



## **RULE X EXTENSION OPERATIONS**

### **INTRODUCTION**

**University Mandate on Extension Services – Extension Services** is an outreach unit of the Cavite State University. As mandated, the University shall “provide advanced instruction and professional training in agriculture, science and technology, education and other related fields, undertake research and **extension services**, and provide progressive leadership in these areas.” (Republic Act No. 8468, converting the Don Severino Agricultural College into University Status, to be called Cavite State University).

**Republic act 8435, or the Agriculture and Fisheries Modernization Act of 1997 (AFMA)** under section 86 stated that: “It is hereby declared the policy of the state to promote science and technology, as essential for national development and progress. The State shall give priority to the utilization of research results through formal and non-formal education, extension and training services.”

**Historical Background** – For decades, the University has been involved in community outreach and extension activities. When this was converted into Don Severino Agricultural College (DSAC) in 1964, extension became one of the functions of this institution, in addition to instruction and research. DSAC started with two major units, the Secondary Department and the College Department. The latter conducted extension services in the form of seminars on improved farm practices and certified seeds and veterinary services to the animals of the service area. In addition, the College maintained a one-and-a-half hectare nursery for the propagation of and multiplication of important plants for on-campus and for farmers’ use. The Swine Project which was used for instruction purposes also served as source of foundation stock for farmers. Boar services were made available to small hog raisers for the improvement of their stock (DSAC Annual Report, SY 1968-69).

Since then, the milestones of extension services were recorded in the Annual Reports of this educational institution.



## **Article 1. Organizational Philosophy**

**Section 1. Vision** - “Help alleviate the standard of living of the economically and socially disadvantaged sectors of society through the Extension of the University.”

**Section 2. Mission** -“To engage in the improvement of the quality of life of farmers/fishermen, women, out-of-school youths, local government employees, and other clients through the conduct of relevant education and training; farm and business advisory services; demonstration services; and information, communication and technology services.”

### **Section 3. Goals**

- a) Disseminate and promote innovative, relevant, appropriate and research-based knowledge, information and technologies to various clients
- b) Engage and enhance partnership with various stakeholders, local and international to address the needs of the target clients and the communities, and the resource limitation of the extension organization
- c) Enhance the organization’s capability to provide excellent and world-class extension services.

### **Section 4. Objectives**

- a) To conduct and/or coordinate relevant training programs and short non-degree courses in agriculture and other disciplines
- b) To promote agricultural entrepreneurship and other business enterprises
- c) To establish and maintain on-campus and off-campus demonstration projects showcasing various appropriate technologies
- d) To package and disseminate through tri-media the needed technology/information relevant to the improvement of the farming and rural/urban living



- e) To coordinate and monitor the extension activities of various colleges and branch campuses of the University
- f) To collaborate and establish linkages with government and private agencies engaged in extension and rural/urban development in the pursuit of common goals and objectives
- g) To generate income from established projects and from other resource generation activities.

**Section 5. Thrusts** - Extension projects and other activities are in accord with the identified Research, Development and Extension (RD & E) thrusts. These are:

- Poverty alleviation
- Food security
- Primary health care and public health
- Alternative medicine
- Cultural heritage preservation
- Ecosystem management
- Energy conservation and utilization
- Institutional capability building
- Information and communication technology
- Infrastructure planning and design
- Bio-technology
- Industrial technology
- Pedagogy/Andragogy
- Gender and development
- Coffee
- Pineapple
- Banana
- Kaong
- Makapuno
- Herbs and spices
- Ornamentals
- Ugnayan Agriculture

**Section 6. Core Values** -Extension strongly adheres to CvSU's three tenets of a) Truth, b) Excellence and c) service.

**Section 7. Guiding Principles**



- a) Globally competitive – world class in quality.
- b) Credibility – delivery of responsive, appropriate, relevant and research-based knowledge and technologies.
- c) Partnership – collaborate with international and national agencies, public and private partners, engaging the community to maximize resources, encourage wider participation and facilitate achievement of mutual objectives.
- d) Accountability – results-oriented focusing on measurable outcomes, documenting the impact and publishing the same for public and stakeholders' information.
- e) Diversity – involve faculty and staff with various field of expertise, serving and responding to different needs of clients such as farmers, fishermen, women, out-of-school youths, pupils/students, professionals and the community as a whole.

## **Article 2. Organization and Management**

**Section 1. Organization Structure** -The Extension Services at CvSU is usually shortened and referred to as *Extension* only. It is one of the four major units directly under the Vice President for Research, Extension, and Continuing Education and Training Services (RECETS). The Extension Services is headed by a Director (Figure 1.)

The office shall be a distinct office to be headed by the Vice President who shall be designated by the University President. The Extension office will be in-charge of facilitating the diffusion and adoption of appropriate fisheries and social technologies through the use of integrated, multi-disciplinary and participatory program and services.

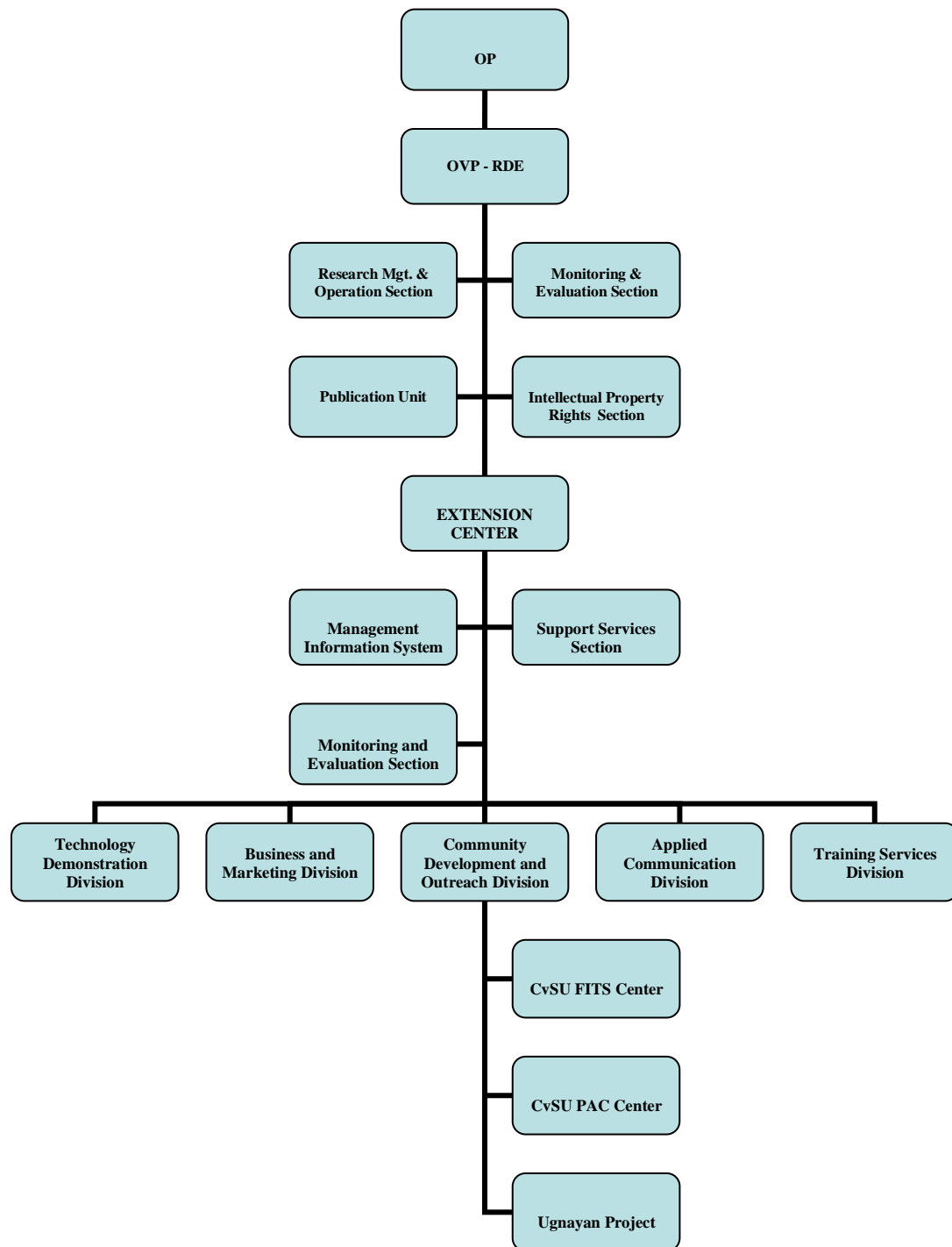


Figure 1: The revised organization structure of the Extension Services



The Extension Services has five major divisions with the corresponding heads, namely: a) Technology Demonstration Services Division; b) Business and Marketing Services Division; c) Community Development and Outreach Services Division; d) Training Services Division; and e) Applied Communications Division.

- a) Under the **Technology Demonstration Services Division** are three demonstrations cum income-generating projects (IGPs). These include: 1) Multiple Cropping Projects composed of eight (8) modules or planting combination; 2) Urban Agriculture Projects which are also divided into modules; and 3) Other open-Field Demonstration Projects.
- b) The **Business and Marketing Division** has two major concerns: the Farmers' Training Center and the business aspect of the different demonstration projects. This division disposes the products produced by the Extension Services. Expenses and income from the different production projects are recorded and reported by this division.
- c) The **Community Development and Outreach Services Division** has three major sections which include the UGNAYAN Project; Community Development Projects; and CvSU Palengke.
- d) The **Training Services Division** takes charge of the identification, planning, implementation, and evaluation of training programs;
- e) The last division is the **Applied Communication** which takes charge of the production, packaging, publication and dissemination of relevant technologies and other information.

Other sections directly under the Office of the Director for Extension Services are: Support Services Section, Budget, Properties and Records; Monitoring and Evaluation Section; and the two Centers, namely: the Farmers' Information and Technology Services (FITS) Center and the Palengke-Alaman Center (PAC).

### **Article 3. Functions – The CvSU Extension Services**



The Extension Services performs the third major function of Cavite State University. It links this educational institution with the community through the conduct of non-formal education and trainings; technology demonstration and technology transfers to farmers, rural women, pupils, out-of-school youths (OSYs), and other clients; and do other community development activities.

The Extension Services performs overall coordinative function. While it is tasked to perform the major extension activity of the University, it has no direct supervision over the extension activities of the different colleges and branch campuses. Each College/Campus designates an Extension (RDE) Coordinator who takes charge of the planning, implementation and monitoring of its respective extension programs. The Office of the Director for Extension Services monitors all the extension activities of the University.

#### **Article 4. The Major Divisions/Sections**

**Section 1. Technology Demonstration Services Division (TDS)** – The Technology Demonstration Farm (TDF) composing of Multiple Cropping Projects, Urban Agriculture Projects and Open-Field Demo Projects shall be under this division.

The **TDS** Division shall:

- a) Showcase indigenous and innovative agricultural technologies
- b) Operate the Technology Demonstration Farm as a demonstration farm-cum income-generating project
- c) Operate all income-generating projects as farm business where expenses and income are strictly monitored and recorded
- d) Add value to TDF by developing the area as site for agro-tourism
- e) Coordinate with other divisions of the Extension Services.

**Section 2. Business, Marketing Services (BMS)** -The Farmers' Training Center (FTC) composing of six (6) housing units shall be under this division.



The **BMS** Division shall:

- a) Take charge of the business operations at the TDF and FTC
- b) Take charge of the Student Loans Project
- c) Take charge of the marketing of the different agricultural and processed products in coordination with the TDS Division
- d) Monitor, consolidate and record all the expenses and income of the TDF and FTC
- e) Take charge of the FTC composed of six (6) housing units, as business enterprise; and
- f) Provide necessary data and information to other divisions of the Extension Services.

**Section 3. Community Development and Outreach Services Division (CDOS) shall:**

- a) Oversee all the community development projects and other outreach activities of the Extension Services;
- b) Take charge of the *Palengke Alaman* Project
- c) Handle all outside requests for outreach and other extension services
- d) Coordinate and monitor extension activities under the UGNAYAN project
- e) Provide necessary data and information to other units/divisions of the Extension Services.

**Section 4. Applied Communication Division (ACD)**

Under this division are the Farmers' Information and Technology Services (FITS) Center, Palengke-Alaman Center (PAC) and the publication aspect of the Extension Services.  
The **ACD** shall:





- a) Take charge of all the regular publications of the Extension Services which include Ugnayan, Midland Forum and Occasional Paper
- b) Produce and publish other informative materials suitable to various clients
- c) Prepare the training materials appropriate to target clients;
- d) Write and submit up-to-date news materials to local and national newspaper agencies
- e) Package the proceedings of all the trainings, seminars, and other activities of the Extension Services; and
- f) Provide necessary data and information to other division/sections of the Extension Services.

#### **Section 5. Training Services Division**

- a) Take charge of the conduct of training needs assessment (TNA) of the clientele in the service area;
- b) Plan the training activities/program based on the results of TNA;
- c) Take charge of the conduct of identified training activities/program; and
- d) Monitor and evaluate the impact of the training program/activities coordinated.

### **Article 5. Duties and Responsibilities**

#### **Section 1. Director for Extension Services shall:**



- a) Take charge of the planning, development and supervision of the Extension Services
- b) Prepare budgetary estimates for Extension in coordination with division heads and project/section in-charge
- c) Propose new and/or revision of policies, rules and regulations affecting the Extension Services
- d) Coordinate and monitor all the extension programs of the university
- e) Establish linkages with government and non-government agencies for the effective implementation of the extension and community outreach programs of the university
- f) Prepare and submit yearly performance target and accomplishment reports
- g) Sign vouchers and RIVs up to amount approved by the university
- h) Sign the daily time records of all faculty and staff under his/her office
- i) Approve the application of leave of absence of faculty and staff up to the number of days allowed by the University
- j) Perform such other duties and responsibilities as may be assigned by higher authorities.

## **Section 2. Division Heads, Project/Section In-Charge**

All heads and project-in-charge of the Extension Services shall:

- a) Assist in the preparation of strategic plan for their respective units
- b) Prepare yearly financial work plans and accomplishment reports for their respective units
- c) Implement target plans accordingly
- d) Monitor and evaluate the planned and implemented activities



- e) Document and possibly publish all lessons and notable experiences in their respective areas
- f) Submit required data and other reports
- g) Perform such other duties and responsibilities as may be assigned by higher authorities

### **Section 3. Other Designations**

#### **a. Manager of the Farmers' Training Center**

- Oversee the operation of the Farmers' Training Center
- Take charge of the maintenance and repair of the different housing facilities
- Record all the expenses and income of the FTC
- Submit required data and other reports
- Perform such other duties and responsibilities as may be assigned by higher authorities

#### **b. Manager of the FITS Center and Palengke-Alaman Center** shall:

- Oversee the operation of the FITS Center and PAC
- Prepare yearly financial work plans and accomplishment reports
- Conduct technology promotion activities in collaboration with PCARRD, DA, DAR and other partner agencies
- Maintain and update the data base of the FITS Center
- Disseminate ICT materials to clients in coordination with ACD
- Monitor feedback and needs of clients to enable the R & D community to respond accordingly



- Submit required data and other reports
- Perform such other duties and responsibilities as may be assigned by higher authorities.

**c. Property Custodian of TDF and FTC shall:**

- Keep records of all the facilities and other resources at the TDF and FTC
- Make a regular inventory of all the facilities at the TDF and FTC in coordination with the Projects-In-Charge and the FTC Manager
- Ensure that all incoming and outgoing materials and products at TDF and FTC are properly noted and recorded
- Submit required data and other reports
- Perform such other duties and responsibilities as may be assigned by higher authorities

**Article 6. Research Development and Extension Council (RDEC)**

There shall be a University Research, Development and Extension Council (URDEC) to be constituted by the Vice President for Research, Development and Extension as Chairman. The members of the Council shall consist of specialists representing the different research commodity emphases of the University, extension and continuing education and training specialists. The members of the Council shall serve for two years renewable up to the second term. In case of vacancy in membership, a substitute maybe designated by the University President and shall serve only for the remaining period of appointment.

The duties and responsibilities of the Research, Extension and Continuing Education and Training Services Council shall be as follows:

- Assist the VPRE in the formulation of policies, plans and programs, guidelines and regulations pertinent to the research and extension programs of the entire university;



- Determine, review and recommend to the Administrative Council, policies, rules and regulations, and the directions for the University research, extension, continuing education and training programs;
- Screening, evaluating and recommend research and extension proposals
- Review the findings and recommendations of faculty and institutional research.

The Research, Extension and Continuing Education and Training Services Council shall hold at least one meeting every quarter at the date and venue to be determined by the Council members.

#### **Article 7. College/Campus Research, Development and Extension (RDE) Coordinator**

College/Campus Dean recommends RDE Coordinator for approval by the University President. The RDE Coordinator shall:

- Plan and implement the research and extension programs/projects/activities of the college in consultation with and under the close supervision of the Dean;
- Coordinate and monitor the research and extension programs of the college
- Serve as a link between the college and RECETS
- Attend the regular meeting of RDE Coordinators chaired by the VP-RDE or Research/Extension Director
- Represent the College during the research and extension in-house reviews
- Provide the College Dean, VPRDE and other concerned offices the necessary data on research and extension
- Perform such other duties and responsibilities as may be assigned by higher authorities.

