

2017 CGS_GOCCs							
Name of GOCC:		Philippine Ports Authority					
Sector:		Utilities and Communication					
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	CG Manual, Section 37 discloses the customer's welfare policy.	pg.20/29 of the CG Manual http://www.ppa.com.ph/sites/default/files/transparency_docs/corporate_governance.pdf
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 Sec. 34	Y	1	Disclosed in Section 38. CSR Principles in the CG Manual	pg.20/29 of the CG Manual http://www.ppa.com.ph/sites/default/files/transparency_docs/corporate_governance.pdf
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	Disclosed in PPA Memorandum Circular No.11-2015	http://www.ppa.com.ph/sites/default/files/cgs_files/PPA%20Memorandum%20Circular%20No.%2011-2015_Port%20Safety%20Health%20and%20Environmental%20Management%20Systems%20(PSHEMS)%20Project%20on%20the%20Port%20of%20Batangas.pdf
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	Y	1	OECD Principle IV (A) & Global Reporting Initiative Conduct of various seminars and trainings on Anti-Bullying Act (R.A. 10627), Solo Parents Welfare Act (R.A. 8972), laws related to handling/ reporting of violence against women and children (VAWC) incidents, positive work attitude, women economic empowerment, Magna Carta for Disabled, women empowerment through social entrepreneurship, HIV/AIDS STDs/STIs, trafficking in persons (TIP) detection and handling using TIP protocols, among others	pg.36/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf

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		Y	1	<p>Employment Generation/ Poverty Alleviation Program</p> <p>In 2017, we provided temporary employment to 1,391 individuals in our communities under various infrastructure projects.</p> <p>This is in line with the Department of Labor and Employment (DOLE) Community-Based Employment Program (CBEP), more popularly known as the Kabuhayan Program, which provides employment to skilled, semi-skilled, and low-skilled workers in the community through infrastructure development and other government projects.</p> <p>We have been participating in the program since 2010.</p>	pg.35/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
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		Y	1	PPA Welcomes Renewable Energy. Details are disclosed in the Annual Report.	pg.37/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
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		Y	1	Sustainability, Environment, and People	pg.27/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
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)	Y	1	Disclosed in Feedback and Redress Mechanism.	http://www.ppa.com.ph/?q=content/ppa-citizens-charter
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	Disclosed in Section 39. Item 3.	pg.22/29 of the CG Manual http://www.ppa.com.ph/sites/default/files/transparency_docs/corporate_governance.pdf

I	5.b	Does the GOCC publish data relating to health, safety and welfare of its employees?			N	0	No disclosure found.	
I	5.c	Does the GOCC have training and development programmes for its employees?	GCG MC No. 2012-07 Chapter VII Sec. 36		Y	1	The PPA Training Institute continues to develop and implement training programs to improve port efficiency. In 2017, we conducted 29 courses on safety, environment, management, operation, and maintenance. These benefited 648 non-organic and 18 organic employees.	pg.34-35/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
I	5.d	Does the GOCC publish data on training and development programmes for its employees?			Y	1	http://www.ppa.com.ph/sites/default/files/cgs_files/PPA_CY2016-2017_capacity-building%20data.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)	Y	1.5	Disclosed in the Whistleblowing policy.	http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_whistleblowing.pdf
I	6.b	Does the GOCC have procedures to protect an employee/person who reveals illegal/unethical behavior from retaliation?		OECD Principle IV (E)	Y	1.5	Disclosed in Section 9 of the Whistleblowing Policy.	http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_whistleblowing.pdf
				Total Number of Applied Items	Total Score	14		

