
I	6.b	Does the GOCC have procedures to protect an employee/person who reveals illegal/unethical behavior from retaliation?	Y	The GOCC should explicitly disclose the procedures/mechanism in place that protects the whistleblower from retaliation.		N		N	No disclosure found	0.00	0
										5.00	5
COMPONENT					GOCC SUBMISSION			GCC VALIDATION			
GRP	ITEM	QUESTION	ANS	GUIDE	COMPLIANCE	ANS	REFERENCE LINK/SUPPORTING DOCUMENTS	ANS	Comments	Score	Applied Items
II. Disclosure and Transparency											
II	7.a	Does the GOCC's website disclose the following items: Corporate objectives	Y	The GOCC's corporate objectives must be specific, measurable, achievable, realistic and timely. Showing the GOCC's performance scorecard will also be given points.	CAAP Corporate Objectives include measures on Standard Aviation Safety and Security, Reliable Service to Stakeholders, improved Financial Viability, Established Quality Management System, Safe and Efficient Management of Airspace, and Enhanced Personnel Effectivity and Productivity.	Y	https://caap.gov.ph/wp-content/uploads/2023/02/CAAP-2022-Performance-Scorecard-Monitoring-Report-1.pdf https://caap.gov.ph/performance-scorecards/	Y	Disclosure found in the link provided	4.00	1
II	7.b	Does the GOCC's website disclose the following items: Financial performance indicators	Y	Apart from declaring the financial performance indicators in the annual report and audited financial statements, declaring the financial strategic measures in the GOCC's performance scorecard will also merit points.	The CAAP financial strategic measures and performance may be viewed in the Performance Scorecards and Annual Accomplishment Reports in the links provided.	Y	https://caap.gov.ph/wp-content/uploads/2023/02/CAAP-2022-Performance-Scorecard-Monitoring-Report-1.pdf https://caap.gov.ph/2022-accomplishment-reports/	Y	Disclosure found in the link provided	4.00	1

II	7.c	Does the GOCC's website disclose the following items: Non-financial performance indicators	Y	Apart from declaring the non-financial performance indicators in the annual report and accomplishment reports, declaring the non-financial strategic measures in the GOCC's performance scorecard will also merit points.	Non-financial strategic measures include Standard Aviation Safety and Security, Reliable Service to Stakeholders, Established Quality Management System, Safe and Efficient Management of Airspace, and Enhanced Personnel Effectivity and Productivity.	Y	https://caap.gov.ph/wp-content/uploads/2023/02/CAAP-2022-Performance-Scorecard-Monitoring-Report-1.pdf https://caap.gov.ph/performance-scorecards/	Y	Disclosure found in the link provided	4.00	1
II	7.d	Does the GOCC's website disclose the following items: Details of whistle-blowing policy	Y	The GOCC must disclose the actual procedures of their whistleblowing policy for their stakeholders. Merely stating that they have a whistleblowing policy will not suffice.		N		N	No disclosure found	0.00	0
II	7.e	Does the GOCC's website 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	Y	All of the biographical details of ex officio and appointive directors being asked by the item must be provided, otherwise no point will be given should there be a missing detail.	The CAAP Board of Directors' biographical details and profiles are posted on the official website.	Y	https://caap.gov.ph/caap-board-of-directors-2022/	N	Incomplete details: There's no indicated age of CAAP's Board of Directors	0.00	0
II	7.f	Does the GOCC's website disclose the following items: Training and/or continuing education programme attended by each director/commissioner	Y	All the trainings of Appointive Directors up until the year being assessed must be disclosed. If the Appointive Director did not attend a meeting on the year being assessed, a statement regarding his lack of training must be made in order to garner points for this item.		N		N	No disclosure found	0.00	0
II	9	Does the GOCC's website 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?	Y	The GOCC must state that it fully complies with the code of corporate governance and if there is non-compliance, it must explain the reason for the non-compliance. Merely stating that the GOC "generally complies" with the code of corporate governance will not be taken as full compliance and will not garner any points		N		N	No disclosure found	0.00	0
Total Score										12.00	3
COMPONENT					GOCC SUBMISSION			GCG VALIDATION			
GRP	ITEM	QUESTION	ANS	GUIDE	COMPLIANCE	ANS	REFERENCE LINK/SUPPORTING DOCUMENTS	ANS	REMARKS	Score	Applied Items
III. Board Responsibility											
III	11.a	Has the Board of Directors reviewed the vision and mission/ strategy in the last financial year?	Y	The GOCC must disclose that the Board has reviewed the mission, vision and strategy during the year being assessed. The date of review must also be indicated. Merely stating the GOCC's mission, vision and strategy, and posting documents (strategy map and scorecard) will not be given points.		N		N	No disclosure found	0.00	0
III	11.b	Does the Board of Directors monitor/oversee the implementation of the corporate strategy?	Y	There should be a disclosure on how the Board oversees the implementation of the corporate strategy.		N		N	No disclosure found	0.00	0
III	13.a	Are the details of the code of ethics or conduct disclosed?	Y	The details of the Code of Ethics or Conduct must be disclosed. Merely stating that the GOCC has a Code of Ethics without divulging information on the coverage of the Code or how breaches are handled will not suffice.	RA 6713 is an act establishing the Code of Conduct and Ethical Standards for Public Official and Employees, to uphold the time-honored principle of public office being a public trust, granting incentives and rewards for exemplary service, enumerating prohibited acts and transactions and providing penalties for violations thereof and for other purposes. RA 6713 is part of the lectures for the New Employees Orientation Program (NEOP) of CAAP. This training is attended by new employees to familiarize them with the rules and ethical standards of being a public servant.	Y	https://drive.google.com/drive/folders/1Lc0wb-2j3XevBNG3aMdSjeRa02KjWVg?usp=share_link	Y	Disclosure found in the link provided	1.00	1
III	13.b	Does the GOCC disclose that all Directors/Commissioners, senior management and employees are required to comply with the code?	Y	It must be explicitly stated that all the Directors, senior management and the employees are required to comply with the Code. If the Code is only for employees, the item will be marked as "N."		N		N	No disclosure found	0.00	0
III	13.c	Does the company disclose how it implements and monitors compliance with the code of ethics or conduct?	Y	Examples of activities done in order to implement or monitor compliance with the Code of Ethics/Conduct are: communicating the code to all existing and new employees and directors - making the code available on the company intranet for ease of access - requiring all parties to declare annually that they have complied with the code of ethics or conduct		N		N	No disclosure found	0.00	0
III	14	Does the Board appoint a Nomination Compensation / Remuneration Committee?	Y	The GOCC must disclose the names of all of the members of its Nomination, Compensation / Remuneration Committee during the year being assessed. Merely stating the name of the office/agency of the Ex Officio Member will not suffice and will not garner any points.		N		N	No disclosure found	0.00	0
III	15	Did the Nomination Compensation/Remuneration Committee meet at least twice during the year?	Y	The GOCC must publish the meeting attendance records during the year being assessed.		N		N	No disclosure found	0.00	0