#### **Article 8. Extension Strategies**



Extension Services is committed towards the attainment of three renewed goals, hence the following strategies and indicators are included in this operations manual:

<b>GOALS/OBJECTIVE/STRATEGY</b>	<b>PERFORMANCE INDICATOR</b>	
	<b>Output</b>	<b>Verifiable Indicators</b>
<b>Goal 1.</b> Promotion and dissemination of relevant information and technologies  1.1 Packaging of research results into technologies for dissemination to various clients.  1.2 Collecting publication materials from other agencies for library use and for reproduction for distribution  1.3 Promoting and marketing of the services of Farmer's Information and Technology Services (FITS) Center and the Palengke-Alaman Center (PAC)  1.4 Establish technology demonstration farms off-campus at the barangay level and on-campus within the Technology Demonstration Farm (TDF)	Research results packaged into information or technologies  Collections of publications / IEC materials from other sources/ agencies  Promotional materials produced and activities undertaken / Visitors of FITS and PAC  Established on-campus and off-campus techno-demonstration farms	Number of brochures, techno guides and articles published and disseminated  Number of clients served  List of publications / IEC materials collected Percentage of collections encoded  Number of readers  Number of promotional materials  Number of promotional materials produced and activities done.  Number of FITS/PAC visitors/readers  List of experts.  Number of technology demonstration projects



		established on-campus and off-campus.
<p>1.5 Conduct any of the following based on the problems and needs of the community and the target beneficiaries:</p> <ul style="list-style-type: none"><li>a) Seminar</li><li>b) Workshop</li><li>c) Training</li><li>d) Technology Clinic</li><li>e) Consultative meetings</li></ul>	<p>Conducted Seminars, workshops, trainings and technology clinics</p>	<p>Number of visitors who have seen the technology demonstration farms</p> <p>Number of seminars, workshops, trainings, technology clinics and consultative meetings conducted</p> <p>List of participants to the above-mentioned activities</p> <p>Percentage of users/ adopters of the technologies among the attendees to these activities</p>
<p><b>Goal 2.</b> Strengthen and establish local and international linkages and Partnerships</p> <p>2.1 Conduct meetings and other collaborative activities with existing partners and linkages</p>	<p>Activities undertaken to strengthen established linkages and partnerships</p> <p>Meetings and collaborative activities conducted</p>	<p>Number of linkages / partnerships with MOA</p> <p>Number of meetings conducted</p>



2.2 Enhance coordination/collaboration with the RDE Coordinators of the different colleges/branch campuses		<p>Number of collaborative activities or projects jointly conducted</p> <p>Amount of support funds received in cash/kind</p> <p>Number of meetings and collaborative projects conducted with RDE coordinators</p>
2.3 Strengthen local & international linkages and partnerships	New linkages established	<p>Number of linkages established</p> <p>Number of Memorandum of Agreement / Understanding signed</p>
<b>Goal 3. Enhance organizational excellence in extension</b>  3.1 Restructure extension organization in response to changes (e.g. retirement of staff)	<p>Organization structure restructured</p> <p>New designation of staff</p> <p>Planning write shop conducted</p>	<p>Restructured organization</p> <p>New designation</p> <p>Revised extension vision, mission,</p>





3.2 Review and revise extension vision, mission, goals and objectives		goals and objectives
3.3 Review and revise implementing guidelines		Revised operational/ implementing guidelines
	Prevailing updated programs	Integrated university extension projects
3.4 Update programs and projects according to needs		Updated programs
3.5 Implement formal reviews process for various extension programs and projects	Extension In house review conducted annually	Number of papers presented and evaluated
	Attended local and national conferences, seminars and trainings	Best extension practices identified
3.6 Upgrade/update knowledge and skills of faculty and staff in extension and related fields through attendance to local, national and international conferences, seminars and trainings		Number of attendance to local, national and international conferences, seminars and trainings

**Article 9 . UGNAYAN: A Unified Community-Based Project**



**Section 1. Ugnayan** is a Tagalog word which connotes linkages and coordination among the stakeholders. The University selected an UGNAYAN barangay or village where the extension services of the different colleges are focused.

**UGNAYAN** is a unified extension and research program for the academic units of Cavite State University. Ugnayan is a Tagalog word which connotes coordination and cooperation. While this program was approved by the Board of Regents (BOR No. 55) on 6 December 2001, the practice dates back in the late 70's as Project UGNAYAN.

Originally, its philosophy stated that "it is an approach to rural development where the spirit of coordination among those concerned in the upliftment of a community is given importance.

From a singly focused agricultural extension project, the project evolved into a unified extension and research program.

This approach allows each major academic unit of the University to pursue community service projects and applied research in a beneficiary barangay that is adopted as pilot area by the University. The problem to be solved should be within the area expertise of the College concerned. Each College establishes its own Project Implementation Unit (PIU) with a Central Project Implementation Unit (CPIU) at the office of the Vice President for Academic Affairs and coordinated by OVP RECETS.

At present, the adopted barangay is Banaba Lejos, Indang, Cavite. Ugnayan approach permits maximization of resources and unification of efforts.

Location:	Banaba Lejos, Indang, Cavite
Clientele:	Farmers, Rural women, Youth and other people in the community
Leader/Coordinator:	All Colleges at the Main Campus Coordinated by the University Extension Services
Funding Source:	Local government, CvSU and other linkage institutions, Cooperating Agency: Municipal Government, Department of Agriculture (DA), Department of Agrarian Reform (DAR), other concerned government agencies.

**Section 2. Farmers' Information and Technology Services (FITS) Center**



The Farmers' Information and Technology Services (FITS) Center is under the Applied Communication Unit of Extension Services. It was established primarily through the assistance of the Philippine Council for Agriculture, Forestry and Natural Resources Research and Development (PCARRD).

Location: Cavite State University (CvSU)  
Clientele: Farmers, Rural women and youth, students, teachers, researchers, extension workers  
Leader/Coordinator: CvSU Extension Services  
Funding Source: CvSU, Department of Science and Technology (DOST), Philippine Council for Agriculture, Forestry, and Natural Resources Research and Development (PCARRD), Southern Tagalog Agriculture and Resources Research and Development Consortium (STARRDEC)

### **Section 3: Palengke-Alaman Center (PAC).**

Palengke-Alaman Center is a joint project of the Municipal Government of Indang, DAR-Indang, PCARRD and STARRDEC. PAC is located within the market place or "palengke". Palengke-Alaman serves as a one-stop information shop for farmers, rural women, out-of-school youth and other interested parties. The Center has a collection of brochures, leaflets and other reading materials. It links clients to experts in various fields and post current prices of basic commodities. The staff assigned to this Center report every Market day.

Location: Indang Municipal Market  
Clientele: Indang and nearby community  
Leader/Coordinator: CvSU Extension Services  
Funding Source: CvSU, Municipal government, and other local line agencies, PCARRD and STARRDEC

### **Section 4. Technology Promotion Center (TPC).**

TPC is a joint program of the Land Bank of the Philippines (LBP), Cavite State University and the Provincial Government of Cavite. The RECETS represented CvSU in this program. TPC



program aims to: a) promote appropriate, updated and sustainable technologies that will generate and enhance production and post-production efficiencies and guarantee increases in income to farmers and fisher folks; b) enhance the Banks' lending programs through technology validation for effective delivery/transfer of technologies to rural farmers, fisher folks and entrepreneurs; and c) facilitate technology transfer by showcasing sustainable technologies to serve as a learning center for farmers and fisher folks.

Location: CvSU  
Clientele: Farmers, women and youth, students, extension workers and researchers in the Cavite province  
Leader/Coordinator: Land Bank of the Philippines  
Funding Source: Land Bank of the Philippines (LBP) and Provincial Government, Office of the provincial governor and other line agencies

### **Section 5. Technology Promotion and Dissemination**

Location: CvSU  
Clientele: Farmers, women and youth, students, extension workers and researchers  
Leader/Coordinator: Technology and Livelihood Resource Center (TLRC)  
Funding Source: CvSU and TLRC

### **Section 6. Publication of Information Materials**

Location: CvSU  
Clientele: Farmers, women and youth, students, extension workers and researchers  
Leader/Coordinator: Extension Services  
Funding Source: CvSU colleges and branch campuses

### **Section 7. Technology Demonstration Project (Both on-campus and off-campus)**

#### **a) On-campus**

- Multiple Cropping Projects comprising of eight (8) modules



- Coconut Pith Demo Project
- Urban Agriculture Demo Project
- Ornamental and Cut flower Production Project
- Herbs, Spices and Medicinal Plants Collection Project
- Carbonized Rice Hull (CRH) Production Project
- Indigenous Root/ Tuber and Vegetables Collection Project
- Protected High Value Vegetables Production Project
- Tissue-Cultured Banana Seedlings Production Project

b) Off-campus – Depending on the need of the clients

Location: CvSU Technology Demonstration Farm  
/outside of the University-clients' location  
Clientele: Farmers, women and youth, students,  
extension workers and researchers and  
other University visitors  
Leader/Coordinator: Extension Services  
Funding Source: CvSU colleges and branch campuses

**Section 8. Student Loan Fund (SLF)**

Location: CvSU Extension Services  
Clientele: CvSU students  
Leader/Coordinator: Extension Services  
Funding Source: CvSU

**Section 9. Vegetable Diversification for Productivity Enhancement  
of Selected Rainfed Rice Farms in the Province of Cavite**

This is a million-peso joint technology commercialization project of the Commission on Higher Education (CHED) and CvSU partnership with the local government units (LGUs). The goals of the project are to: 1) Support the AFMA and MTPDP, 2004-2010 in attaining food security at all times through the implementation of an agricultural diversification program in an underutilized farm lands; 2) Improve the productivity of rainfed rice farms; 3) Increase the income of rice farmers; 4) Ensure sustainability of land resource; and 5) Strengthen stakeholders' collaboration and coordination towards agricultural development.

Location: Selected municipalities in the province of Cavite  
Clientele: 40 – 50 Rice farmers  
Leader/Coordinator: CvSU  
Funding Source: CvSU, CHED, LGUs - DA



## Section 10. Seminars, Trainings and Other Services

Location: Provincial, Regional and National Level  
Clientele: People involved in extension  
Leader/Coordinator: CvSU  
Funding Source: Local and international funding agencies

### 4.2.11 Consultancy, Advisory and Other Forms of Services

Location: On and off-campus, National and International  
Clientele: Varied, Walk-in clients and/or selected clients  
Leader/Coordinator: CvSU Extension Services and College/Campus  
Funding Source: Clients, Local and international funding agencies

## Article 10. Policies, Guidelines and Procedures

### Section 1. Extension Program/Project Planning and Implementation

- a) The planning and implementation of the extension activities of the university is **decentralized, integrated, coordinated, participatory and needs-based**. The extension program support the Millennium Development Goals (MDGs) of the United Nations, the national, regional, provincial and local development plans.
- b) Colleges and branch campuses plan and implement their respective extension programs in coordination with the University Extension Services. The process is participatory involving the stakeholders which include the target clients, the students, alumni, faculty members, representatives of government and non-government agencies and other concerned individuals. The needs and concerns of these stakeholders are considered in the planning and implementation of the extension programs.
- c) The different colleges/branch campuses and the Extension Services apply the different strategies for identifying the needs. These include survey, focus group interviews, experts' contributions, direct participation of the target clients in the planning process, and the use of secondary data.
- d) Decentralization of the planning process shall start at the department level. The colleges integrate all the planned extension programs of their respective departments into one Research, Development and Extension



Agenda and Programs (RDEAP). There is a designated RD and E coordinator at the department level (depending on the size of the department) and at the college level. The college RD and E Coordinator under the direct supervision of the Dean consolidates and prepares the RDEAP.

## **Section 2. Formulation of Research, Development and Extension Agenda and Program (RDEAP)**

CvSU-RDEAP evolved through the following integrated and participatory processes:

- a. The university Research Development and Extension office conducts planning workshop. Headed by the Vice President, The RDE spearheads the formulation of the RDEAP through a workshop. Participants in this planning workshop are the Deans of the different Colleges and branch campuses together with their respective Research, Development and Extension (RDE) Coordinators.
- b. During the University planning workshop the thrusts of the University are reviewed and revised. In this process, identification and selection of research and extension thrusts are guided by the stated vision and mission of the university/college/campus. Likewise, the Millennium Development Goals (MDGs), national and provincial, municipal and local development goals are considered.
- c. The research, development and extension (RDE) thrusts resulting from the latest (2004) RDEAP planning workshops include: poverty alleviation, food security, primary health care and public health, alternative medicine, cultural heritage preservation, ecosystem management, energy conservation and utilization, institutional capability building, information and communication technology, infrastructure planning and design, bio-technology, industrial technology, pedagogy/andragogy, gender and development, coffee, pineapple, banana, kaong, makapuno, herbs and spices, ornamentals, and urban agriculture.

## **Section 3. Presentation of RDEAP by College**

- a. Prior to the actual conduct of RDEAP planning workshop, the RDE Coordinators present their draft plans with their respective Deans for further comments and suggestions. During the workshop, the RDE Coordinators polish their prepared Agenda. As part of the workshop, the RDEAP of the different Colleges/Campuses are presented to the RECETS Council for comments and suggestions.



Also, during the presentation of various agenda and programs by College/Campus, duplication of plans and programs are eliminated. In cases where similar areas of concerns are presented by two or more Colleges, either one party will drop its proposed knowledge area or integrate such with the others of similar nature. Also, group members openly discuss and decide as to who would lead the implementation of such programs.

- b. Deans endorse the corrected copy of their RDEAPs to Research Center for consolidation. RDE Coordinators incorporate the comments and suggestions made during the presentation. The Deans submit the corrected copy to the Research Center Council for consolidation.
- **Research Center collects the RDEAPs of the different colleges.** The RDEAP of the different colleges/campuses are consolidated by Research Center into one University RDEAP for the final review of the URDEC members.
- **URDEC endorses the University RDEAP to the Administrative Council.** The RECETS Council through the VP-RECETS, who chairs endorses the RDEAP to the Administrative Council for approval of the Board of Regents.
- **Administrative Council endorses and recommends the RDEAP for approval of the Board of Regents.**
- **Once approved, the RDEAP shall be disseminated to the entire university**
- **URDEC provides the approved RDEAP to concerned offices.**

#### **Section 4. Preparation of Extension Project Proposals**

- **Call for capsule proposals.** Office of the Director for Extension calls for the submission of an extension proposal. Although the extension has its own format, format shall be based on the requirement of the funding agency and in case that the fund shall come from the university, the proposal should follow the extension format.





- **College/Campuses prepare capsule proposals.** Faculty members of the different colleges with varied fields of specialization prepare capsule proposal on their areas of expertise and interest. The proposal maybe singly prepared or in cooperation (interdisciplinary approach) with other extensionists. The proposals are in line with the approved RDEAP. Capsule proposals are reviewed at the department level to the college levels by the respective research and extension committee in coordination with RDE Coordinator.
- **Deans endorse capsule proposals to URDE Council through the Extension Director.** The reviewed proposals are then endorsed to the URDEC through the Director for approval.
- **URDEC reviews and approves the capsule proposals.** All the extension proposals must be reviewed and approved by the URDEC prior to their implementation.
- **URDEC endorses the approved proposals for University or external funding.** Proposals requiring bigger funding are usually submitted to external funding institution while the remaining projects are recommended for local funding.
- **Extension Director prepares work and financial plans for approved projects.** Extension Director considers the newly approved proposals in the preparation of their annual work and financial plan.

## **Section 5. Implementation of Approved Projects**

- a.) **Proponents implement their approved projects following their scheduled activities.** Program/project leaders implement their approved projects at their respective colleges/campuses in coordination with RECETS. While the University has RECETS that is in-charge of the research and extension functions, the planning and implementation of research and extension projects is decentralized but unified up to the department level. This approach has been institutionalized and exemplified in CvSU through the concept called **UGNAYAN**.

## **Article 11. Monitoring and Evaluation**

**Monitoring** continuously tracks performance against what was planned by collecting and analyzing data on the indicators established for monitoring and evaluation purposes. It provides continuous information on whether progress is being made toward achieving results (outputs, outcomes and goals) through record keeping and regular reporting systems. Monitoring looks at both



programmed processes and changes in conditions of target groups and institutions brought about by programmed activities. It also identifies strengths and weaknesses in a programmed. The performance information generated from monitoring enhances learning from experience and improves decision-making. Management and programmed implementers typically conduct monitoring.

**Evaluation** is a periodic, in-depth analysis of programmed performance. It relies on data generated through monitoring activities as well as information obtained from other sources (e.g., studies, research, in-depth interviews, focus group discussions, surveys etc.). Evaluations are often (but not always) conducted with the assistance of external evaluators (UNFPA, 2004).

## **Section 1. Monitoring Strategies**

### **a. Mechanisms and Processes**

#### **1. Creation of the University Research, Development and Extension Council (URDEC)**

The Council is composed of the Research and Extension Directors and selected faculty members who are considered experts in their respective fields. The Vice President for Research Development and Extension chairs this council. The University President designates the members of the URDEC.