2017 CGS_GOCCs								
Name of GOCC		Philippine Ports Authority						
Sector:		Utilities and Communication						
Date submitted:		0						
GRP	ITEM	QUESTION	GUIDING REFERENCE		ANS	SCORE	JUSTIFICATION	REFERENCE LINK
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	Y	4.00	Performance Scorecard for 2017 source: http://www.ppa.com.ph/sites/default/files/transparency_docs/2017%20Performance%20Scorecard%20Accomplishment.pdf	
II	7.b	Does the GOCC's annual report disclose the following items: Financial performance indicators			Y	4.00	Financial Indicators are disclosed in the Annual Report.	pg.5/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
II	7.c	Does the GOCC's annual report disclose the following items: Non-financial performance indicators			Y	4.00	Also notable is the surge in the volume of passengers—from almost 69 million in 2016 to a little more than 72 million, a difference of 3,376,865 passengers or 4.90%.	pg.8/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
II	7.d	Does the GOCC's annual report disclose the following items: Details of whistle-blowing policy			Y	4.00	Whistleblowing Policy source: http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_whistleblowing.pdf	
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	Profiles of the Board of directors are not disclosed in the Annual Report.	
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 found for the training attendance of Board in the Annual Report.	

II	8	Are the annual reports downloadable from the GOCC's website?			Y	2.00	Downloadable in the Transparency Seal.	http://www.ppa.com.ph/content/transparency-seal
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 found.	
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)	Y	2.50	*Date Received From COA June 29, 2018 *Date Posted July 10, 2018	http://www.ppa.com.ph/content/transparency-seal
II	10.b	Is the annual report released within 90 days from release of audited financial report?			N	0.00	No disclosure found for the date of upload of the Annual Report.	http://www.ppa.com.ph/content/transparency-seal
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	Disclosed in the Annual Report	pg.51/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
				Total Number of Applied Items	Total Score	23.00		

Name of GOCC:	Philippine Ports Authority						
Sector:	Utilities and Communication						
Date submitted:	0						
GRP	ITEM	QUESTION	GUIDING REFERENCE	ANS	SCORE	JUSTIFICATION	
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 found that it was reviewed during the year.
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)		Y	1.50	Disclosed in the Annual Report. http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf
III	12	Did the GOCC achieve 90% in the PES?			Y	4.00	They scored 91.13% in their validated PES. http://www.ppa.com.ph/sites/default/files/transparency_docs/Valid_Res_GCG-appr_PPA_2017_Perfor_Scorecard.pdf
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	Y	1.00	Disclosed in the Code of Conduct http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_code_conduct.pdf
III	13.b	Does the GOCC disclose that all Directors/Commissioners, senior management and employees are required to comply with the code?			Y	1.00	Disclosed in the I.Coverage Section of the Code of Conduct http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_code_conduct.pdf
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 found.
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 (BVH)	Y	0.50	Chairman: Jay Daniel R. Santiago Members: Philip S. Tuazon, Marcial Q.C. Amaro III, PhD pg.39/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf http://www.ppa.com.ph/sites/default/files/board_member_docs/Composition%20of%20the%20Board%20Committees%2001.2017.pdf
III	15	Did the Nomination Compensation/Remuneration Committee meet at least twice during the year?			N	0.00	They only met once during the year. http://www.ppa.com.ph/sites/default/files/ppa_document/Board%20and%20Board%20Committees%27%20Activities%20%281%29.pdf
III	16	If yes, is the report of the Nomination Compensation/Remuneration Committee publicly disclosed?			N	0.00	No disclosure found for the Accomplishment Report. Only the 2016 Accomplishment Report was disclosed