III	16	If yes, is the report of the Nomination Compensation/Remuneration Committee publicly disclosed?	Y	The GOCC must publish an accomplishment report of the committee and/or minutes of the meetings held.			N	No disclosure found	0.00	0	
III	17	Does the Board appoint an Audit Committee?	Y	The GOCC must disclose the names of all of the members of its Audit Committee during the year being assessed. Merely stating the name of the office/agency of the Ex Officio Member will not suffice and will not garner any points.	N		N	No disclosure found	0.00	0	
III	18	If yes, is the report of the Audit Committee publicly disclosed?	Y	The GOCC must publish an accomplishment report of the committee and/or minutes of the meetings held.	N		N	No disclosure found	0.00	0	
III	19	Does at least one member of the Audit Committee have an audit, accounting or finance background (qualification or experience)?	Y	The educational qualifications and/or work experience of the Audit Committee Members should be disclosed. At least one of the Audit Committee Members must have an audit, accounting or finance educational or work background in order to garner points for this item.	N		N	No disclosure found	0.00	0	
III	20	Did the Audit Committee meet at least four times during the year?	Y	The GOCC must disclose all the audit committee meetings held during the year being assessed.	N		N	No disclosure found	0.00	0	
III	21	Does the Board appoint a Risk Management Committee?	Y	The GOCC must disclose the names of all of the members of its Risk Management Committee during the year being assessed. Merely stating the name of the office/agency of the Ex Officio Member will not suffice and will not garner any points.	N		N	No disclosure found	0.00	0	
III	22	If yes, is the report on Risk Management Committee publicly disclosed?	Y	The GOCC must publish an accomplishment report of the committee and/or minutes of the meetings held.	N		N	No disclosure found	0.00	0	
III	23	Does at least one member of the Risk Management Committee have a background in finance and investments?	Y	The educational qualifications and/or work experience of the Risk Management Committee Members should be disclosed. At least one of the Risk Management Committee Members must have an investment and finance educational or work background in order to garner points for this item.	N		N	No disclosure found	0.00	0	
III	24.a	Are the Board of Directors meetings scheduled at the beginning of the year? (end of Q1)	Y	The GOCC must explicitly disclose that the meetings held on the year being assessed were scheduled well in advance and when they were scheduled.	N		N	No disclosure found	0.00	0	
III	24.b	Does the Board of Directors meet at least monthly?	Y	The GOCC must show its attendance records that there were monthly meetings held.	There were no Board meetings conducted for the months of May to July due to the change in administration.	N	N/A	N/A was given as a consideration since there were no Board meetings conducted for the months of May to July due to the change in administration	0.00	0	
III	24.c	Did the Board of Directors meet on at least 75% on their scheduled meetings?	Y	In order to garner points for this item, the GOCC must be able to first prove that meetings were scheduled in advance (Q. 24.a.) After which, a schedule of actual meetings held must be shown to prove that the Board met on at least 75% of their scheduled meetings.	The CAAP Board of Directors met for ten (10) times to conduct Board Meetings in 2022.	Y	https://drive.google.com/drive/folders/1DYwRd8ntVWDVn2Qclbu3WrsZUu1WWGJ7usp=share_link	N	Unable to verify actual vs scheduled meetings since there is no disclosure for 24.a on meetings scheduled at the beginning of the year	0.00	0
III	24.d	Has each of the directors/commissioners attended at least 90% of all the board meetings held during the year?	Y	All of the attendance of Appointive and Ex Officio/Alternate Directors must be considered and all of them should have attended at least 90% of the board meetings held during the year in order to garner points for this item.	N		N	No disclosure found	0.00	0	