The Council primarily reviews research and extension policies, guidelines, programs and projects. In relation to monitoring and evaluation, the group acts as Panel of Reviewers during the Extension Agency In-House Review. They review and evaluate various on-going and completed extension programs/projects and activities of the different colleges and branch campuses.

#### **2. Appointment/Assignment of the Research, Development and Extension (RDE) Coordinators for the different colleges and campuses.**

Each of the Colleges and branch Campuses assigns Research, Development and Extension (RD and E) Coordinator. The main role of these coordinators is to coordinate and monitor the research and extension activities in their respective colleges/campuses. He or she serves as the point person and as conduit to other units/agencies,



both internal and external in matters pertaining to research and extension activities. RD and E coordinator under the guidance of the Dean prepares the Research, Development and Extension Agenda of the college/campus.

### **3. CvSU Extension Agency Annual In-House Review**

The stated goals and objectives of this Review are as follows:

**Goals** :The annual agency in-house review for extension aims to:

- Establish an additional institutional mechanism for the monitoring and evaluation of the different extension programs/projects/activities (E-PPAs) of the Cavite State University system
- Increase faculty and staff participation in extension and outreach activities
- Acquire papers on CvSU extension services which are acceptable for publication on appropriate Journals;
- Improve techniques, strategies and/or approaches in extension;
- Assess the attainment of objective of the College/University completed and on-going extension; and
- Identify problems met during project implementation and recommend specific courses of action to these problems;

**Objectives** : Also, this activity aims to:

- Encourage faculty and staff to write their extension works and outputs
- Present the extension activities of the different colleges and campuses
- Recognize and award commendable extension programs, projects and activities



- Document results of extension programs, projects and activities
- Acquire effective and innovative techniques and/or strategies in extension

The mechanics of Extension In-House Review are indicated in *Appendix 1*.

- 4. Meetings** – Dean or Director conducts regular meetings with their unit heads and/or staff to monitor the planned and on-going activities including that of extension matters.

The Director of Extension services coordinates and monitors the extension activities of the different colleges primarily through meetings with the different Research, Development and Extension (RD E) Coordinators.

- 5. Field Visits** – All faculty members and staff engaged in extension activities are conducting regular field's visits to their respective service areas. In the UGNAYAN service area of the CvSU main campus, the RD and E Coordinators either go in group or individually.

- 6. Accomplishment Reports** – The Extension Services regularly submits monthly, weekly and daily accomplishment reports to the concerned offices. At the end of the year, a Performance Accomplishment Report (PAR) is submitted to the Office of the President through the RECETS office. This PAR compares the year accomplishments vis-à-vis targeted activities.

- 7. Telephone calls** – The presence of modern technologies like the cell phones make it easy to contact and collect information and updates from RD and E Coordinators, faculty extensionists and clients.

- 8. Memorandum and Other Written Communication** – The Conventional methods of monitoring projects are through memoranda and other written communication, e.g. letters.

**a. Monitoring Reports and Other Forms**

To effectively monitor planned and on-going extension projects and resources of Extension Services, the following forms shall be used:



- Daily Performance Report
- Activities/Projects Progress Report (Weekly/Monthly)
- Monthly Expenditure and Income of Projects/Services
- Student Loan Fund
- Loan and Payment Status (Semestral)
- Form to Monitor Number of Visitors Served and Accommodated

## **Section 2. Evaluation Strategies**

### **a.) Mechanisms and Processes**

The University has established mechanisms and processes by which regular monitoring and evaluation of extension services and resources are ensured. As mentioned earlier, these include designation of RDE Council and RDE Coordinators; and the conduct of yearly in-house review.

The Extension Services has just introduced the logical framework approach (LFA) or concept in the evaluation of extension programs and projects. It has adopted the use of Logical Framework Model (Appendix 2) in the presentation of papers during the In-House Review. This model is able to represent the different types of evaluation.

### **b.) Types of Evaluation**

There are different kinds of approaches to evaluation, based on when it occurs (process vs. outcome), the intentions of the evaluator (formative vs. summative), and who does the evaluation (internal vs. external).

Evaluations maybe conducted at any of several phases of program development and implementation. Process and outcome evaluations relate to the phase of the program studied. Process evaluations examine what goes on inside the program while it is in progress, focusing on such things as activities offered, staff practices, and client actions. Evaluating program processes may be very helpful in understanding why program objectives are or are not met. Outcome evaluations put emphasis on the program objectives or outcomes: what happens to clients as a result of their participation in the program. The processes and outcome evaluations may either be formative or summative, depending on the intentions of the evaluator (or those who hire the evaluator).



Program sponsors and taxpayers typically are interested in program accountability, which calls for summative evaluation. Summative evaluation helps to answer the question, “Is the program earning its keep?” and provides information which can be used to help program sponsors make informed decisions about program funding. In comparison, a person who implement programs are often more interested in learning how to improve their programs. Program improvement is the purpose of formative evaluation. When an organization has an evaluator or evaluation team on staff to evaluate their own programs, this is considered internal evaluation. External evaluations are conducted by outside by outside evaluation organizations or independent evaluators (PREL).

With the use of Logical Framework Approach in the In-House Review, CvSU Extension Services performs process and outcome evaluations, formative and summative evaluations (on-going and completed projects) and considered internal and external evaluator as stated in the approved proposal.

#### **c.) Reports and Other Forms**

Extension evaluation takes place in all stages: the planning, implementation and after implementation phase of a program/project.

- Interview schedules and questionnaires – are frequently used on these activities in the conduct of Benchmark Survey and Training Needs Assessments (TNA) and in the evaluation of on-going extension activities.
- CEAAIREV Format for Writing Extension Report – for on-going and completed extension activities.
- CEAAIREV Abstract (For Paper and Poster Presentation)
- CEAIREV Format for PowerPoint Presentation – for reporting extension activities.
- Poster Presentation – for on-going and completed extension activities.
- CEAIREV Criteria for Paper Presentation – for on-going and completed extension activities.



- CEAIREV Criteria for Poster Presentation – for on-going and completed extension activities.
- Logical Framework Model – for planning, monitoring and evaluation of extension programs, projects and activities.
- Annual Performance Target and Accomplishment
- Annual Report

**Article 12. ATTACHMENT A: Mechanics of Implementation  
for Extension In-House Review**

**1. Coverage**

The activities in the proposed agency in-house review include paper and poster presentations of completed and/or on-going extension programs/projects/activities. An activity like the conduct of a seminar or symposium on particular issue, topic or innovative approach in extension education and extension-related subject maybe included.

**2. Management and Administration**

The CvSU Extension Services will lead in the conduct of the agency in-house review in coordination with the different colleges and campuses.

The Director of Extension Services or his/her designated staff shall serve as the overall Coordinator of this event.

Various committees will be created with members coming from the University Research Development and Extension Council [URDEC] and the pool of Research, Development and Extension [RDE] Coordinators from the main campus.

The URDEC members and invited individuals from the linkage agencies will compose the Panel of Evaluators.

The Panel of Evaluators shall be responsible for the evaluation and selection of the best extension paper.

A committee for the evaluation of posters presentation will be created by the Extension Services Director.



### **3. Paper and Poster Presentation and Evaluation**

- Completed and on-going extension programs/projects/activities (E-PPAs) shall be presented. Each E-PPA shall have an approved proposal from the respective authorities prior to its implementation.
- This proposed activity covers the E-PPAs of the whole Cavite State University system.
- E-PPA without approved proposal prior to its implementation shall be accepted for presentation in the initial in-house review, as long as this is recognized as an extension or outreach activity of the unit concerned through the endorsement of their respective heads.\*
- Extension program/project/activity to be presented shall be outside or not considered part of the academic requirements of the students.\*
- There shall be a common format for report writing and oral (PowerPoint) presentation.
- Report to be submitted for presentation shall be properly endorsed by the respective authorities such as the Department Chairperson and Dean.
- A clear, concise abstract is required for all presentations. An abstract is a narrative description of the content of presentation. This will be attached in the documentation of the in-house proceedings.
- Presenters shall be given 20 minutes, 5 minutes for AV equipment preparation and 15 minutes actual presentation.
- There shall be a poster presentation during the in-house review. Top three commendable papers and posters presentation shall be selected and the first in rank shall be given best poster and best paper awards for extension.
- There shall be a set of criteria for the evaluation of paper presentation and poster presentation.

### **4. Implementation Period**





The CvSU Extension Annual Agency In-House Review will be conducted yearly, for one whole day period, tentatively two weeks after the local Research in-house review. In the future, the duration may extend to two days, if necessary. Table 1 shows the activities to be done before the actual implementation of CEAAIREV, while Figure 2 shows the flowchart of these activities.





## **RULE XI BUSINESS OPERATIONS**

### **INTRODUCTION**

- The Office of Business Affairs (OBA) is a major unit under the Office of the Vice President for External and Business Affairs (OVPEBA) of Cavite State University. It is mandated to generate income. The idea is for the University to augment whatever subsidy is cut by the government from their regular appropriations, particularly on Maintenance and Other



Operating Expenses (MOOE), a cost cutting measure adopted by the government at the onset of the economic crisis in 1999.

- While OBA has been into business from the time it was put up as Office of Farm Business Operation (OFBO) in the 80's and subsequently Office of Business Operation (OBO) in 1992, it has not yet reached the point where it had helped the University in augmenting its funds for the MOOE. Nevertheless knowing that not much financial support from the government is forthcoming, OBA continues to expand its business operations under the umbrella of E & BA.
- The Office, however, has so far demonstrated its ability to provide employment to 45 workers who are paid a lot higher than those in similar private businesses like piggeries and poultry farms. It also partially supports the two other units of E & BA, namely: the Office of Alumni Affairs (AA) and the Public Information and Community Relations Office (PICRO). Likewise, the workers in the Crop Production Project are highly subsidized by the Office because their main assignment is to maintain the marginal areas of the University, and to raise income is only secondary.
- Given this scenario, the Office of Business Affairs is continuously reinventing itself in order to respond to its mandate.

### **Importance and Role of Income Generating Projects (IGPs) in CvSU**

The primary reason for the establishment of IGPs in CvSU can be summarized as follows:

- IGPs strengthen the instruction, research and extension functions of the University as they provide facilities and technologies necessary for the hands-on experiences of the students, extension workers, entrepreneurs, and farmers. The -project serves as "silent salesman" of the institution and a powerful tool in disseminating information.



- IGPs generate additional income for the University so it can attain flexibility in financial management.
- IGPs provide venues for students, faculty and staff members to hone their business acumen.
- IGPs provide model projects that student may replicate after graduation.

## **Article 1. Vision, Mission, Goals, Thrusts, and Core Values**

**Section 1. VISION:** The Office of Business Affairs of Cavite State University as an aggressive arm of the University in resource generation and an entrepreneurship model of SUCs in the country.

**Section 2. MISSION:** To vigorously pursue a sustainable resource generation program using the University's resources while developing the capabilities of its staff, faculty, students and other partners.

**Section 3. GOALS:** To operate and manage in a corporate-like manner the income generating units of the University and serve as model to other SUCs and individual entrepreneur.

### **Section 4. THRUSTS:**

The specific goals of OBA are:

- 1.) The Office of Business Affairs focuses its effort to raise income through the following thrusts and concerns:

#### **Under Fund 161**

- |                          |                                   |
|--------------------------|-----------------------------------|
| a.) Swine Production     | } momentarily subsidized by other |
| b.) Poultry Production   |                                   |
| c.) Ruminants Production |                                   |



- |     |                        |  |
|-----|------------------------|--|
| d.) | Crop Production        | enterprise; classified as demonstration projects |
| e.) | Food Processing Center |  |

## Under Fund 163

- f.) Rentals and Concessions
  - g.) Marketing and Trading Center
  - h.) Student Housing Unit
  - i.) University Services Unit – includes Faculty Village, Rolle Hall, Swimming Pool, and Feed mill
  - j.) Coffee Trading and Processing
- 2.) OBA projects may be used as laboratory for student entrepreneurs, as well as for instruction and research, endeavors of the University.
  - 3.) It also aims to generate employment by hiring workers and skilled personnel to man its operation.
  - 4.) It also aims to provide consultancy services to other branches of the University and private entrepreneur.

## Section 5. Core Values

OBA operates according to the following core values:

- Commitment – implies commitment to the project, working beyond ones comfort zone when necessary.
- Honesty – implies transparency in all transactions particularly on money matters.
- Resourcefulness – the ability of the Office to source out funds for project operations and expansion.
- Innovativeness – the ability of the Office to reinvent itself and to adjust according to the demand of its various enterprises.
- Service – that the Office share its assets, enterprises, and experiences to other units of the University and to other SUCs.
- Industry – that the Office assures the viability and productivity of all its enterprises through hard work.

## Article 2. IGP Organization and Management

- This chapter presents the organizational structure and the duties and functions of the personnel involved in the operation and



management of Income Generating Projects (IGP) from the administrators to the project managers and laborers.

### **Section 1. Organizational Structure**

The following structure shows the lines of management. Generally, there are five lines of management in the IGP organization, namely: the University President, the Vice-President for External and Business Affairs, the Director for Business Affairs, and the Project Manager. The facilitative staff and consultants (optional) assist the Business Director.

While it is optional, the University President may create a Business Affairs Council which he will head and whose members (4-5) he shall designate, if the numbers of IGP and business concerns are many and diverse.

### **Section 2. Functions of Management at Various Levels**

#### **a.) University President**

The University President shall be the overall head of the Business Affairs Office at CvSU. The functions and responsibilities in the governance and management of the different IGP are inherent to the position of a University President, which are as follows:

- To provide the vision and overall direction of OBA.
- To oversee the overall implementation of policies as approved by the Board of Regents (BOR)
- To appoint the officers and personnel of OBA

#### **b.) Business Affairs Council – (optional)**

Specifically the functions of this Council are:

- Recommend policies and guidelines re business operations to the Board of Regents for approval
- Recommend plans, projects guidelines/regulations relative to the proper management and operation of all IGPs
- Determine investment priorities of IGPs
- Set the performance objectives and standard in the management of IGPs



- Recommend for approval and implementation of an incentive scheme

Based on the performance of the IGP personnel and support staff

- Review, evaluate and recommend for approval the annual project plan and operating budget
- Recommend the suspension and/or termination of the operation of non-viable projects

**c.) Business Council Chairman**

The Business Council Chairman has the following functions:

- To preside all the meetings of the Council
- To assure that the Council perform its primary task of formulating policies, rules and regulations; and
- To represent the Council in all meetings inside and outside of the University which has something to do with IGP

**d.) Vice President for External and Business Affairs (E&BA)**

The E & BA Vice President is the Chief Operation Officer (COO) and is responsible for the overall activities of the Income Generating Projects of the University.

The duties of the COO are as follows:

- Assumes direct responsibility in the overall operation and management of the IGP and in the implementation of policies and guidelines to achieve target with efficiency
- Promotes sense of responsibility, commitment, accountability, harmony, camaraderie, cooperation and, to establish linkages for the smooth functioning of all enterprises
- Prepares and submits semi-annual/annual reports to the University President regarding the operations of the IGPs
- Conducts meetings with the OBA Director and IGP Managers and personnel regarding project operation or any subject relevant to IGPs
- Conducts annual strategy planning with OBA Director and IGP Managers before the start of the year to discuss/agree on the plans and targets, accomplishments and other matters related to IGP operation





- Sources /identifies budget for the operations of the businesses
- Recommends the appointment of OBA Director
- Recommends hiring of employees to the University President; and
- Performs other relevant duties delegated by higher authorities

**e.) Director for Business Affairs.** The OBA Director is designated to supervise the many IGP clustered or grouped into broad classification to be known as project in this manual.

The duties and responsibilities of the OBA Director are as follows:

- Assumes direct responsibility in the overall supervision and management of the project components to achieve established target with optimum efficiency
- Implements policies, guidelines, programs and procedures and serves as the linkage between top management and lower management echelon
- Draws comprehensive plan and budget of the projects and prepares performance reports that may be needed by top management;
- Initiates planning, efficient resource allocation and utilization, and improvement of systems and procedures for greater efficiency in production
- Submits progress report on the performance of all projects to the Vice President for E&BA
- Recommends hiring of employees to the VP-E&BA
- Recommends the dismissal/termination of services of projects personnel found to be a liability to his unit
- Performs other related duties as may be required by higher authorities

**f.) Project Manager**

The Project Managers are the direct implementers of the IGPs. They are designated by the University President upon the recommendation of the VP for E & BA and the OBA Director.

Duties and responsibilities of the Project Managers:

- Exercise direct supervision and management of the project;
- Prepare project proposal/business plan;
- Process requisition/voucher for the purchase of materials;



- Device strategies for the marketing of IGP products;
- Implement IGP policies;
- Supervise project personnel/staff;
- Prepare and submit periodic report to the OBA Director;
- Recommend hiring of project workers to the OBA Director; and
- Perform other duties that may be assigned by higher authorities.