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)	Y	0.50	Chairman: Carlos G. Domiguez III Members: Ernesto M. Pernia, PhD Ramon M. Lopez	pg.39/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf http://www.ppa.com.ph/sites/default/files/board_member_docs/Composition%20of%20the%20Board%20Committees%2001.2017.pdf
III	18	If yes, is the report of the Audit Committee publicly disclosed?			N	0.00	No disclosure found for the Accomplishment Report. Only the 2016 Accomplishment Report was disclosed	
III	19	Does at least one member of the Audit Committee have an audit, accounting or finance background (qualification or experience)?			Y	1.50	Disclosed in Mr. Carlos Dominguez profile.	http://www.ppa.com.ph/sites/default/files/board_member_docs/dominguez_cg.pdf
III	20	Did the Audit Committee meet at least four times during the year?			Y	1.50	They met 8 times during the year.	http://www.ppa.com.ph/sites/default/files/ppa_document/Board%20and%20Board%20Committees%27%20Activities%20%281%29.pdf
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)	Y	0.50	Chairman: Carlos G. Domiguez III Members: Ernesto M. Pernia, PhD Ramon M. Lopez	pg.39/88 of the Annual Report http://www.ppa.com.ph/sites/default/files/annual_report/2017%20PPA%20AR.pdf http://www.ppa.com.ph/sites/default/files/board_member_docs/Composition%20of%20the%20Board%20Committees%2001.2017.pdf
III	22	If yes, is the report on Risk Management Committee publicly disclosed?			N	0.00	No disclosure found for the Accomplishment Report. Only the 2016 Accomplishment Report was disclosed	
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.		Y	1.50	Disclosed in Mr. Carlos Dominguez profile	http://www.ppa.com.ph/sites/default/files/board_member_docs/dominguez_cg.pdf
III	24.a	Are the Board of Directors meetings scheduled at the beginning of the year? (end of Q1)			N	0.00	No evidence that the meetings were scheduled at the beginning of the year. (Certification of the CorSec was for CY 2016 meetings)	http://www.ppa.com.ph/sites/default/files/ppa_document/Board%20and%20Board%20Committees%27%20Activities%20%281%29.pdf
III	24.b	Does the Board of Directors meet at least monthly?	GCG MC No. 2012-07 Sec. 8 (a)		Y	1.50	Monthly meeting was held.	http://www.ppa.com.ph/sites/default/files/ppa_document/Board%20and%20Board%20Committees%27%20Activities%20%281%29.pdf
III	24.c	Did the Board of Directors meet on at least 75% on their scheduled meetings?		INDO SCORECARD	N	0.00	No evidence that the meetings were scheduled at the beginning of the year. (Certification of the CorSec was for CY 2016 meetings)	http://www.ppa.com.ph/sites/default/files/ppa_document/Board%20and%20Board%20Committees%27%20Activities%20%281%29.pdf

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)	Y	1.50	Board Meeting attendance	http://www.ppa.com.ph/sites/default/files/ppa_document/Board%20and%20Board%20Committees%27%20Activities%20%281%29.pdf
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 found.	
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	1.00	Disclosed in Board Administrative Order No.03-2016	http://www.ppa.com.ph/sites/default/files/cgs_files/N.pdf
III	25.b	Is the Board Secretary trained in legal, accountancy or company secretarial practices?			Y	1.00	Atty. Jasmin A. Pararuan	http://www.ppa.com.ph/sites/default/files/cgs_files/O.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)	Y	1.50	They have a separate Internal Audit function.	http://www.ppa.com.ph/?q=content/ppa-organizational-structure
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	There should be a disclosure indicating that the Internal Auditor is recommended to be approved or removed by the Audit Committee	
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 found.	
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 found.	
III	27.c	Does the company disclose how key risks are managed?		OECD PRINCIPLE V (A)	N	0.00	No disclosure found.	

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 found.	
III	28	Do different persons assume the roles of Chairman and CEO?		OECD PRINCIPLE VI ICGN: 2.5 Role of the Chair	Y	1.00	Chairman Arthur P. Tugade General Manager Jay Daniel R. Santiago "Executive Officer" ("Officer") refers to the GM and other corporate officer of the PPA as expressly provided for in its Charter"	
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 found for the programs included in the orientation.	
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 found.	
III	29.c	Did all Appointive Directors attend at least 1 training for the calendar year?			N	0.00	No disclosure found for the training attendance of appointive directors.	
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. 2013 ASEAN Corporate Governance Scorecard E.5.5 & E.5.6	N	0.00	No disclosure found on the statement of the company indicating that they conducted a Board Evaluation as a whole.	
III	30.b	Does the GOCC disclose the process followed in conducting the Board assessment?			N	0.00	No disclosure found on the statement of the company indicating that they conducted a Board Evaluation as a whole.	pg.12/29 of the CG Manual http://www.ppa.com.ph/sites/default/files/transparency_docs/corporate_governance.pdf
III	30.c	Does the GOCC disclose the criteria used in the Board assessment?			N	0.00	No disclosure found on the statement of the company indicating that they conducted a Board Evaluation as a whole.	pg.12/29 of the CG Manual http://www.ppa.com.ph/sites/default/files/transparency_docs/corporate_governance.pdf
III	31	Is an annual performance assessment conducted of the Board of Directors Committees?		UK CODE (JUNE 2010)	N	0.00	No disclosure found on the statement of the company indicating that they conducted the Board Evaluation as a whole or as the Committee as a whole.	
				Total No. of Applied Items	Total Score	21.00		