III	24.e	Did the Board of Directors meet separately at least once during the year without the President/CEO present?	Y	The GOCC must explicitly state a meeting held on a specific date wherein the Board met without the President/CEO present.	All Board Meetings for CY 2022 were attended by the President/CEO/Director General.	N	https://drive.google.com/drive/folders/1DYwRd8ntVWDVn2Qclbu3WrsZUu1WWGJ7usp=share_link	N	The GOCC disclosed that all Board Meetings for CY 2022 were attended by the President/CEO/Director General.	0.00	0
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?	Y	The GOCC must clearly disclose that the Board was provided with the board papers for the upcoming meeting at least 3 working days in advance of the said meeting.	N		N	No disclosure found	0.00	0	
III	25.b	Is the Board Secretary trained in legal, accountancy or company secretarial practices?	Y	The GOCC should disclose the educational and work background of the Corporate Secretary. In order to garner points for this item, there should be proof that the Corporate Secretary has legal, accountancy or secretarial educational/work background.	Attached is the Curriculum Vitae of the former Corporate Board Secretary, Atty. Roberto Martin S. Buenaventura.	Y	https://docs.google.com/document/d/1caA1HnLrMEW_bABn6e1ZxLr7wAUEAVjgdi7uap/share_link&ouid=1044115504162449043827&tpof=trun&edit=run	Y	Disclosure found in the link provided	1.00	1
III	26.a	Does the company have a separate internal audit function?	Y	There should be a clear showing that there is a separate internal audit function in the GOCC, whether it be a singular internal auditor, an entire internal audit department or an external firm. If it is a secondary function of an existing staff or department, the GOCC will not garner points for this item.	The Internal Audit Service (IAS) performs the internal audit function.	Y	https://caap.gov.ph/caap-services-and-offices/	Y	Internal Audit Service (IAS)-composed of Operations Audit Division and Financial Audit Division Disclosure is also found in: https://caap.gov.ph/organizational-chart/	1.50	1
III	26.b	Does the appointment and removal of the internal auditor require the recommendation of the Audit Committee?	Y	The GOCC should explicitly state that the appointment and removal of the internal auditor require the approval of the Audit Committee. Should the charter of the GOCC provide for another mode of appointment/removal of the internal auditor, this should also be stated in order for the assessors to consider such issue.	N		N	No disclosure found	0.00	0	
III	27.a	Does the company disclose the internal control procedures/risk management systems it has in place?	Y	The GOCC must name all the key internal control procedures and its risk management system. There should also be an assignment of responsibilities in order to garner points for this item.	The Authority has published the CAAP Quality Management System Manual as basis of each offices' Operations Manual. Possible risks and how it shall be managed are part of the manuals.	Y	https://drive.google.com/filed/1YzqF1Cn7ORK2slH9tqNEIm8Xmb_ZDS/view?usp=share_link	N	No website disclosure on QMS manual. In order for this item to be marked as "Y", there must be a disclosure that includes a description of key internal controls and assignment of responsibilities and accountabilities. All operational, financial, and other risks and its compliance controls must be disclosed.	0.00	0

[illegible]

[illegible]

Civil Aviation Authority of the Philippines

	CORPORATE GOVERNANCE SCORECARD	No. of Applied Items	SCORE	WEIGHT
I	Stakeholder Relationships (15%)	5	5.00	15.00%
II	Disclosure and Transparency (35%)	4	14.50	35.00%
III	Responsibilities of the Board (50%)	4	4.50	50.00%
	Bonus	0	0.00	
	Penalty	0	0.00	
		13	24.00	100.00%

Items rated N/A	Total points of N/A items
24.b	1.5

Final CGS Score	24.37
Final CGS Rating Equivalent	Below Average