**g.) Facilitative Staff, Auditor and Other Project Personnel**

The IGP facilitative staff is composed basically of the following: Budget Officer, Accountant, Cashier, and Supply Officer. However, E&BA may assign its own staff to do some of the work of these people. The duties and responsibilities of these personnel are:

**1. BUDGET OFFICER**

- Programs the funding requirements of various IGP
- Prepares the consolidated financial plan and budgetary requirements of the different projects.
- Makes recommendations and representations to top management as to the demand and priority needs of OBA operation.
- Evaluates IGP financial transactions; and
- Performs other duties that may be assigned by higher authorities.

**2. ACCOUNTANT**

- Prepares financial reports and other requirements related to IGP
- Sees to it that all financial transactions are in accordance with the accounting, auditing and other relevant rules and regulations
- Assigns checker/ inspector of all purchase (i.e., supplies, materials and equipment for use in IGP operation)
- Monitors financial cash flow
- Performs other duties that may be assigned by higher authorities.



### **3. CASHIER**

- Is responsible in the collection, deposit and disbursement of the projects' fund
- Controls and maintains the bank and cash collection books;
- Prepares collection and disbursement reports.

### **4. SUPPLY OFFICER**

- Handles and keeps the records of all OBA properties
- Takes charge of the purchase of OBA semi-expandable supplies and materials, equipment, and other needs of the projects
- Prepares inventory reports of OBA equipment and other assets
- Performs other responsibilities as may be assigned.

### **5. AUDITOR**

- Pre and Post- audits the financial transaction of OBA;
- Evaluates the system and its operations

### **6. OTHER PROJECT PERSONNEL**

These may include consultants, project analyst, marketing analyst and monitoring and evaluation personnel who may be hired on a case-to-case basis upon the recommendation of the Business Council.

The consultants who are specialists in their field and under the employ of the institution as faculty/staff member may be called upon to provide technical advice to the Business Council and Project Managers regarding the operation of the IGP in general and the project in particular.

## **Article 3. Administrative Procedure**

### **Section 1. Personnel Management**

- 1. Project Managers** – shall be subjected to screening by the Business Council to determine their qualifications / expertise in the project where they have been recommended.

The following are considered minimum criteria:



- Preferably a faculty member or non-academic staff with permanent appointment
- With sufficient experience in managing a project in line with his / her specialization.
- With proven honesty, sincerity, industry, commitment and willingness to work.
- A Project Manager shall be assigned to only one project
- The Project Manager shall supervise the laborers and can utilize student laborers who are to be paid based on the existing student rate in the University subject to the recommendation of the OBA Director and Director of Student Affairs and approval of the University President.
- The Project Manager shall recommend Field Personnel to the OBA Director who shall recommend to the President thru the VP-E&BA for consideration and approval.

## **2. Hiring of IGP Personnel**

- Hiring of personnel such as clerks, production supervisors, production workers, utility personnel, sales clerk and administrative staff such as bookkeepers, accountant etc. shall be the responsibility of the OBA Director upon recommendation of the VP-E&BA to the University President.

## **Section 2. Operational Management**

1. The management and operation of all projects shall be in accordance with the guidelines set forth in the National Budget Circular No.331 and 331-A and COA Circular No. 84-239
2. The E&BA is tasked with the responsibility of drawing the production policy and rationalizing the production program of the University Project in accordance with the direction and over-all program set by the University President
3. The Business Council In consultation with its technical consultants shall draw medium range production and/or land use plan submitted to the Budget Officer.
4. No production project shall be implemented without an approved project plan and budget.



5. Procurements of inputs, supplies and materials and equipment shall be the function of the institution's procurement officer.
6. Issuance of inputs in accordance with the approved project plan and budget shall be done after properly accomplishing the requisition form.
7. Record keeping shall be enforced to all Project Managers by using prescribed forms.
8. A consolidated project report / statement of operation must be submitted to VP-E&BA. For crop production and special projects, the report has to be submitted at the end of the cropping period while the project report on poultry, livestock, nursery and other project should be submitted on a monthly basis.
9. The time of marketing and the choice of outlet shall be pre-determined before the produce is harvested or before production commences.
10. Custom hiring of farm machinery shall be allowed only if there is no available unit in the University.
11. Hiring of workers through work order basis shall be allowed during harvest period, repair of facilities or when there is a need to meet quotas in case of production.
12. In case of critical project activity where there is labor shortage, pooling of manpower shall be done with the approval of the OBA Director.
13. All IGP Personnel shall be issued an appointment / designation. A faculty member participating in any IGP activities shall receive a corresponding minimum Equivalent Teaching Load (ETL) Contact Hour Work (CHW) based on the following:

a. VP-E &BA	15
b. Chairman, Business Council	15
c. OBA-Director	15
d. Member, Business Council	4
e. Project Manager	10
f. Consultant / Specialist	4



### **Section 3. Marketing of Produce**

- The produce of the various projects shall be sold preferably through the Marketing and Trading Center.
- The Market Analyst shall collect market data to be used by the project manager in pricing their produce.
- The market analyst shall conduct periodic consultation with the VP-E & BA, OBA Director, Project Manager and Marketing and Trading Center In-charge regarding the market situation and how E & BA management reacts to it.
- The pricing of product shall be cost of product plus mark-up of 20-25 percent if on cash basis and additional 5 percent if on credit basis.
- The pricing committee to be chaired by the VP-E & BA and whose members are composed of the OBA Director, Project Manager, Marketing In-Charge and Market Analyst may be formed to decide on matters re: prices and pricing of products.

### **Section 4. Product Disposal**

- Product availability and schedule of selling may be advertised on the bulletin board of all units of the University.
- Faculty, staff and students shall be given priority in the purchase of products with limited availability.
- Purchase of products by salary deduction shall be granted to faculty and staff members. The credit shall be deducted 100 percent on the 2<sup>nd</sup> payday from the date of purchase.

### **Section 5. Use of IGPs for Instruction**

All IGPs shall be made available as laboratory for students taking up business and other related courses. The use of this business facility shall be governed by the following guidelines:

- 1) The Department Heads concerned should inform in writing the management in advance as to the number of students who will undertake field practice and when they would actually be fielding the students.
- 2) The students shall be given assignments on the different aspects of the business as per request of their instructor.



- 3) All books of accounts shall be made available to them if required in the course of study provided, that such records will not have adverse effect on the conduct of the business.
- 4) The Project Manager and the instructor teaching the course shall prepare detailed guidelines for the students to follow during their field practice.
- 5) The students in consultation with the Project Manager shall prepare a field practice report based on their actual experience during the period.
- 6) The students upon completion of field practice report shall submit a copy of the same to OBA.

## **Section 6. Recording and Reporting System**

Records are necessary in monitoring and evaluating the project performance. These serve as basis in making decisions, formulating policies, and calculating incentives. The IGP shall maintain a complete book of reports of all transactions. Monthly reconciliation of accounts shall be done to keep track of the financial status and viability of the business.

The following records are to be kept and maintained by specific unit and personnel involved in IGP operation.

### **OBA Director's Office:**

- 1) Journal of Obligation
- 2) Performance Status of the Project – (Quarterly)
- 3) Performance Status of the Project Manager – (Quarterly)
- 4) Semi-Annual and Annual Report
- 5) Appointment Papers
- 6) Records of Absences
- 7) Contracts
- 8) Payroll
- 9) Copy of OS, PR, Abstract of Canvass, ROA, Voucher
- 10) Financial Analyst Report
- 11) Payroll Of Benefits and Incentives
- 12) Designation Papers of Project Managers and Supervisors

### **Project Manager's Office:**

- 1) Production Plan
- 2) Sales Record
- 3) Status Report of Project
- 4) Records of Receipts and Expenses



- 5) Record of Production
- 6) Income Statements prepared by Project Manager, Project Analyst and Accounting Office
- 7) Cash Book
- 8) Financial Analyst Report
- 9) Semi – Annual and Annual Report
- 10.) Inventory Report

**Accounting Office (OBA & University):**

- 1) Journal of Obligation
- 2) General Ledger
- 3) Subsidiary Ledger
- 4) Checks Issued
- 5) Trial Balance
- 6) Income Statement of Projects

**Cashier's Office:**

- 1) Cash Book
- 2) Bank Book
- 3) Reports of Cash Issued and Cash Disbursement
- 4) Monthly Accountability Report
- 5) Report of Daily Collection
- 6) Report of Daily Deposit

**Supply Office (maybe delegated to OBA Staff):**

- 1) Bidding Form
- 2) Invitation to Bid
- 3) Abstract of Bid
- 4) Purchase Order
- 5) Ledger Card for IGP Equipment, Semi- Expendable and other Properties
- 6) Inventory Supplies/Inputs
- 7) List of Equipment and Machineries

**Personnel Office**

- 1) Appointment Papers of Employees
- 2) Record of Vacation and Sick Leave
- 3) Copies of Labor Contract

**Section 7. Process Flow of Papers**

This section of the manual shows the specific activities of IGP operation and the responsible office/person in the preparation and approval of the papers.



**1. Procurement**

- |   |  |
|---|--|
| a. Preparation of project plan and budget | - Project Manager                        |
| b. Consolidation of input requirement     | - OBA-Director                           |
| c. Certification of fund availability     | - Budget/Accounting                      |
| d. Procurement of inputs                  | - Supply Office                          |
| e. Delivery/Acceptance                    | - Property Section /<br>-Project Manager |

**2. Issuance of Supplies**

- |                         |                   |
|-------------------------|-------------------|
| a. Issuance of supplies | - Supply Office   |
| b. Receiving Officer    | - Project Manager |

**3. Salaries and Wages**

- |                                       |                              |
|---------------------------------------|------------------------------|
| a. Preparation of Payroll             | - Accounting Office          |
| b. Certification of daily time record | - OBA Director               |
| c. Recommending Approval              | - VP-E&BA                    |
| d. Certification of fund availability | - Budget                     |
| e. Recommending Approval              | -Director for Administration |
| f. Check Preparation                  | - Cashier/Accounting         |
| g. Approval                           | - VP-ASS                     |

**4. Payment of Contracted Service**

- |                                   |                                       |
|-----------------------------------|---------------------------------------|
| a. Certification of Job Completed | - Project Manager                     |
| b. Inspection                     | -OBA Inspector/ Facilitative<br>Staff |
| c. Acceptance                     | - OBA – Director                      |
| d. Preparation of Voucher         | - OBA–Office                          |

**5. Product Disposal** (applicable mainly to products of agribusiness IGP)**Livestock Poultry**

- |   |                           |
|---|---------------------------|
| a. Request to dispose animal            | - Project Manager         |
| b. Certification of Health of Animal    | - University Veterinarian |
| c. Recommending Approval                | - OBA–Director            |
| d. Approval                             | - VP–E&BA                 |
| e. Inspection/Certification of Sale     | - OBA Inspector           |
| f. Payment/Remittance at Cashier Office | - Buyer/Project Manager   |
| g. Issuance of Receipt                  | - Cashier Office          |

**Farm Crops**



- a) Delivery of Product to the Marketing – Project Manager Marketing and Trading Center
- b.) Acceptance of Products/Issuance of Delivery Receipt – Marketing and Trading Center
- b) Issuance of Invoice to Buyer – Marketing and Trading Center
- c) Acceptance of Payment/Remittance to Cashier – Marketing and Trading Center
- d) Deduction of Credit Sale – Marketing and Trading Center
- f.) Monthly Report of Sale – Marketing and Trading Center

## **Section 8. Records, Forms and Format**

The records, forms included in this Manual are classified by type of project. The importance and use of each record are also indicated. The Manual presents only the basic records needed for project operation. Other records maybe formulated based on the particular requirement of a project.

### **For All Types of Projects:**

- 1.) **Project Plan and Budget** – shows the overall activities, dates and corresponding amount of money required for one production cycle. This is the basis for the purchases of inputs and the timeliness of the activities. This record is needed for monitoring the progress of the project (OBA Form 1) see Appendix I.
- 2.) **Daily Transaction Record** – serves as logbook of daily transactions in the project and as basis in the preparation of sales and expenses records (OBA Form 2) see Appendix II.
- 3.) **Remittances Slip** – used when a Project Manager remits his collection for the day. The total amount is part of the sales of the project (OBA Form 3) see Appendix III.
- 4.) **Gate Pass for the Product Released** – shows the name of the buyer, quantity of the product and the official receipt number. This record is needed to monitor products coming out of the campus, and deter the possible incidence of pilferages (OBA Form 4) see Appendix IV.
- 5.) **Cash Sales Record** – shows the amount of cash sales including the name of the buyer and items purchased (OBA Form 5) see Appendix V.



- 6.) **Accounts Receivables Record** – shows the amount of credit sales, name of buyer and item purchased (OBA Form 6) see Appendix VI.

**Examples of Records to be kept and used for specific projects in agribusiness ventures are:**

**For Crop Projects**

- 1) **Production Record** – presents the gross yield and net yield in fresh weight basis. It can be used to calculate the yield per hectare. It is filled up at the end of each cropping season (OBA Form 7) see Appendix VII.
- 2) **Expenses Record** – identifies the quantity and costs of inputs and the expense for contract labor. This record is filled up within the cropping season and should be consistent with the expense items listed in the project plan and budget. It can be used for all types of projects (OBA Form 8) see Appendix VIII.
- 3) **Inventory of Supplies** – indicates the amount and value of inputs left after one production cycle. It is done at the end of the cropping season (OBA Form 9) see Appendix IX.
- 4) **Weight Slip** – shows the number of bags and weight of the produce. This is given by the warehouseman to the Project Manager as the produce enters the warehouse and after drying the produce, in case of black pepper and coffee products (OBA Form 10) see Appendix X.

**For Animals/Fishery Projects**

- 1) **Feed consumption and weight record** – shows the population, weight of animals and feeds consumed. It also shows the computation of feed conversion ratio (OBA Form 11) see Appendix XI.
- 2) **Flocks production record** – presents the population, egg production and feed consumed for the whole flock. It shows the computation of feed conversion ratio (OBA Form 12) see Appendix XII.
- 3) **Egg production and disposal record** – indicates the egg production by size and the amount of eggs sold (OBA Form 13) see Appendix XIII.



- 4) **Health care and management** – shows the activities undertaken in a day, that have direct relation to health management.(OBA Form 14) see Appendix XIV.
- 5) **Feed consumption record** – presents the amount, type and cost of the feeds. This format is appropriate for hog fattening, goat and fish projects (OBA Form 15) see Appendix XV.
- 6) **Monthly inventory record** – shows the beginning and ending inventory for each class of animals including their value and the number of animals/fish added and disposed (OBA Form 16) see Appendix XVI.
- 7) **Breeding record** – monitors the date of breeding for each female and male animal, the expected and actual date of birth, the number of litter and litter size (OBA Form 17) see Appendix XVII.

#### **Article 4. Business Operation and Procedures**

- At present there are seven (7) main categories of Income Generating Projects in CvSU. These are Animal Production, Crop Production, Rentals and Concessions, Marketing and Trading Center, University Services, Coffee Trading and Student Dormitory. These IGPs are being operated as business undertakings with profit orientation.
- As a business entity the OBA deals with common business concepts such as supply and demand, market and market share, production output, overhead cost, profitability, etc. The IGPs shall be able to provide learning activities and hands on training to students of the University.
- The continued viability of the IGPs allows for a sustainable operation and also serves as showcase to the community on the effectiveness of the University as a learning institution.

#### **Section 1. Operating Procedures**

##### **A. Production (ANIMAL, CROP and PROCESSING)**

- 1) **Planning** – A business plan shall be prepared by the Project Managers and reviewed and recommended by the VP-E&BA and OBA Director for approval of the President upon consultation with the Business Council.



- 2) **Budgeting** – The budget office allocate fund for particular project.
- 3) **Business Operation** – A Project Manager is assigned to manage the day-to-day activities of the project. These include daily project activities, purchase of materials and selling of products. As crops, animals and processing of products have their specific requirements on cultural practices and management as well as recipe ingredients and processing procedures for specific kinds of products, such step-by-step processes are not detailed in this manual.
- 4) **Income** – The proceeds of sales shall be remitted to the cashier not later than 5 pm during the day the transaction was made.
- 5) **Purchasing of Supplies and Materials** – The usual government practice of canvassing from at least three (3) qualified suppliers shall be made. The unit inspector shall inspect the purchased stock or product before the final transaction is consummated.
- 6) **Auditing** – All OBA transactions are subject to pre and post audit just like any other government transactions.
- 7) **Reporting** – Regular reporting on the progress and financial aspects of the project operation shall be the responsibility of the Project Manager. This should be done on a monthly, quarterly, semi-annually, annually or whenever the situation requires. The reports shall be able to give a clear status of the business.
- 8) **Selling of Products** – The selling of products is a shared responsibility of the Production Manager of the Marketing and Trading Center and that of concerned enterprises. Before selling can be done reliable market information should be available. This could be obtained thru direct market contact or through market intelligence. This is the responsibility of the market analyst.

## **B. Type of Production Activity**

1. **Broiler Contract Growing** – A linkage with a private business entity is necessary for this type of operation. This type of agreement should be able to give a reasonable income for the University in such a way that the business will be sustainable.
2. **Swine Production** – The piggery should be able to maintain a good number of breeders and produce good quality piglets. The pigs shall be sold as weanlings or grown as fatter and eventually sold for its meat.