2017 CGS_GOCCs								
Name of GOCC:		Philippine Ports Authority						
Sector:		Utilities and Communication						
Date submitted:		0						
IV. Bonus								
GRP	ITEM	QUESTION	GUIDING REFERENCE		ANS	SCORE	JUSTIFICATION	REFERENCE LINK
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	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	Y	2	*Date Received From COA June 29,2018 *Date Posted July 10, 2018	http://www.ppa.com.ph/content/transparency-seal
				Total No. of Applied Items	Total Score	2		
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		

<i>Philippine Ports Authority</i>				
	CORPORATE GOVERNANCE SCORECARD	No. of Applied Items	SCORE	WEIGHT
I	Stakeholder Relationships (15%)	13	14.00	15.00%
II	Disclosure and Transparency (35%)	7	23.00	35.00%
III	Responsibilities of the Board (50%)	16	21.00	50.00%
	Bonus	1	2.00	
	Penalty	0	0.00	
		37	60.00	100.00%

2018 CGS_GOCCs							
Name of GOCC Philippine Ports Authority							
Sector: Utilities and Information-Communication							
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	Section 37 in the CG Manual "No member of the Board or Officer may take unfair advantage of employees, suppliers or customers"	
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 Sec. 34	Y	1	Section 38. CSR Principles in the CG Manual source: 20 of 29	
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	Disclosed in PPA Memorandum Circular No.11-2015 source: http://www.ppa.com.ph/sites/default/files/cgs_files/PPA%20Memorandum%20Circular%20No.%2011-2015_Port%20Safety%20Health%20and%20Environmental%20Management%20Systems%20(PSHEMS)%20Project%20at%20the%20Port%20of%20Batangas.pdf	

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	Y	1	<p>To ensure that serviceable water depths are maintained for the safe navigation of large vessels calling at the ports, PPA allocated Php750 million for the removal of 1.373 million cubic meters (m3) of silts at various piers and harbors nationwide. Routine and preventive maintenance of port facilities and structures are constantly being undertaken to ensure that these are kept at safe and serviceable condition at all times. PPA provided Php3.20 billion for repairs & maintenance (R&M) projects this year. As of yearend, 198 repair projects were completed while 108 were ongoing</p>	<p>P.25, 26 ar 2018 http://www.ppa.com.ph/sites/default/files/transparency_docs/PPA_AR_2018_SF.pdf</p>
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		Y	1	<p>The Authority provided temporary or immediate employment to around 1,600 individuals nationwide in line with the Department of Labor and Employment's (DOLE) Community-Based Employment Program (CBEP). The initiative, also known as Kabuhayan Program, enjoined various government agencies, including GovernmentOwned or -Controlled Corporations (GOCCs) which aims to provide employment to skilled, semi-skilled, and lowskilled workers through government undertakings such as infrastructure development projects in the communities where our ports and facilities are situated.</p> <p>Page 48 of the Annual Report</p> <p>source: http://www.ppa.com.ph/sites/default/files/transparency_docs/PPA_AR_2018_SF.pdf</p>	

