

NEA POLICY ON THE SUBMISSION OF REPORTORIAL REQUIREMENTS FOR THE INTEGRATED ASSESSMENT REPORT

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I. RATIONALE

Chapter III, Section 12 of RA 10531 in relation to Rule II, Section 5 of the IRR provides that the National Electrification Administration (NEA) shall ensure that all electric cooperatives (ECs) comply with the timely submission of the reportorial requirements set forth in this IRR. For this purpose, the NEA shall prepare monthly and quarterly assessment reports of the abovementioned information. Said reports shall be submitted by the NEA to the DOE and the JCPC together with its recommended policies to attain the objectives of the Act.

Likewise, Rule III, Section 11 (b) of the IRR of RA 10531 states that the NEA shall have the authority over the ECs, whether stock or non-stock, to require the submission of reportorial requirements as may be necessary relative to their operations as electric distribution utilities including but not limited to:

Reportorial Requirements

Timeline/Deadline
of Submission

Lead Department/
Office

i

Monthly Financial and Statistical Report

30[st] day of the succeeding month

FSD

ii

Monthly Status of Energization (Barangay, Sitios & House Connections)

15[th] day of the succeeding month

ITCSD

iii

Monthly Institutional Report

30[th] day of the succeeding month

IDD

iv

Monthly Performance Standard Monitoring Report

30[th] day of the succeeding month

IDD

v

Monthly Summary of Complaints received and acted upon

30[th] day of the succeeding month

IDD

vi

Monthly Report on compliance with the Philippine Grid & Distribution Codes

30[th] day of the succeeding month

ED

vii

Monthly Engineering Report

30[th] day of the succeeding month

ED

viii

Quarterly Report on New Power Supply Contract

30[th] day of the succeeding month

ED

ix

Annual Work Plan

January 30

CPO

x

Annual Distribution Development Plan (DDP)

January 30

CPO

xi

Five (5) – year Investment Plan submitted annually

January 30

CPO

xii

Annual Cash Operating Budget

September 30 preceding the budget year

FSD

xiii

Audited Financial Statements

April 15 of the succeeding year

FSD

xiv

Collective Bargaining Agreement (CBA) or Collective Negotiation Agreement (CNA)

30 days after the ratification by the general membership

IDD

xv

Copy of Capital Expenditures CapEx) &

January 30

CPO

Operating Expenditures (OpEx) Plan

September 30

FSD

xvi

For ECs on grid with isolated area/s served by the NPC-SPUG, separate submission of MFSR, Monthly Engineering Report and Barangay and Sitio electrification report

Finally, Rule VII, Section 27 of the IRR states that consistent with Section 58 of EPIRA, the NEA shall continue to be under the supervision of the DOE, and shall comply with all reportorial requirements under this IRR and may be deemed necessary by the DOE.

II. OBJECTIVES:

- To monitor and diagnose the status of operation of the electric cooperatives in terms of their financial, institutional and technical services based on the prescribed standards set.
- To propose resolution and craft plan of action as preventive measures before further deterioration of status of the ECs
- To formulate prescriptive policy by the management as basis for implementation in resolving issues and concerns.

III. GUIDELINES

- The ECs shall submit all required documents for proper documentation, including those which are personally delivered to the Information Technology and Communication Services Department - Records Management Unit (ITCSD-RMU) of the NEA on or before the date indicated above. For those which opted to submit electronic copies, they shall send reports to the ITCSD-RMU's e-mail address, recordsunit@nea.gov.ph.
- The ECs shall ensure that all information are correct and accurate to reflect the true state of health of the electric cooperative. These information shall become the bases for assessment and crafting of solutions that will improve EC efficiency and service reliability and will act as early warning signals not only for financial but also for institutional and/or technical operational aspect.
- ITCSD-RMU distributes the identified EC reports to department/office concerned which collates and consolidates financial, operational and other information and submits the same to the respective member of the composite team.
- The composite team of senior officers from concerned departments/office shall act as focal persons or representatives to attend to all concerns and communication in relation to the requirements of DOE and JCPC. The team shall prepare initial assessment report based on the performance standards set, including suggested resolution and proposed plan of action which shall be submit to the senior committee.
- The senior committee composed of department managers shall review the completeness and correctness of the initial assessment report including resolutions and plan of action. After the review, an integrated assessment report plus the committee recommendations will be submitted to the Deputy Administrators for affirmation and endorsement to the Administrator. The Administrator confirms the Integrated Assessment Report and submits to the Board of Administrators for approval.
- The approved Integrated Assessment Report shall be submitted to the DOE and JCPC within two weeks from EC deadlines in the following dates:

- 1[st] Quarter – On or before May 15
- 2[nd] Quarter – On or before August 15
- 3[rd] Quarter – On or before November 15
- 4[th] Quarter – On or before February 15

IV. SANCTIONS FOR NON-SUBMITTAL/NON-COMPLIANCE

Section 14 of RA 10531 states that any person who wilfully violates any rules or regulation promulgated pursuant to the authority granted in this IRR shall, upon conviction, be punished by a fine of not less than fifty thousand pesos (P50,000.00) but not more than five hundred thousand pesos (P500,000.00) or by imprisonment of not less than 6 months but not more than one year, or both at the discretion of the court: Provided, That if the violation is

committed by a juridical person, the penalty herein prescribed shall be imposed upon the official and/or employee thereof responsible for the violation.

Further, Section 28 of the IRR states that if the violation is committed by a government official or employee, including those in GOCC, such person shall, in addition to the penalty provided herein, be subjected to administrative disciplinary action.

Pursuant to the above, the following are the sanctions for non-submittal and non-compliance of the required reports and documents:

- First Offense – issuance of a show cause order from the Legal Services Offices requiring the EC to explain within 15 days from receipt of the order for the reason for the non-submission
- Second Offense – imposition of a fine of Ten Thousand Pesos (P10,000.00) for every required documents not submitted on time
- Third Offense – imposition of a fine in the amount of Twenty Thousand Pesos (P20,000.00) for every required document not submitted on time and/or possible criminal prosecution and administrative disciplinary action against the general manager and the responsible department manager/s and/or officer/s of the EC

It is the responsibility of the ITCSD-RMU to certify compliance or noncompliance to the EC reportorial requirements. The Legal Services Office will implement the sanctions provided in this Policy.

VI. EFFECTIVITY

This policy shall immediately take effect fifteen (15) days following its publication in a newspaper of general circulation. Three (3) copies shall be filed with the University of the Philippines (UP) Law Center pursuant to Presidential Memorandum Circular No. 11, dated October 9, 1992.

(SGD) EDITA S. BUENO

Administrator

Approved by the NEA Board of Administrators on November 6, 2013 under Resolution No. 131.

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