- a.) **Weanling Production** – This in itself is profitable enough and does not require the business to invest on so many feeds. The piglet is raised to a maximum of 70 days in the farm and sold according to the prevailing market price.
- b.) **Fattener Production** – This means additional on feeds and fluctuation in fattener price is a risk that the management has to take.

The Manager should be able to assess the overall situation and must be able to decide on whether to sell weanlings or fatteners or both.

### 3. **Crop Production**

Being originally an agricultural institution, the University or OBA in particular, maintains a crop production area and plant nursery. The purposes of these two undertakings are: as demonstration farm for hands-on training of students and for familiarization on the business aspects of an agricultural enterprise. The main products of this unit are planting materials of forest trees and various tropical fruits, coconut, root crops, dragon fruit, etc.

### 4. **Food Processing (Coffee, Fruits and Vegetables)**

Since most farm products are perishable by nature, it is necessary that processing be integrated into production. Fruits, meat products, milk that are not sold because of oversupply should be processed and in that way can be stored for longer period. Also additional value can be accounted to the product this way. The Food Processing Center should be able to produce high quality product that are acceptable to the market. This means that the product should pass the standard of DTI, BFAD and other licensing body. A Coffee Processing Center jointly managed by CvSU and Agricultural Competitiveness Enhancement Fund (ACEF) is included in this unit.

## **Section 2. Rentals and Concessions**

The main campus of the University is located in 69.75-hectares of land 500 meter away from the town proper. Inside the campus there are, more or less 6,000 students and around 350 university personnel. The OBA Management considers this population to be large enough for a suitable business activity. Inside the campus, OBA rented out 25 food stalls and business spaces with rentals ranging from P4, 500.00/month for a 20sq.m. Stall (Paradise Area, Batibot Area in particular) to as much as P30, 000.00/month for a large canteen located at Student Union Building and Old Office of Student Affairs (OSA).



### **Section 3. University Service Unit**

Included in the University's IGP are provisions of services in the form of event accommodations, leisure facilities, student housing, printing services, campsite, etc. A Project Manager, aided by sub-unit head, manages this unit.

#### **B. Rolle Hall**

It is a big hall named after Mr. Santiago M. Rolle, the University's First President. It can accommodate 250 people. It is suitable for wedding receptions, birthdays, seminars and workshops, political events, etc. It is being rented on a per day basis. The price ranges from P5, 500.00-P7, 500.00 per day depending on the type of equipments required.

#### **B. Swimming Pool**

It is composed of one (1) Olympic size swimming pool and two (2) children pool. The pool is supplied with spring water that continually flows. The entrance fee is P50.00 for children and P75.00 for adults but may be changed according to the trend in the locality. Exclusive use of the pool maybe availed through arrangement, the cost of which is from P5, 000.00-7,000.00/ day.

#### **C. Faculty Village**

Composed of 31 units whose rentals ranges from P400.00 to P1, 500.00 per month. Qualification to be able to acquire a unit is based on certain guidelines as stipulated in the revised policy on housing.

#### **D. Printing Services Unit (PSU).**

The PSU is the official printing unit of the University. It prints all papers and documents for all colleges and offices of the University. A system of transfer of funds from other units of the University or direct payment through voucher is being practiced for this purpose. The idea is to centralize all printing jobs within the University so as to avoid job commissions to private entities. Through this system, the University saves a lot of money and at the same time OBA earns a sizeable income.

An assistant unit head and two (2) printing technicians manage the printing office.

#### **E. Postal Service**

The University operates a Post Office which is mainly service oriented and does not contribute much to the earnings of OBA.

### **Section 4. Student Housing Unit**





The student dormitory is comprised of four (4) buildings and can readily accommodate 1,000 students at the maximum. The newest dormitory is a four-storey building with a 600-bed capacity. The Student Housing Unit aims to provide the students with comfortable and safe dwelling place inside the campus and at the same time intend to earn a modest income. The dormitory fees ranges from P250 to P500 per month depending on the kind of accommodation required by the occupants. House parents are employed in the dormitory to provide guidance and counseling to the occupants as well as to do the housekeeping chores. University visitors and transients are accommodated on a per day basis.

During vacation, the dormitory accommodates retreats and religious activities to maximize the earning potential of the dormitory.

The income of the dormitory is utilized for its maintenance, repairs as well as for the salaries and wages of the house parent. The dormitory is managed by the Head Houseparent who is under supervision of the Project Manager for University Services.

## **Section 5. Marketing and Trading Center (MTC)**

The Marketing and Trading Center (MTC) is the official marketing arm of OBA. Its function is to sell all the products of all OBA production units and other units who chose the MTC to be their market outlet. It also operates a grocery store inside the campus. A Project Manager heads it.

### **Specific Functions of Marketing and Trading Center**

- Maintains a grocery store inside the campus
- Supports all production unit in merchandizing their product
- Conducts external business transaction
- Involves itself in bulk trading of basic commodities such as rice, sugar, laundry detergents, fish and meat products.
- Serves as the official product outlet of the Food Processing Center.
- Serves as the marketing arm of Coffee Project under DA-ACEF- CvSU Consortium.

### **Income of Marketing and Trading Center**





1. The MTC obtains its merchandise thru purchase or consignment. Through this the MTC add a mark up of 20- 30%.
2. **Grocery Operation.** Goods in the grocery are available on credit on a limited basis. Such credit shall be deducted in full from the customer's salary during the next payday. Customers who pay cash are given a certain discount, depending on the volume of purchase or on selected items. Mark up on grocery items ranged from 10-20%.
3. **Goods from Food Processing Center.** Goods from FPC are forwarded to the MTC and after passing thru a quality control procedure becomes the responsibility of MTC provided that the product does not deteriorate before the expiry date. Defective products are returned to the FPC. The mark-up of the FPC product ranges from 20-30%.
4. **Meat Products** – the MTC obtains the meat products from the Animal Production Unit of OBA. If such products are not available, the MTC is allowed to tap supply from outside sources. The income from this transaction may reach up to 25 percent.
5. **Uniforms and other school paraphernalia** – School and PE uniforms are available at MTC. These items are made by consignees who share 10 percent of gross sale to MTC.
6. **Captive Market** – All food stalls and canteens are obliged to purchase from MTC all items available at competitive price hence they are considered “captive market”.

## **Article 5. Policies and Guidelines for Business Operations**

### **Section 1. Legal Basis for State Universities and Colleges to Undertake Income Generating Projects**

1. **LOI No.872 (08 June 1979)**
  - a) Encouraged Agricultural Schools, Colleges, and Universities to participate in food production project
  - b.) Authorized schools to establish Revolving Fund (RF) from the income and food production program.
2. **NBC 33 (27 November 1980)**



- a) Authorized the establishment of Revolving Fund for agricultural school
- b) Provided guidelines to implement LOI 872
- c) Prescribed rules and procedure concerning the creation of RF out of the income realized from agricultural projects
- d) Created Fund 161

**3. LOI No.1026 (23 May 1980)**

- a.) Directed the acceleration of manufacturing operation of national schools.

**4. COA Circular No.84-239 (15 August 1984)**

- a) Prescribed uniform procedure of proper evaluation, recording and reporting of products acquired or produced by government agencies.

**5. DBM Circular Letter No.92-8 (18 November 1992)**

- a.) Provided guidelines on the establishment of RF of SUC for the operation of auxiliary services and Created Fund163.

**6. DBM Circular Letter No.94-5**

- a.) Prescribed the rules and procedures in the granting of honoraria to government offices and employees in various specific projects.

**7. NCC 75 (01 March 1995)**

- a.) Prescribed the rules and procedures in the granting of honoraria to government offices and employees in various specific projects.

**8. RA 8292 (June 1997)**

- a.) Provided power to SUC governing board to allow the school in generating more income through a more effective utilization of their existing resources
- b.) Authorized the SUC governing board to decide on the use of school income for any reasonable purpose which in its discretion, maybe necessary and urgent for the attainment of the objective and good of the University or College.



**9. General Appropriation Act FY 2000 (Sec.4 of the General Provision)**

- a) Authorized existing RF to continue their operation except those, which are reflected under the “use income” and considered RF, are self-perpetuating and self-liquidating.

**Section 2. Other Policies and Guidelines**

**1. Animal Production Project  
Policy on the Use of the Animal Production Area**

1. The Animal Production Area is under the supervision and management of the OBA.
2. The Animal Production Area stretches from the present gate at the North of Department of Animal Science down to the end of the property at the Newly Acquired Land and in between the Bancod and the Alulod rivers.
3. When any of the department or college of the University, including satellite campuses, wants to use the portion of the area or facilities the personnel concerned, upon approval of its respective Dean or Director, should have proper coordination with the University Veterinarian and OBA Director. Such use/uses shall be in relation to the tripartite functions i.e., instruction, research and extension.
4. OBA shall be authorized to enter into contracts with private entities with respect to its production operation and/or income generation most beneficial to the performance of the University, the OBA and its personnel. The University President, however, shall remain as the signatory to the said contracts.
5. Vehicles that delivers enterprise needs and hauls products, whether, live animals or carcass shall be allowed to enter the Area; provided, however that for the latter, a corresponding gate pass shall be submitted to the guard-on-duty prior to its exit from the campus.
6. Except those duly authorized by the OBA Director, no person/s shall be allowed to stay in the Area during night shift, Saturday, Sunday, holidays and non-class days.
7. The person concerned in accepting visitors that would enter the Area shall exercise proper coordination with the OBA Director and also with the University Veterinarian in case the target of visit is the animal production projects.

**a. Poultry and Livestock Project**



- The project is under Contract Growing Scheme with *Sustamina Agro-Industrial Corp.*
- The project laborers are responsible in recording accurately the quantity of products or saleable items using project records.
- Payments are made 10-15 days after harvest, using checks addressed to CvSU.
- There should be 5-6 growing cycle per year.
- Reports are prepared every end of the cycle.
- The Project Manager monitors the project daily.

**b. Goat Project**

- The project is primarily a breeder farm for the production of bucks and does.
- It uses semi-confinement and complete confinement rearing method.
- Undesirable animals (poor growth performance, with abnormalities, etc.) are sold for slaughter.
- Selling of breeder stocks is on a first-come-first serve basis.
- Buying is by reservation. The buyer has to wait for 6-8 months before he acquires the animal.
- Veterinary health certificate must be issued to disposed animals.
- Pricing is based on blood composition.
- The Project Manager issues sales invoice and remits payments to the cashier who issues official receipts.
- All report should be submitted semi-annually to the VP-E&BA and OBA Director.
- The Project Manager visits the project daily.

**c. Swine Project**

- The project maintains daily inventory of animal stocks and inputs, summarized on a monthly basis. The animals are classified as dry and pregnant sows, boars, gilts, fatteners, suckling and weanlings. A monthly inventory report is submitted to the OBA Director.
- Income and expense report, change in inventory and mortality are reported monthly to the OBA Director.
- The semi-annual and annual summary of project performance is prepared and submitted to the OBA Director.
- A request for sale of large animals is approved by the OBA Director before the disposal of the animals especially breeders.



- Disposal and sale of pigs are done at the project site where sales invoice is issued to the buyer.
- Prices are based on prevailing market price from a survey determined by the Project Manager or Market Analyst.
- Customers of weanlings and fatteners are regular and walk-in buyers.
- Sale proceeds are remitted to the cashier's office, which issues official receipts.
- Monitoring of the project is daily (about 1 hr/day) including weekends and holidays.
- There are two (2) laborers for 40 sow levels. The ideal ratio is two (2) laborers for every 50 sows for the existing type of facilities at the projects.

**d. Cattle Project**

- The Project Manager keeps individual record with complete description and condition of the animals in the project.
- The OBA Director before disposal of the animal approves request for sale of an animal.
- Livestock buyers are informed of the availability of animals for sale through public posting or word of mouth.
- The prices of animals are based on prevailing farm gate price, usually on a per kilogram basis.
- Animals sold are released only after completion of all necessary documents (with official receipts and animal registration certificate and veterinary certificate).
- Products for University use are released if there is an approved purchase request indicating therein the Fund Code where it will be charged.
- Animals maybe slaughtered for sale for faculty and staff members on a periodic basis. Payment maybe outright cash or thru salary deductions for those with monthly take home pay of not less than P2,000.00.
- The Project Manager visits the project daily or as necessary during weekends and holidays.

**e. Fishpond Project (Tilapia)**

- The tilapia project uses seeding by-ponds at one to two weeks interval.
- Seeding rate is 3.5 fingerlings per square meter (semi-intensive) with supplemental feeding.
- Production cycle is 2 times a year, or about 4 months per cycle.



- Harvesting time starts early morning specifically from 2am to 6am.
- Market outlets are the regular wholesalers (who may pay after one day of getting the product) and direct selling to faculty and staff members.
- All fishery products are picked up at the farm.
- Daily monitoring is needed in the project (2hrs in the morning, 6-8am; and 2hrs in the afternoon, 1-3pm).
- The Project Manager needs about two months per cycle in managing the project.

**For fishery projects, the control guidelines are as follows:**

- The Project Manager should prepare a farm plan and budget for each production cycle.
- Daily remittance of collections should be made of the Cashier's Office.
- Monthly reporting of sales and expenses should be forwarded to the OBA Director.

### **Section 3. Rentals and Concessions**

#### **A. Transport**

- 1.) Selection of transport services shall be through bidding in which a group or association, or federation of associations could join provided that whoever won the bidding could supply the required units of vehicles that would ply within the campus.

The winning bidder should enter into contract or agreement with the University with their Association President as the signatory for their party, while the University President for the University.

- 2.) In addition to those provided in the contract or MOA, the following shall be strictly imposed:

- Driver's I.D is displayed or hanged inside the tricycle.



- The driver is properly dressed wearing plain white T-shirt.
- The driver should wear proper shoes (rubber/leather); not sandals or slippers.
- They should exercise politeness and courtesy at all times.
- They should deliver students at their destination; avoiding cutting trips.
- Drivers should charge a passenger at the rate agreed upon whose basis is from the approved rate of proper authorities such as LTFRB or LTO. Duly approved matrix of transport rates should be posted inside the vehicle preferably at the front of the passenger.
- They should properly maintain the roadworthiness of the vehicles as required by the LTO or the University.
- Vehicles should bear functioning signal lights, taillights, and necessary accessories.
- Should maintain silence inside the campus by providing silencer; avoid tuning-in radio, stereo, etc. loud enough that could disturb the classes.
- Drivers should avoid blowing of horns except when really necessary.
- They should provide trashcans inside the vehicles.
- They should avoid overloading. Tricycles are allowed to carry a maximum of four (4) passengers only.
- They should avoid overtaking except when passing on stopped vehicles.
- The drivers should observe proper loading and unloading of passengers. The University provided yellow lines or marks for the purpose.
- Drivers should abide with the no smoking policy of the University.
- They should park only on designated parking areas of the University.
- They should maintain the agreed limit of max. 20kph when driving inside the campus.
- Body numbers of vehicles must be properly posted and displayed. In case of tricycles, they should be posted in front and at the back of their vehicles.
- Traffic signs are posted at designated places in the University. It can be changed due to necessity specifically during the holding of
- University activities and programs. Drivers should be aware and pay attention to these changes.



- One-way route is observed inside the University. Hence, drivers are advised to avoid counter flowing.
  - Drivers should not stop outside of the designated areas either at the pleasure or request of the passenger or for picking up of passengers.
- 3.) The President of the winning bidder shall be required to submit necessary papers like recent registration of each unit and driver's licenses of such units, in addition to the contract/MOA.
  - 4.) The University shall provide stickers that will serve as "gate pass" for every vehicle. The association must purchase the said sticker, one (1) for each unit that will ply inside the University; and, should be posted conspicuously on the vehicle.
  - 5.) Citation tickets shall be issued to violators thru the Civil Security Services.
  - 6.) These guidelines for transport and contract/agreement provisions shall be properly disseminated to all concerned members of the association thru its officials.

#### **B. Food Stalls/Canteen/Business Spaces**

- Selection of concessionaires shall be through public bidding in which any interested person who has business inclination could join.
- The winning bidder should enter into contract or agreement with the University.
- Concessionaires shall consider certain developments that may evolve during meetings and information dissemination as part of unwritten provisions of the contract/agreement. As such, violation of the same could be construed violation of the contract.
- All other provisions to be considered as policies and guidelines for the food stalls/kiosks, canteens and business spaces are stipulated in the contract.
- Concessionaires should patronize University products.

#### **C. Food Processing Center**

- As to the mandate of the Center, it has to process University's agricultural product surpluses into a processed or preserved





form using mature technologies or University-developed technologies. These include vegetables, fruits, root crops, milk, meat and fish.