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		Y	1	<p>PPA complies with the MARPOL 73/78, the primary international marine environmental convention that mandates the prevention of pollution from ships brought about by dumping, oil, and exhaust pollution or accidental causes. Locally, the Authority conforms with Presidential Decree (P.D.) No. 1152 or the Philippine Environment Code.</p> <p>In August 2018, the contract between PPA and Golden Dragon International Terminals, Inc. (GDITI) for the "Establishment and Operation of Shore Reception and Treatment Facilities for Ships' Wastes" has expired. PPA then issued A.O. No. 08-2018 or the "Interim Guidelines on the Issuance of Permit to Operate for Shore Reception Facility (SRF) Waste Disposal Service-Provider". As of yearend, 19 PMOs successfully acquired SRF serviceproviders.</p> <p>Moreover, PPA regularly submits to the Supreme Court its Quarterly Monitoring and Progress Report of the activities</p>	
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		Y	1	<p>None noted in the Annual Report</p> <p>source: http://www.ppa.com.ph/sites/default/files/transparency_docs/PPA_AR_2018_SF.pdf </p>	
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)	Y	1	<p>PPA Citizen's Charter Feedback and Redress Mechanism</p> <p>source: http://www.ppa.com.ph/?q=content/ppa-citizens-charter </p>	

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	Health and Safety Memorandum Circular source: http://www.ppa.com.ph/sites/default/files/cgs_files/PPA%20Memorandum%20Circular%20No.%2003-2004_PPA%20Sports_Physical%20Fitness,%20Recreational%20and%20Cultural%20Development%20Program.pdf	
I	5.b	Does the GOCC publish data relating to health, safety and welfare of its employees?			N	0	No disclosure found.	
I	5.c	Does the GOCC have training and development programmes for its employees?	GCG MC No. 2012-07 Chapter VII Sec. 36		Y	1	Consistent with its mission to provide meaningful and gainful employment, PPA continues to implement manpower development programs geared toward the professional and career growth of its people. 50 of the Annual Report source:	
I	5.d	Does the GOCC publish data on training and development programmes for its employees?			Y	1	A total of 3,640 employees benefited from the manpower development programs successfully undertaken by PPA and scholarship programs in cooperation with various sponsoring institutions	pg.17/21 of 2018 Highlights http://www.ppa.com.ph/sites/default/files/transparency_docs/Highlights_of_CY_2018_Acco.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)	Y	1.5	Disclosed in the Whistleblowing policy.	http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_whistleblowing.pdf
I	6.b	Does the GOCC have procedures to protect an employee/person who reveals illegal/unethical behavior from retaliation?		OECD Principle IV (E)	Y	1.5	Disclosed in Section 9 of the Whistleblowing Policy.	http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_whistleblowing.pdf
				Total Number of Applied Items	Total Score	14		

2018 CGS GOCCs								
Name of GOCC:		Philippine Ports Authority						
Sector:		Utilities and Information-Communication						
Date submitted:		0						
GRP	ITEM	QUESTION	GUIDING REFERENCE		ANS	SCORE	JUSTIFICATION	REFERENCE LINK
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 (C) 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	Y	4.00	Performance Scorecard for 2018 source: http://www.ppa.com.ph/sites/default/files/transparency_docs/2018_Performance_Scorecard_.pdf	
II	7.b	Does the GOCC's annual report disclose the following items: Financial performance indicators			Y	4.00	Financial Statements 61 of the Annual Report source: http://www.ppa.com.ph/sites/default/files/transparency_docs/2018_Performance_Scorecard_.pdf	
II	7.c	Does the GOCC's annual report disclose the following items: Non-financial performance indicators			Y	4.00	Percentage of Satisfied Customers on Port User's Annual Satisfaction Survey (PASS) source: http://www.ppa.com.ph/sites/default/files/transparency_docs/2018_Performance_Scorecard_.pdf	
II	7.d	Does the GOCC's annual report disclose the following items: Details of whistle-blowing policy			Y	4.00	Whistleblowing Policy is disclosed source: http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_whistleblowing.pdf	