- Highly saleable processed products wherein the raw materials are not produced by the University or the University fall short of its production, thus, purchase and procurement of the same including ingredients can be allowed provided that the requisition are submitted in advance.
- Annual production targets including product lines purchase requirements, volume of production; expected sales and net income shall be submitted during the last quarter of the year in preparation for the incoming production year.
- The Center can be permitted to conduct its own research works provided that an itemized written research proposal is duly submitted and approved by the Research Council.
- The Center shall in no case deny any request of students to conduct researches, especially those for thesis, special problems or curricular laboratory requirement, provided that such requests are properly endorsed by their instructors, advisers and deans and that they have to provide their own raw materials, needed utensils, fuel and other needs relevant to their studies. Such requests shall be filed with the OBA for at least 2 months in advance for the Center to adjust accordingly to its production targets.
- Marketing of FPC products shall be properly coordinated with the Marketing and Trading Center of the University.

#### **D. Student Housing**

##### **1. Residency**

- Any bonafide students of the University are eligible for residency in the student dormitory. However, priority shall be given to freshmen especially those coming from far places and/or not financially capable of paying private dormitories.
- Faculty/Employee of the University may be accommodated in the dormitories depending on the availability of space 2 weeks after the end of student registration.

##### **2. Transients maybe accommodated under the following order of priority:**

- Parents/Guardians (including brother/sister or near relatives) of bonafide students-occupant.
- Relatives and guests of CvSU personnel.
- Delegates/representatives of CvSU-sponsored seminar/workshop.



- Religious activities held inside CvSU.

### 3. Dormitory

Dormitory rental rate depends on unit type on a semestral basis. The rate does not include school breaks as Christmas, semestral and summer. Students who choose to stay during these periods shall be charged as transients but at 50% lower rate than ordinary transients.

4. Students shall pay in full upon admission. No refund is allowed for those who started boarding.
5. Dormitory rate may change, but shall be in school year basis so as to give students prior information and ample time to prepare for such increase.
6. Other fees specifically on electricity consuming appliances or devices maybe charge on a monthly basis. These include electric fans, radios, cassette players, computers, television sets, refrigerators, water heater/air pot, cell phone charging, ironing, etc.
7. Both dormitory rates and other fees shall be ascertained and set by the Office of Business Affairs and shall be implemented upon approval of the Business Council.

### **E. Souvenir Shop**

- A Project Manager is assigned to direct the operation of the project.
- The primary consumers of the novelty products are the employees/students of main and satellite campuses as well as local/foreign visitors of the University.
- The selected outlets like the satellite campuses may sell the products and earn income on a mark-up basis.
- The novelty items may include jackets, t-shirts, caps, mugs, key chains, paperweights, stickers etc.
- The project mark-up is at least 20% considering the price of the item, quality of the products and number of competitors.
- The Project Manager should maintain a cashbook.
- Monitoring of the project by the Manager is on a weekly basis utilizing 0.5 – 1 hour per visit.

### **F. Social Hall (S.M. Rolle Hall)**



**1. The following general provisions shall govern the use of the Social Hall:**

- a.) Application for reservation shall be filed with the OBA at Least 10 working days prior to the scheduled event. The following shall be furnished a copy each upon approval of the application: OBA, Social Hall In- charge, Civil Security and Requisitioned/user.
- Fifty percent (50%) down payment shall be required from the requisiteness/users and the other 50% to be paid not later than a day before the gathering.
  - Down payment made for withdrawn reservation shall be forfeited in favor of the University.
  - In cases where the user shall avail the services of a private caterer such caterer shall negotiate with OBA for the business permit with a fee for the occasion and/or the user himself shall shoulder the said fee. The caterer shall as well observe items c,d & e below.
- b) Except for the facilities available in the hall, other needs in the gathering shall be borne by the user.
- c.) It is strictly prohibited to:
- Use and/or possess illegal drugs, prohibited drinks as wine, alcohol, etc., firearms and other deadly weapons while inside the hall and its surroundings.
  - Present and display pornographic materials.
- d.) Proper usage of the facilities and premises as well as the practices of proper sanitation and hygiene procedures shall always be observed.
- e.) The University has the right to demand replacement or payment on any destruction made by the user based on the assessment of the committee created for the purpose.
- f.) Discounts – Discounts may be availed of by the following:
- |                               |   |     |
|-------------------------------|---|-----|
| a.) Faculty members/employees | - | 20% |
| b.) CvSU school organization  | - | 30% |
| c.) Churches                  | - | 50% |



## 2. Specific Provisions

- a. Social gatherings as nuptials, birthdays, debut, reunions and the like.
  - All items under the general provisions shall apply to these kinds of gathering.
  - A non-refundable down payment of not less than 50% of the total amount due shall be paid upon approval of the application for reservation. Change schedule may be permitted, provided that such schedule shall not be in conflict with other reservations.
  - Hall arrangement, if necessary, shall be indicated in the application. However, such activity shall be borne and done by the user. The user of the hall for the purpose shall be charged on a per hour basis.
- b. Seminars, meetings, workshops, conferences, symposia, etc.
  - The same as of social gatherings.
- c. Fund-raising presentations as stage plays, singing contest, film showing, etc. whether of the student, employees, employee-sponsored, University or college-sponsored or private clients/customers:
  - Same as for social gatherings:
  - Rehearsals thereof, if necessary shall be charged at per hour basis based on the actual rental rate, provided that such rehearsals shall not be in conflict with other reservation.
- d. Emergency lodging of visitors or campers
  - Availability shall only be from 7pm of the day up to 5am of the next day, provided that there is no conflict with other reservation.
  - Lodger shall pay at least P20/night/person for hall maintenance and overtime pay of the detailed worker. However, the user shall shoulder all the beddings.
- e. University Activities.



- All those in the General Provisions shall apply.
- There will be no fees to be charged when the activity is part of the activities of the University and not intended for income generation. The said activity shall be certified by its respective dean/director duly approved by the Vice President concerned.
- Usage of the hall during Saturdays, Sundays, holidays and vacation days shall be charged 25% of the rental rates even if such are inclusive of the approved activity to cover hall maintenance and overtime pay of the detailed worker.

f. Student Activities

- All those included in the General Provision shall apply.
- There would be no fees to be charged when the activity is part of the curriculum and is not for income generation purposes. This should be certified by the instructor, department head and college dean concerned as well as by dean of OSA to this effect.
- No fees shall be collected, too, even if the activity falls on Saturday, Sunday or holiday; provided that it is part of the curriculum activity. However, a “donation” of at least equivalent to the overtime pay of the hall-in-charge during these days is requested.

g. Other Activities

- All those specified in the General Provision shall apply.
- Coordinated activities of other government agencies wherein the University acts as a partner or support to such activity, a 50% discount from actual rental rates could be granted. Government agencies hereto referred include government-owned or controlled corporations, cooperatives and government-managed associations or groups.
- The local government units of Indang including other Indang-based government units could be charged 25% of the actual rate per day of activity. This should be properly endorsed and certified by the Municipal Mayor of Indang.
- Activities of civic organizations, associations, clubs and groups maybe granted 50% discount upon approval of the University President.



### 3. Miscellaneous Provision

- Any gathering other than University/student activity sponsored or endorsed by any employees, office, unit, college or department of the University could be given 10% discount on the total chargeable amount as part of promotional strategy; provided, such shall not be effected in the down payment unless full payment is made. Only single discounting is applicable irrespective of the number of sponsors or endorsers.
- Per day regular rate referred hereto means the rental rate within 7am-5am or 7pm –5am period. Excess time would correspond to additional charges computed at per hour basis.
- The 10% discount (items 3A above) shall not be applicable on “University Activities” and “Other Activities” (items 2E & G of Specific Provisions) where specific special discounting rates shall apply.

#### G. Swimming Pool (Baño de Señorita Resort)

- a. The swimming pools are open for the public daily except Monday (which is cleaning day) with the following customer classification:
  - Children - 0-17 years old
  - Adults - 18 years old & above
  - CvSU Students including CDC, Lab. School, Colleges, Graduate Studies
  - CvSU Employees
  - CvSU Alumni & Retirees
- b. Entrance fees shall be charged accordingly; provided, however, that the rate shall be 10% lower than of the private resort in the municipality and 15% discounts shall be given to employees, alumni & retirees, and 20% for students.
- c. Reservations could be entertained on specific date either or both for the swimming pools and campsite.
- d. Beers and liquors may be allowed on limited quantities.
- e. The following are strictly prohibited:
  - Practical jokes
  - Illicit acts and pornography (filming, showing and presentation)
  - Illegal drugs
  - Possession and use of deadly weapons



- Littering
- f. Students taking swimming in their PE classes, athletes in swimming can use the pools during their PE class, and/or practice without fee; provided however, that (a). They are accompanied by their teacher or coach, (b). Or, in their absence, a request letter from their instructor duly approved by the dean specifying the date of usage schedule and names of the student. Without either of the two (2) requirements, each student shall be charged with regular rate or maybe denied entry as the case may be.
- g. Corresponding tickets shall be issued individually or collectively.
- h. The use of campsite bonfire is prohibited. Except in special cases where it could not be avoided, a written permission from University Civil Security Office shall be secured wherein the limitation on the materials to be used are specific.
- i. User shall always observe cleanliness of the premises.

#### **H. Marketing and Trading Center (MTC)**

As a Marketing and Trading Center strives to continue and improve its services, it needs to formulate a more responsive set policies and guidelines of operation that will promote sustainability.

##### **1. Selling Policies**

- All Income Generating Projects under OBA and those of other units that require the services of the Marketing Center shall deliver their commodities to the Center. However, the one in-charge of the Marketing Center reserves the right to determine the volume of products to be accepted. The Marketing Center should be consulted before producing the goods.
- Income Generating Projects that do not deliver their goods to the Marketing Center for practical reasons should submit to the Marketing Center the corresponding Delivery Receipts (DR's) and Official Receipts (OR's) of the product sold for purposes of recording.
- Sale on Credit shall be allowed but has to be strictly for the faculty member and employees of the University only. Students and other customers shall purchase on cash basis. Maximum credit should not be more than 50% of monthly salary of the employee to which the credit is charged.





- Goods found defective after purchase could be returned to the Marketing Center within 24 hours after purchase.
- On-site selling of goods during weekend is unauthorized. However, in cases of emergencies the Income Generating Projects In-charge, depending on his discretion, can do so provided that such sales should be remitted to the cashier and a copy of the DR's and OR's shall be submitted to the Marketing Center for recording during the next working day.

## **2. Procurement Policies**

- The Marketing Center shall purchase goods from known dealers observing the rules on procurement.
- The Marketing Center may consider buying goods at a higher cost if the supplier will deliver the goods free of trucking charge and the resulting net cost will prove to be lower than those of other suppliers after considering the savings on the transport.

## **3. Pricing Policies**

- All grocery items shall be sold following the cost-plus method where a certain mark up will be added to the acquisition cost of goods; provided the resulting price will be comparable if not lower than the prevailing market price in Indang.
- Goods from Income Generating Projects shall be sold also by the cost-plus method, which shall be determined by the in-charge of Income Generating Projects concerned.
- The Marketing and Trading Center shall take 10% commission from perishable products sourced outside OBA Income Generating Projects.

## **4. Cash / Credit Transaction**

- The Marketing Center shall give 2.5% discounts to all farm products and 2.5% discounts on groceries, gift items and other goods purchased in cash.
- A minimum purchase of P300.00 in a single receipt is required for such a discount.
- Regular price will be charged to customer who will buy on credit or salary deduction basis.
- An additional surcharge of 2% of their monthly credit will be added to the account if the deduction cannot be made due to lack of available salary for the purpose.





## 5. Collection of Credit

- The Collection of Credit shall be thru salary/allowance deduction.
- Credit made shall be payable within one month period.

Credit Period	Collection Period
e.g. 1 <sup>st</sup> - 15 <sup>th</sup> of the month	2 <sup>nd</sup> quincena
16 <sup>th</sup> - 30 <sup>th</sup> of the month	1 <sup>st</sup> quincena

- The Marketing Center shall submit to the accounting office the computed deduction due on the first week of the collection period or earlier if necessary.
- Purchase on credit of big items such, as whole pig, cattle, etc. should be negotiated thru the Marketing Center. However payments may not exceed a period of three months.

Beyond this period the policy on surcharge shall take effect. The same shall be charged to bonuses and other incentives.

- Credit sale to any University unit shall be served and it shall be the responsibility of the client unit to prepare the necessary documents to facilitate the payment, the processing of which shall not be longer than 1 month.
- Failure on the part of the customer to provide fund thru the salary/ allowances for the payment of his/her credit may result to putting surcharge on his account or possible cancellation of his credit line.

## 6. Application for Credit Line

- The applicant shall be a bonafide employee of the University and shall present the term or his/her appointment.
- The application paper shall be signed by the University Accountant/Cashier in order to certify the capability of the applicant to pay thru salary deductions.
- The accounting office shall inform the Marketing Center regarding new loan transaction of the customer if this will affect their salary balances available for payment to the Marketing Center.

## 7. Patronage Refund (Rebates)



A certain amount representing patronage refund shall be paid to customers at the end of the year or not later than January 15 of the following year.

1. Distribution of Rebates – The marketing Center recognizes the continued patronage of its customers hence, the distribution of rebates at the end of every fiscal year.

Rebate is exclusive for bonafide employees of the University regardless of their employment status.

- The amount allotted for distribution of rebates is only 20% of the net income. The remainder of the net income is allotted as additional revolving capital for the operation of the Marketing Center and for the improvement of facilities or to other things prescribed in Chapter VII of this manual.
- Computation of rebates depends on the amount of their total purchases for the one year (January 01, 200\_\_ to December 31, 200\_\_). Credit sales and cash sales is equal to total individual purchases.

- 2 . The formula for computation of rebates is:

$$\text{Rebates} = \frac{\text{20\% of Net Income}}{\text{Total Amount of Purchases}} \times \text{Individual Purchases}$$

**Example of Computation:**

Assuming:

Net Income of Marketing Center	= P 752,000.00
20% of Net Income of MC	= P 150,400.00
Total Amount of Purchases	=P 4,000,000.00
Individual Purchases (Person A)	= P 18,000.00

$$\text{Rebates} = \frac{150,400.00}{4,000,000.00} \times 18,000.00$$

$$\text{Rebates} = .0367 \times 18,000.00$$

$$\text{Rebates} = 676.80$$

The rebates of person A amounted to P676.80

**I. Printing Services**



- It shall refer to the general printing needs of the University, its department, colleges and offices including those of satellite campuses when needed.
- Acceptance of printing service for students shall be avoided as much as possible when there is private concessionaire that serves them.
- Printing services shall not be limited to photocopying machines (Xerox) and copy printers (mimeograph) but also other printing equipment depending on the capacity and desire of the University to obtain them.
- The unit may expand to other related ventures as bookbinding, computer graphic printing, ID Printing & lamination, colored prints, and the like.
- Purchases of printing needs (paper, toner/ink, etc.) shall be assessed by the unit including documents preparation. It shall follow the operating procedures required and employed by accounting and auditing offices and practiced in the University.
- The Printing Services Units shall bill separately each department, college or office or satellite campus following the standard procedures practiced in the University.
- Remittance of cash, if there is any, shall be thru the E&BA prior to transmittal to the cashier. Cash on hand lesser than P100.00 may be deferred for remittance.
- Repairs and maintenance works in the machine/equipment shall be on work order basis using procedures employed in the University.

#### **J. Crop Production**

- Inputs are purchased through bidding, the rest by emergency purchases.
- Maintenance of crops is done by laborers.
- Financial Reports are done by the Project Manager.

#### **K. Nursery**

- The products sold in the nursery are grafted mango seedlings, santol, mahogany, etc.
- The market outlets for seedlings are private growers who pick up the seedlings at the nursery.
- Seeds to be planted in plastic bags are collected within the University or from the fruits produced in the orchard.

### **Article 6. Financial Management**



- This Chapter presents the financial management guidelines, the three (3) financial statements commonly prepared and used to determine the profitability and viability of a project, and some ratios to analyze the results of IGP operation.

### **Section 1. Financial Management Guidelines**

- Initial capitalization is taken from the General Fund (Fund 101).
- Income is generated by the projects.
- Each project has its own account code at the Accounting Office.
- Funds for a particular project cannot be used by another project unless allowed by the VP for E&BA. The borrowed funds are paid back to the particular project.
- Cash accounting is followed in the preparation of income statement.
- The official income statement is prepared by the accounting office (may be delegated to the Facilitative Staff of OBA) every end of the production cycle as basis for giving incentives. Incentives are given at the end of one production year.
- Two analyses are done by the project analyst–financial (cash accounting) and economic (accrual method). The economic analysis is prepared for management decision-making while the financial analysis is used as basis for giving incentives.
- The VP-EBA and the Accountant controls disbursements of projects funds for E&BA. The Accountant is a member of the E&BA Council, if organized.

### **Section 2. Sources of Funds**

#### **a. Internal Sources**

- Initial budget for IGPs may come from Fund 101 under Maintenance and Other Operating Expenses (stated in NBC No. 331).
- A project can also borrow from income generated from agriculture operation (Fund161), manufacturing (Fund162), auxiliary services (Fund163), and income from tuition fees, etc. (Fund164).

#### **b. External Sources**

- Loans from financial institutions, such as banks
- Grants from businessmen and political leaders
- Joint venture agreements
- Build-Operate-Transfer arrangements
- Contract Growing arrangements



### Section 3. Financial Management

The end product of the financial accounting process is a set of reports, which are called financial statements. The three (3) financial statements, which have to be prepared by the Project Manager and the Accountant every end of the period for submission to the VP for E&BA, are the following: (a) income statement; (b) cash flow statement, and (c) balance sheet. However, in the present government accounting system, only the income statement is being prepared among the three financial statements.

#### A. Income Statement

The income statement shows the results of operation of a project for a certain period of time, usually a month (for fast-moving projects, i.e. with daily sales such as poultry and swine), or a production cycle (for projects like cattle). It shows whether a net income is earned or net loss is incurred by the project during the period. An income statement showing the revenues and expenses has the following format below.

Name of Project: \_\_\_\_\_

#### INCOME STATEMENT

For the period covering \_\_\_\_\_

#### REVENUES

Sale of _____	P _____
_____	_____
_____	_____

TOTAL REVENUES (A)

Less: OPERATING EXPENSES

_____	P _____
_____	_____
_____	_____

TOTAL OPERATING EXPENSES (B)

NET INCOME/ LOSS (A-B)	P _____
------------------------	---------

- a. **Revenues** – These are the income, which accrue to the Project. These consist mainly of sales of product from different projects. For example, the following table

shows the different sources of revenue for each type of agricultural project:



Types of Project	Sources or Revenues
(1) Crops	Sales
(2) Broiler/Poultry	Sale of broilers, manure and empty feedbags Sale of culls Contract Growing
(3) Swine	Sales of weanlings, fattener, sow/boar/pork
(4) Goat/Buffalo	Sale of stock and milk
(5) Beef/Cattle	Sale of fattened culled cows and yearlings
(6) Tilapia	Sale of tilapia, sale of fingerlings
(7) Apiary	Sale of honey

- b. Expenses** – These are mainly expenditures for production inputs, labor costs and other items needed in the operation of the project. The different expenses incurred in the operation of the various projects cited above are enumerated in the following table:

Types of Project	Expenses Incurred
(1) Crops	Inputs like seeds, fertilizers, and chemicals, hired labor machinery, fuel and oil, irrigation fees, harvesting and threshing fees.
(2) Broiler/Poultry	Stocks, feeds, veterinary supplies and service, labor
(3) Swine	Stocks, feeds, veterinary supplies and services, labor
(4) Goat	Stocks, concentrate feeds, buck services, veterinary supplies and services
(5) Beef/Cattle/Buffalo	Stocks, feeds, veterinary supplies and services, labor
(6) Tilapia	Fingerlings, chicken manure, inorganic fertilizer, herbicide, fuel/oil, irrigation fee and transport
(7) Apiary	Queen bee/supplies/medicines

- c. Net Income/ Loss** – A net income is realized if the total revenues generated during a certain production period is greater than the total expenses incurred in the same period in generating those revenues. On the other hand, if the



total expenses are greater than total revenues, a net loss is incurred.

## **B. Cash Flow Statement**

Aside from determining the profitability of a project by preparing the income statement and computing its net income during the period, the adequacy and timeliness of the project's cash flows to attain its profit objective should also be considered and determined through the cash flow statement. Only then can we say that the project is financially feasible.

The cash flow statement highlights the amount of cash generated (cash inflow) by the projects operations as well as cash expenditures (cash outflow) incurred during a certain production period.

Name of Project: \_\_\_\_\_

CASH FLOW STATEMENT

For the period covering \_\_\_\_\_

CASH INFLOWS

\_\_\_\_\_  
P \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

TOTAL CASH INFLOWS

P \_\_\_\_\_

Less: CASH OUTFLOWS

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

TOATL CASH OUTFLOWS

P \_\_\_\_\_

Equals: NET CASH FLOW

Add: CASH BALANCE, Beginning

P \_\_\_\_\_

Equals: CASH BALANCE, Ending

P \_\_\_\_\_



**a. Cash Inflows**

The sales revenues generated by the project from the sale of its products in the form of cash are considered the cash inflows during the production period. All cash are remitted to the Cashier's Office.

**b. Cash Outflows**

All the expenses incurred during the period wherein cash flowed out of the project are considered the cash outflows. These consist of cash payments for the fertilizers, seeds, v veterinary supplies, etc. and cash payments for the hired labor.

**c. Net Cash Inflows**

It is the difference between cash inflows and cash outflows.

**1. Balance Sheet**

A balance sheet shows the financial status of a project as of a specific date. It is usually prepared at the end of any given production period. It shows the different assets owned by the project, whether it be its own equity or loan from financial institutions. The total value of asters should be equal to the sum of total liabilities and the total project's equity. Included in the total project's equity are the retained earnings realized by the project in its previous operations.

a. **Assets**- An asset is anything that a project owns like cash, receivables, inventory of stocks, feeds and supplies, tools, equipment and building.

b. **Liabilities** - is a financial obligation or a debt owed by a project from financial institutions. Usually, a project resorts to borrowing if it has no available cash to purchase the inputs/supplies needed.

c. **Project's Equity** - The project's equity refers to all the things owned and acquired by the project out of its retained earnings during the period. Retained earnings refer to the net income/profit that has accumulated during the previous periods of project operation.





Name of the Project: \_\_\_\_\_  
BALANCE SHEET  
As of \_\_\_\_\_

ASSETS	AMOUNT (P)	LIABILITIES	AMOUNT (P)
		ADD: PROJECT'S EQUITY	
TOTAL ASSETS		Total Liabilities and Projects Equity	

#### d. Profitability Analysis

To evaluate/analyze the project's profitability/viability, some ratios can be considered. These are as follows:

1. Return on working Capital = 
$$\frac{\text{Net Income}}{\text{Operating Expenses}}$$

It is the ratio of the net income over project's working capital (equivalent to the total operating expenses incurred in generating the total revenues of the project) during the production period.

2. Net Income = Total Revenue – Total Operating Expenses  
The profitability of a project, regardless of its size, can be determined by considering its net income on a per unit basis, as indicated below:



$$3. \quad \text{Net Profit Margin} = \frac{\text{Net Income}}{\text{Total Revenue}}$$

This ratio tells us how much net profit margin the project will realize for every peso sale.

$$4. \quad \text{Return on Investment (ROI)} = \frac{\text{Net Income}}{\text{Total Asset or Capital Investment}}$$

Type of Project	Profitability Index (P)
1. Crops	Net Income per Hectare
2. Poultry & livestock	Net Income per bird
	per sow
	per cattle
	per goat
3. Other Projects	Net Income per sack of feed
	per sack of coffee
	per kg of meat processed
	per kg of tilapia

This ratio This shows the amount of the net earnings per peso invested in the project. It is a more realistic estimate of the project's earning power during the production period since all resources are considered in the profitability analysis.

It can be noted that incentives are only given to the college/project personnel if the project's ROI is 15% or higher.

$$5. \quad \text{Return on Equity (ROE)} = \frac{\text{Net Income}}{\text{Total Project's Equity}}$$

-This ratio shows the earning rate of the project's equity. The project is profitable if ROE is greater than opportunity cost of capital.

$$6. \quad \text{Return to labor} = \frac{\text{Total Revenue} - \text{All costs Other than Labor}}{\text{Total Labor Cost}}$$



This ratio shows the net earnings realized per peso labor cost incurred in the project.

$$\text{Labor Sales Ratio} = \frac{\text{Labor Cost}}{\text{Sales}}$$

7. Labor Sales Ratio- This ratio shows how much is spent on labor per peso sales revenue generated by the project.

$$8. \text{ Labor - Sales Generation Efficiency} = \frac{\text{Sales}}{\text{Labor Cost}}$$

-This ratio shows the amount of sales revenues generated per peso labor cost incurred in the project.

$$9. \text{ Labor - Income Generation Efficiency} = \frac{\text{Net Income}}{\text{Labor Cost}}$$

e. **Break Even Analysis**

The Project Manager should know the minimum level of production and sales volume that must be maintained by the project to at least breakeven. The cost structure of the project can also be considered in setting the selling price and the desired profit in a given production period. To *breakeven* means that the project will neither earn a net income/profit nor incur a net loss in its operation.

Following is the breakeven model that can be used in determining the desired selling price and production/sales volume that would help achieves the project's objectives.

$$1. \text{ Breakeven Price (BEP)} = \frac{\text{Total Operating Expenses}}{\text{Total Quantity Produced}}$$

This will give us the minimum selling price that we can offer to at least breakeven. It means that a net income/profit will be realized if we sell our products above this price, while a net loss will be incurred, if sold below the price.

$$2. \text{ Breakeven Volume} = \frac{\text{Total Operating Expenses}}{\text{Total Quantity Produced}}$$



### Proposed Selling Price

This will help us determine the minimum production level that should be produced and sold by the project to at least breakeven. It means that production above this level will help the project realize a net income. However, if production is below this level, a net loss will be incurred.

If the project would like to attain its target net income/profit in a given production period, the following formulas will help guide the Project Manager:

A. BEP to Attain Target Net Income

$$= \frac{\text{Total Operating Expenses} + \text{Target Net Income}}{\text{Total Quantity Produced}}$$

This will guide us on the projected price that we can offer to attain our target net income in a given production period.

B. BEV to Attain Target Net Income

$$= \frac{\text{Total Operating Expenses} + \text{Target Net Income}}{\text{Proposed Selling Price}}$$

This will guide us on how much to produce and sell to attain our target net income in a given production period.

f. **Financial Management and Control System**

A typical issue regarding the financial aspect of IGPs is whether to continue with the existing government accounting method or to adopt the commercial accounting in this Manual.

To be sure, it will help if we refer back to the twin objectives of IGPs, which consists of profit and instruction. It is assumed that the sustainable profitability of IGPs will help bolster the instruction aspect as it gives indisputable proof that the theories being advanced in the classroom have sound basis in the market place. Accordingly, the Manual proposes recognition of full costs as the only method that would give accurate profitability indicators. Depreciation, bad debts, amortization of capital expenditure is items that should be found in the financial statements of the IGPs.



Without full costing, the profitability indicators assure IGP Managers, Directors, and personnel of remuneration without being certain that this is reflective of their contribution toward the attainment of IGP objectives. Thus, under existing pay scheme, the government ends up subsidizing operations that are not financially feasible. The bureaucratic layer thickens and additional benefits are given with little or no benefit to the government.

It is also observed that the existing government accounting system encourages the proliferation of very small IGPs for welding operation, material testing etc. This is tolerated partly because of the desire to accommodate as many IGP managers as possible and partly because the existing accounting system does not adequately reveal the hidden cost and cost allocation problems associated with this set up.

Another perceived incompatibility of government accounting with IGP operations is the need for strict adherence to establish the guidelines and procedures in purchasing supplies and materials. The manual has put in place enough mechanism to guarantee the propriety of IGP expenditures. Tedious documentation and other requirements will therefore serve no other purpose than to stifle the IGP or render it ineffective against its competitors; hence, the Manual proposes the use of commercial accounting for IGP operations.

#### **a. Procurement System**

To a large extent, the cost and availability of supplies and materials determine the salability and profitability of finished products. Thus, an IGP must have a procurement system that possesses the following characteristics:

- It must be reliable and fast.
- It must be cost and quality sensitive.

Speedy determination of where to purchase what items in what quantities require that we do away with the usual government

bidding and awarding procedures. For capital expenditure, however, the Manual suggests that the usual government procedure should be observed. The same shall likewise apply to purchase of semi-



expendable purchases except when these are urgently needed by the IGP.

In SUCs with many but small-scale IGPs it would be cost-effective if centralized body within the facilitative staff will handle all purchases based on the approved production levels. However, in SUCs with several medium-to large-IGPs, a decentralized procurement body under the Project Manager will probably be more efficient.

Whether the procurement system is centralized or decentralized, its financial requirement will be made in the form of a cash advance to be liquidated as soon as the supplies and materials are produced. The amount of cash advance will depend on the type of IGP and production level. The Imprest Fund System shall be used as the standard procedure in granting cash advance. A checker or quality control inspector will also have to be assigned from within the facilitative staff to ensure that quality requirements are complied with.

Aside from the quality aspect, the checker or inspector will also determine the appropriateness of the quantity and to a certain extent, the price of the items produced particularly in purchases made outside of the planned production level. In no case will purchased items be admitted into production without passing through the checker or inspector.

#### **b. Receivable and Inventory Control System**

As a strategic tool, the IGP Managers should be able to understand and utilize credit and collection as well as inventory management policies. These two concepts go hand in hand with procurement policies to achieve a unified system that controls cost, assures quality and delivery requirements, and achieve sales targets.

##### **1. Credit and Collection Policies**

- IGP credit and collection policies may invoke the following:
- Quality of accounts accepted or the credit standard
- Credit period
- Cash discount or rebates
- Special terms such as seasonal dating



Depending on the scale of production and the target market, the Business Council may set a policy that only the faculty and staff of the college will be allowed to purchase on credit giving emphasis on the relative ease and security of collection (automatic salary deduction). Sales to outside clients are made only on a cash basis. This policy sets the credit standard.

The credit terms will depend on the policies set by the Business Council in consultation with the Project Managers.

Cash discount or rebates may also be given as when there is an excess production or when sales are unexpectedly low and is expected to continue in the near future. In extreme cases, the IGP may accept seasonal or dated payments through check or other suitable negotiable instrument.

In situations where the IGP sells merchandise or services on account, especially to consumers other than the University faculty and staff, bad debts may have to be recognized and reflected in the financial statements.

The IGP Manager, in consultation with the Business Council and the accountant shall decide the manner and procedure in the aging of accounts payable and writing off of accounts receivable as bad debts expense. Bad debts expense shall only be applicable to receivables from outside clients. No bad debts expense shall be recognized for receivables from University faculty and staff as collection thereof is within the control of the E&BA Council, Project Manager and the facilitative staff.

### **c. Inventory Control System**

A good inventory control system is one that achieves a balance between avoiding stocks-outs (i.e., situation where an IGP runs out of items to sell) and controlling levels of finished products in the warehouse.

A stock-out means lost opportunities for both actual and prospective sales when dissatisfied customer may not come back for another purchase. On the other hand, maintaining too much stock would mean that the working capital is tied up with the excess inventory.

In food production projects where there is risk of spoilage, the IGP Manager should have more creative ways to dispose the inventory at the shortest possible time. Having a captive market (the employees



and students of the University) helps the IGP Manager in estimating a realistic level of production. The feasibility study is the primary source of these data. Once demand is firmly established, raw materials that would yield the desired production level can be easily estimated.

For manufacturing concerns, the case is a bit more complicated because there are different inventory costs at various stages of production. For costing purposes, manufacturing inventories are broadly classified into:

- a. In transit or work process
- b. Raw materials
- c. Finished goods

Work-in-process inventory are those inventory in various stages of production but are not quite done yet. Raw materials inventory are the basic ingredients required to produce the finished products or goods. Finished goods inventory refers to inventory that have gone to the production process. It possesses the required direct materials, direct labor and factory overhead. For all purposes, it is ready for sale.

In an ideal situation, inventories are sold as soon as they are produced. In reality, however, a manufacturing concern will always run the risk of either producing more or less. A good control system permits efficient production scheduling and utilization of resources. The idea is to avoid additional costs due to production delays or overproduction. The system should also allow for operational flexibility in its purchases so that storage and handling costs can be minimized if not totally eliminated.

Most manufacturing projects of SUCs are 'job order' types, thus, eliminating the risk of excess finished goods. This, however, runs counter to the idea of maximizing potential. Institutionalizing the "job order" system encourages IGP personnel to be complacent.

The manual is thus recommending that IGP Manager should take effort to determine market demand and incorporate the data into the sales plan and production budget they prepare.

The IGP Manager, in consultation with the Business Council and the Accountant, shall formulate policies regarding the disposal of unsaleable or stale merchandise. Price markdowns and bulk sales for food items may be resorted to where practicable except when the merchandise is no longer fit for consumption.





As regards obsolete or unserviceable items, disposal thereof shall follow existing guidelines on unserviceable items. Setting of bid price, however, shall consider the scrap value of the equipment as reflected in the financial statements of the IGP.

Once the production volume is determined and is tested, a reorder point should be established to determine the level at which inventories are allowed to fall before the IGP Manager orders or produces more.

The order point (IRP) considers the following factors:

1. Safety Stock (SS) – buffer inventory in case order is delayed or usage is higher than normal.
2. Lead Time (LT) – the time interval between placing and receiving order.
3. Estimated daily use (EDU)

The order point is computed using the formula:

$$\text{IRP} = \text{SS} + (\text{EDU} \times \text{LT})$$

## **Article 7. Profit Sharing / Incentives for Project Personnel**

- Handling projects and performing support functions to these projects are additional burden and responsibilities to SUC employees concerned if they come and work for other units in the University too, which usually entail extraordinary work.
- Thus, to motivate the faculty and staff to actively participate in IGP activities, they may be given monetary remuneration and/or incentives on the basis of their contribution to the productivity and profitability of the projects. The management and personnel shall consciously plan and implement cost-saving and efficiency-improving measures to further improve the performance and efficiency of projects. This could be affected especially so if they have a share amount of benefits that can be derived from enterprise.
- Thus, to affect this profit sharing scheme, all participants in IGP operations shall share certain percentages of the net income of their IGPs as stipulated under this incentive scheme.