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	Incomplete Biographical Details source: Annual Report, page 9 source: http://www.ppa.com.ph/sites/default/files/transparency_docs/PPA_AR_2018_SF.pdf	
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 found.	
II	8	Are the annual reports downloadable from the GOCC's website?			Y	2.00	Annual Report source: http://www.ppa.com.ph/sites/default/files/transparency_docs/PPA_AR_2018_SF.pdf	
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)	Y	1.50	The Authority is determined to continuously comply with the provisions of the Code of Corporate Governance for Government-Owned or -Controlled Corporations (GOCCs) and other relevant issuances by the Governance Commission for GOCCs (GCG). Among the relevant guidelines and policies implemented were the Manual of Corporate Governance, Code of Conduct and Ethical Standards, Whistle Blowing Policy, No Gift Policy, and Information and Communication Technology Security Policy. The organization has, likewise, pursued its Freedom of Information (FOI) rules as mandated by Executive Order (E.O.) No. 2 of President Duterte to enhance the public's access to information.	P 39, 40 ar 2018 http://www.ppa.com.ph/sites/default/files/transparency_docs/PPA_AR_2018_SF.pdf
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)	Y	2.50	Date Received From COA: June 26, 2019 Date Posted: July 22, 2019	http://www.ppa.com.ph/?q=content/transparency-seal
II	10.b	Is the annual report released within 90 days from release of audited financial report?			N	0.00	No disclosure found for the date of upload. Source: http://www.ppa.com.ph/?q=content/transparency-seal	

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	Disclosed in AFS 2018	http://www.ppa.com.ph/sites/default/files/transparency_docs/H000_Audited_financial_Report2018.pdf
				Total Number of Applied Items	Total Score	24.50		

Name of GOCC: Philippine Ports Authority							
Sector: Utilities and Information-Communication							
Date submitted: 0							
GRP	ITEM	QUESTION	GUIDING REFERENCE	ANS	SCORE	JUSTIFICATION	
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 found that it was reviewed during the year.
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)		Y	1.50	Sec. 8 Specific Functions of the Board Monitor and evaluate on a regular basis the implementation of corporate strategies and policies, business plans and operating budgets, as well as Management's over-all performance to ensure optimum results p 5 of the Manual of Corporate Governance source: http://www.ppa.com.ph/sites/default/files/cgs_files/Revised%20Manual%20of%20Corporate%20Governance.pdf
III	12	Did the GOCC achieve 90% in the PES?			N	0.00	88.28% pes GCG DMS No. -010157
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	Y	1.00	Code of Conduct source: http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_code_conduct.pdf
III	13.b	Does the GOCC disclose that all Directors/Commissioners, senior management and employees are required to comply with the code?			Y	1.00	Section I.Coverage source: http://www.ppa.com.ph/sites/default/files/ppa_links/PPA_code_conduct.pdf
III	13.c	Does the company disclose how it implements and monitors compliance with the code of ethics or conduct?			N	0.00	None noted
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	Composition for 2018 Committee was not disclosed. Source: http://www.ppa.com.ph/?q=content/board-members

III	15	Did the Nomination Compensation/Remuneration Committee meet at least twice during the year?			N	0.00	No disclosure found for meeting attendance Source: http://www.ppa.com.ph/?q=content/board-members	
III	16	If yes, is the report of the Nomination Compensation/Remuneration Committee publicly disclosed?			N	0.00	No disclosure found for the Accomplishment Report. Source: http://www.ppa.com.ph/?q=content/board-members	
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	Composition for 2018 Committee was not disclosed. Source: http://www.ppa.com.ph/?q=content/board-members	
III	18	If yes, is the report of the Audit Committee publicly disclosed?			N	0.00	No disclosure found for the Accomplishment Report. Source: http://www.ppa.com.ph/?q=content/board-members	
III	19	Does at least one member of the Audit Committee have an audit, accounting or finance background (qualification or experience)?			N	0.00	Composition for 2018 Committee was not disclosed. Source: http://www.ppa.com.ph/?q=content/board-members	
III	20	Did the Audit Committee meet at least four times during the year?			N	0.00	Meeting attendance was not disclosed Source: http://www.ppa.com.ph/?q=content/board-members	
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	Composition for 2018 Committee was not disclosed. Source: http://www.ppa.com.ph/?q=content/board-members	
III	22	If yes, is the report on Risk Management Committee publicly disclosed?			N	0.00	No disclosure found for the Accomplishment Report. Source: http://www.ppa.com.ph/?q=content/board-members	
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	Composition for 2018 Committee was not disclosed. Source: http://www.ppa.com.ph/?q=content/board-members	

III	24.a	Are the Board of Directors meetings scheduled at the beginning of the year? (end of Q1)			N	0.00	No disclosure found.	
III	24.b	Does the Board of Directors meet at least monthly?	GCG MC No. 2012-07 Sec. 8 (a)		N	0.00	Latest Board Attendance is for 2017 source: http://www.ppa.com.ph/?q=content/board-members	
III	24.c	Did the Board of Directors meet on at least 75% on their scheduled meetings?		INDO SCORECARD	N	0.00	Latest Board Attendance is for 2017 source: http://www.ppa.com.ph/?q=content/board-members	
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	Latest Board Attendance is for 2017 source: http://www.ppa.com.ph/?q=content/board-members	
III	24.e	Did the Board of Directors meet separately at least once during the year without the President/CEO present?		WORLDBANK PRINCIPLE 6	N	0.00	No disclosure found.	
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	1.00	Board Materials Policy applies to all materials, documents of Board Meetings source: http://www.ppa.com.ph/sites/default/files/cgs_files/N.pdf	
III	25.b	Is the Board Secretary trained in legal, accountancy or company secretarial practices?			Y	1.00	The Corporate Board Secretary is Atty. Jasmin Pararuan source: http://www.ppa.com.ph/sites/default/files/cgs_files/O.pdf Annual Report, p 8 source: http://www.ppa.com.ph/sites/default/files/cgs_files/O.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)	Y	1.50	They have a separate Internal Audit function. Source: http://www.ppa.com.ph/?q=content/ppa-organizational-structure	
III	26.b	Does the appointment and removal of the internal auditor require the approval of the Audit Committee?		OECD PRINCIPLE VI (D) (7) WORLDBANK PRINCIPLE 6 ASX Principles on CG	N	0.00	No disclosure found.	
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 found.	

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 found.	
III	27.c	Does the company disclose how key risks are managed?		OECD PRINCIPLE V (A)	N	0.00	No disclosure found.	
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 found.	
III	28	Do different persons assume the roles of Chairman and CEO?		OECD PRINCIPLE VI ICGN: 2.5 Role of the Chair	Y	1.00	Arthur P. Tugade Chairman Jay Daniel R. Santiago General Manager P 8 of the Annual Report	
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 on the policy of the Orientation Program source: http://www.ppa.com.ph/content/transparency-seal	
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 on the policy of the CPE Program source: http://www.ppa.com.ph/content/transparency-seal	
III	29.c	Did all Appointive Directors attend at least 1 training for the calendar year?			N	0.00	No disclosure found	
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. 2013 ASEAN Corporate Governance Scorecard E.5.5 & E.5.6	N	0.00	No disclosure found	

III	30.b	Does the GOCC disclose the process followed in conducting the Board assessment?			N	0.00	No disclosure found	
III	30.c	Does the GOCC disclose the criteria used in the Board assessment?			N	0.00	No disclosure found	
III	31	Is an annual performance assessment conducted of the Board of Directors Committees?		UK CODE (JUNE 2010)	N	0.00	No disclosure found	
				Total No. of Applied Items	Total Score	8.00		

2018 CGS_GOCCs								
Name of GOCC:		Philippine Ports Authority						
Sector:		Utilities and Information-Communication						
Date submitted:		0						
IV. Bonus								
GRP	ITEM	QUESTION	GUIDING REFERENCE		ANS	SCORE	JUSTIFICATION	REFERENCE LINK
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 *Assesmenet 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 financial statements The board of directors and	Y	2	Date Received From COA: June 26,2019 Date Posted: July 22,2019	http://www.ppa.com.ph/content/transparency-seal
				Total No. of Applied Items	Total Score	2		
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		

Philippine Ports Authority

	CORPORATE GOVERNANCE SCORECARD	No. of Applied Items	SCORE	WEIGHT
I	Stakeholder Relationships (15%)	13	14.00	15.00%
II	Disclosure and Transparency (35%)	8	24.50	35.00%
III	Responsibilities of the Board (50%)	7	8.00	50.00%
	Bonus	1	2.00	
	Penalty	0	0.00	
		29	48.50	100.00%