### **Section 1. Coverage**

All projects operating under the Income Generating Program of the Institution shall be included in this profit sharing scheme.

### **Section 2. Guidelines for Profit Sharing**



At the end of every fiscal year, the income statement shall be prepared in order to determine the net profit of each project. The net profit shall be distributed or allocated as follows:

- Twenty percent (20%) may be allotted as school share. The University can use this share to augment its resources and to support its programs in instruction, research, extension, and other services.
- Thirty five percent (35%) shall be allocated for build up for all the projects under OBA. This amount is intended as a source of additional project capital in case there is a need to expand its operation.
- Seven percent (7%) as share of the President and other official.
- Four percent (4%) each as share of the VP for E & BA and OBA Director.
- Ten percent (10) as incentive to the facilitative staff or Admin cost. The sharing of this incentive shall be proportionate to the committee member's involvement as approved by the Business Council.
- Twenty percent (20%) net profit shall be allocated as incentives for Project Managers, Project Workers and the Facilitative Staff of OBA, of which eight percent (8%) shall go to the Project Manager and the remaining twelve percent (12%) shall be shared equally by the Project Workers and Facilitative Staff based at E &BA.
- The giving of incentive, except to the Project Manager and workers, is based on the consolidated net income.
- Branch and integrated campuses shall observe similar profit sharing scheme provided in this Manual except for some modifications as follows:
  - Thirty percent (30%) shall form part of the pooled funds handled by the host SUC. This amount serves as a standby capital that can be used for any special/new project or viable projects that need expansion. Also, if the direct supervision emanates from the main campus. Otherwise, the foregoing scheme shall be followed
- The deployment of an additional IGP director in each integrated campus who shall take charge of all its IGPs shall be decided upon by the Business Council, subject to the following conditions:
  - Distance from the Institution
  - Number and size of IGP
  - Convenience and expediency
- The Business Council upon recommendation of the Dean of the host Institution shall be the one to determine and identify



who among the integrated campuses' personnel shall be involved in facilitating the IGP.

## **Article 8. Personnel Career Advancement**

- Since OBA is a semi-independent unit of the University and does not draw expenses from the national budget, it hires its employees on a contractual basis (except for a few who are loaned to the unit) and is not available for regularization.
- Despite this arrangement the OBA is determined to give its personnel what is due them in the form of leave credits, GSIS shares, PAG-IBIG shares, incentives and the likes.
- The management of OBA also would like to establish a career path for its employees in order to motivate them to be a more efficient partner in its continued success.
- The career path of the OBA employees is based on the General Administrative Services of the Position Classification Plan of the Civil Service Commission and applicable to the rank and file employees as follows:

### **Section 1. Position Classification Plan**

Administrative Aide I, Utility	-Salary Grade 1
Administrative Aide II, Farm Worker	-Salary Grade 2
Administrative Aide III	-Salary Grade 3
Clerk I	-Salary Grade 3
Clerk II, Farm Worker 2	-Salary Grade 4
Farm Foreman	-Salary Grade 6
Farm Supervisor	-Salary Grade 8

### **Section 2. Permanent Item for OBA employee**

Plans for permanent item for OBA employee are being considered on a case-to-case basis. The OBA being a semi-independent unit in the University may offer a permanent position comparable to those in Private Corporation; however, legal basis is not yet established regarding this matter.

### **Section 3. Basis of Promotion**

The basis for promotion of OBA employees shall be based on individual performance of the employees as well as the performance of the unit he/she is working with. The OBA Director and the E&BA Vice President for approval of the President shall recommend said employee.



## **RULE XII POLICIES AND GUIDELINES ON FACULTY AND STAFF DEVELOPMENT PROGRAM**

### **Section 1. Objectives**

These policy guidelines aim to continuously upgrade the professional qualifications of faculty members and staff of CvSU.

Specifically, the policy guidelines aim to:

- a. devise a systematic screening and selection scheme for scholars;
- b. set definite policies on the responsibilities, duties and accountabilities and privileges of scholars; and



- c. provide bases for a continuing faculty and staff development program.

## **Section 2. Organizational Structure**

The Faculty and Staff Development Office (FSDO) shall be headed by a Director to be designated by the President.

The FSDO shall have the following functions:

- a. coordinate with the Deans and Directors for the yearly scholarship field priorities and training needs of their faculty members and staff;
- b. suggest the prioritized educational institution where the scholar should enroll;
- c. endorse the thesis/dissertation of scholars to the Research Council thru the Office of the Vice President for RECETS for review and recommendation as to research classification and amount of thesis/dissertation support;
- d. gather periodic reports of scholars and copy furnish the HRMO and concerned Dean/Director and Vice President;
- e. see to it that the scholars receive their salaries and/or stipend from the University regularly;
- f. monitor the progress of scholars' graduate program;
- g. in coordination with the Deans/Directors and the Director for Administration:
  - g. 1 analyze the training needs of the University personnel;
  - g. 2 plan and implement training programs for the University personnel in coordination with the HRMO and Director for CETS;
  - g. 3 send faculty members and staff to trainings, seminars, workshops and other activities that will upgrade their competencies. The seminars to be attended must be related to their field of specialization and/or functions or justified by the immediate supervisor that knowledge/skills to be



gained would be beneficial to the unit and/or college; and

- g. 4 search/identify scholarship funding organizations, direct/facilitate applications for available scholarships.

The Office of the President shall create a Scholarship Committee chaired by the Director of the FSDO with the following members: a) Director for Administration; b) Director for CETS; and c) Deans in the Main Campus. If the applicant for scholarship shall come from the branch/integrated campuses, the concerned Dean shall sit as member during the Committee deliberation. The Human Resource Management Officer will act as Secretary during the meetings of the Scholarship Committee and general meetings of the FSDO with the scholars.

The Scholarship Committee shall have the following functions:

- a. screen and recommend to the University President thru the FSDO the qualified applicants for MS/Ph.D./Diploma scholarships, study visits and short-term courses and research grants; and
- b. recommend appropriate action on the scholars' request for extension of scholarship, additional thesis support, leave of absence and other matters including misconduct and violations of contract.

The Scholarship Committee Chairman shall coordinate with faculty and staff scholars and it shall be his responsibility to meet scholars regularly at least twice a year and submit to the Office of the President through the Office of the Vice President concerned reports of progress, problems and/or difficulties of scholars.

### **Section 3. Types of Scholarship**

There shall be three types of scholarship programs under the SFDP namely:

- a. degree-oriented – MS / MA / MBA / and Ph.D. / DBA or equivalent degree;
- b. non-degree – diploma, short courses, study tours, seminars, conferences post-graduate, etc.; and



- c. special study privileges – thesis grants, subsidized study grants, privileges for faculty and staff studying at CvSU Graduate school.

#### **Section 4. General Policy Guidelines**

The general policy guidelines concerning screening and selection of scholarship recipients by the Scholarship Committee are as follows:

- a. Female faculty members and/or staff who have children below one year old shall not be considered for scholarship. If a scholarship grantee becomes pregnant before the start of the school year, her scholarship privilege shall be automatically deferred.
- b. Previous FSDP scholars must have served the University for at least two (2) years before they can be eligible for another scholarship except when there is no other eligible applicant for a prioritized field, or when an outside support is available.
- c. A faculty member or staff can enjoy only two (2) degree oriented scholarships or special study privileges.
- d. Faculty members and staff who are forty five (45) years old and above will not be considered for a scholarship in degree programs. However, they can apply for Special Study Privilege for faculty members and staff at the CvSU Graduate School.
- e. Only regular or temporary faculty members/staff are eligible for scholarship and must have at least a VS performance rating for the past evaluation.
- f. Newly appointed faculty member/staff must have served the University for at least one year from the time they are given a plantilla item before they can be eligible for scholarship, under the University FSDP. Exceptions will be in cases of externally funded scholarships or study assistance.
- g. The scholarship applicant should have a certificate of admission in the graduate school accredited by the University. Applicants to the CvSU Graduate School under the Special Study Privilege are required to secure first a written authorization from higher authorities before they can be admitted / enrolled.
- h. Faculty members and staff who will study at their own expense may be allowed to enroll in other schools offering their field of specialization subject to prior approval by higher authorities and



that the program they will enroll in is accredited by AACCCUP or by other CHED recognized accrediting body.

## **Section 5. Selection Process and Timetable**

The Scholarship Committee shall follow the following timetable in the selection of the Scholars.

### **Schedule Activity/Selection Process**

#### **October**

- |                      |   |
|----------------------|---|
| 1 <sup>st</sup> week | The Committee decides on the priority fields of specialization and the number recommended for each field.   |
| 2 <sup>nd</sup> week | The Committee announces the fields open for scholarship grant and the prioritized educational institutions. |

#### **March**

- |                      |   |
|----------------------|---|
| 1 <sup>st</sup> week | Faculty/staff interested to pursue graduate work prepares and submits a written request, CvSU-FSDP Form No. 1 and supporting papers to the Scholarship Committee through the Chairman or unit head and the Project Director/Dean concerned. |
| 2 <sup>nd</sup> week | College Deans and Directors endorse all requests for scholarship to the Committee.  |
| 3 <sup>rd</sup> week | The Scholarship Committee screens/evaluates applicants and decides on final list of candidates.   |
| 4 <sup>th</sup> week | The Committee interviews the candidates.  |

#### **April**

- |                      |   |
|----------------------|---|
| 1 <sup>st</sup> week | The names of the scholars are recommended to the President for approval.  |
| 2 <sup>nd</sup> week | The Director of FSDO notifies the candidates the action undertaken regarding their application for scholarship. |

#### **April-May**





Last week Scholars for degree oriented programs file their official study leaves, secure clearance and sign contracts, non-degree oriented and special study privileges scholars sign contract.

The Chair, Scholarship Committee, conducts orientation with the scholars scheduled to leave in June.

## Section 6. Criteria in Granting Scholarship

The scholarship applicants shall be evaluated on the basis of the following criteria.

	<b>Maximum Points</b>
<i>I. Professional/ Work Experience</i>	<b>40</b>
Work experience	
Length of service in CvSU	5
Length of service in other agencies	3
Nature of Job	8
Researches undertaken	6
Technical papers published	10
Technical papers written but not published	4
Non-technical papers written	4
<i>II. Educational Qualification</i>	<b>35</b>
Weighted Average in High School (for BS scholarship applicants only)	5
College	10
Post-Graduate	5
Honors, awards received	5
Area of specialization	5
Graduate courses enrolled/completed	5
Other non-degree training(s)	5
<i>III. Other Qualifications</i>	<b>25</b>
Communication skills (verbal & non-verbal)	10
Work attitude/Performance	10
Potential (capability to take more responsible posts)	5
<b>Total</b>	<b>100</b>



## **Section 7. Basic Requirements of Scholarship**

Scholars should enroll the required regular load during the semestral or summer classes. Regular load means twelve (12) units per semester, nine (9) units per trimester and quarterterm, and six (6) units of academic subjects during summer. A load of nine (9) units may be allowed during the initial semester or six (6) units during the initial trimester or quarterterm of coursework upon prior approval of the Scholarship Committee. The scholars should coordinate with the FSDO before finalizing their coursework in order to ensure that the load requirement is satisfied.

In case the intended course to be enrolled is dissolved or has reached the quota for the required number of enrollees and no substitute course is allowed by the graduate committee, the scholar's stipend will be pro-rated based on his load during the semester/trimester. The scholar will be required to reinstate if he does not have any subject to enroll for reasons stated above.

## **Section 8. Change of Specialization**

The selection of scholars is based on specific fields of specialization. The scholars cannot change their field of specialization or major course of work without prior authorization from the University. A change in the field of study/specialization and school shall not be allowed specially if it requires additional period of scholarship and additional expense on part of the University except in certain meritorious cases beyond their control. The unit heads/deans should justify that the change would benefit their unit/college in particular and the University in general. If a faculty member pursued a program authorized by the University but which is not in line with his field of specialization or not needed by his college/unit, he will be required to transfer to another college/unit within the University System that needs such field of study/specialization.

A scholar who changes his field of specialization without prior approval will be required to reinstate and refund in full all expenses incurred during his scholarship to include tuition and other fees, stipend, book allowance, thesis allowance, salary and other financial incentives.

## **Section 9. Leave of Absence**

A total maximum leave of absence equivalent to one school year may be granted to the faculty member or staff on scholarship upon prior request based on meritorious reasons subject to the submission of an approved LOA from the graduate school and approval of the University President upon



recommendation of the Scholarship Committee. The scholar on LOA shall be required to reinstate to the University and shall not be entitled to allowances of a scholar. The period of reinstatement is good only for the length of the approved LOA unless otherwise approved by higher authorities.

### **Section 10. Length of Study**

Faculty members and staff on scholarship are allowed a maximum of two (2) years to finish their MA/MS/MBA/related degrees and three (3) years to finish their Ph.D./DBA/related degrees excluding the period of their approved LOA.

### **Section 11. Extension of Scholarship**

Extension of scholarship beyond the period specified in Section 10 may be allowed only for five (5) months with full privileges upon certification of the Adviser that the scholar can finish the course within the extension period and the Scholarship Committee has determined that normal credit loads have been taken every semester. An additional extension for less than or maximum of five (5) months only on official time and without stipend could be granted for meritorious reasons and certification of the adviser and/or dean of the graduate school.

In case of completion of thesis or dissertation beyond the allowable scholarship period, (3 years for MS/MA/MBA and 4 years for Ph.D./DBA), the grantee shall be required to reinstate to the University while completing the thesis/dissertation requirements and is no longer entitled to scholarship privileges.

### **Section 12. Completion of Degree**

A scholar, upon completion of degree, should submit within three (3) months an article for publication in the University Research Journal based on his study and bound copies of his thesis or dissertation to the University Library, FSDO, Research Center and Quality Assurance and Accreditation Center. Further, a scholar should present a paper to the local Agency In-House Review or other venues as may be coordinated by the Research Center.

### **Section 13. Obligations of Scholars**

The scholar, before commencing studies, should agree to the following terms and conditions:



- a. To conduct himself in a manner so as not to bring disgrace or dishonor to the University and to the country;
- b. Any misconduct such as immorality, assault on authority, excessive drunkenness, inciting rebellion or sedition or a combination of the same, and acts not in conformity with the Code of Conduct for Government Employees (RA 6713) are grounds for immediate termination of scholarship, pending investigation and subsequent legal proceedings against the scholar in accordance with Civil Service and other government rules and regulations;
- c. To keep up with the high standards of scholarship;

The grantee should understand that scholarship is both a privilege and a responsibility. It is the responsibility of a scholar to behave as a responsible scholar at all times. He is therefore required to maintain a grade point average of 2.00 for graduate courses (or their equivalent requirements) at the end of every semester. A GPA below these requirements shall automatically lose his scholarship slot. Fees paid for courses with INC. which are not completed / graded within the allowed period of completion, should be refunded and the pro-rated amount of stipend for the said period would be deducted from the succeeding stipends.

- d. To submit the following to the FSDO;

***Graduate Degree Program******Deadline***

- |   |   |
|---|---|
| ○ approved list of guidance / advisory committee                    | - before the start of the 1 <sup>st</sup> term  |
| ○ approved plan of course work                                      | - on or before the start of the 2 <sup>nd</sup> term for MS/MBA/MA/ related degree and qualifying exam for the Ph.D./related degree |
| ○ / checklist of courses  |   |
| ○ progress report indicating the subjects taken and grades received | - on or before the start of next term immediately following the term being reported   |

***Non-Degree Program******Deadline***



- completion report - one month after the completion
- e. to attend the regular meetings called by the Chairman of the Scholarship Committee to be scheduled every first Friday of December and second Friday of May;
- f. to refrain from engaging in any work with pay or accept other forms of scholarship while enjoying scholarship grant from the University and/or outside sponsors;
- g. to request for reinstatement fifteen (15) days before the termination of the scholarship contract. The request for reinstatement shall be endorsed by the concerned Dean/Director, the Scholarship Committee and the concerned Vice President to the Office of the President for approval;

The Office of the President shall furnish the following with the approved request for reinstatement: HRMO, FSDO, Records, the concerned Dean/Director and Vice President and scholar. A faculty scholar shall only be given teaching loads and other assignments upon approval of his request for reinstatement by the Office of the President;

- h. to submit a narrative report to the Office of the President through the FSDO within thirty (30) days upon completion of the degree. The report should include, among others, scope of the degree program, important experiences and recommendations for the improvement of the scholarship program;

If a scholar cannot submit his report within the required period even after due notice by the FSDO Director, he would be asked to explain his negligence in writing and financial incentives for the year, i.e. incentive or productivity pay would be withheld until such requirement has been complied with.

- i. to serve the University for a period of not less than three (3) years for every year of degree scholarship grant or a fraction thereof of not less than two (2) months. For short-term courses of at least one month, a participant is required to serve the University for three times the length of the grant;
- j. to refund to the University and/or or the financing agency immediately in full of such sums of stipend, book allowances, thesis allowance, tuition and other fees, salaries and other expenses involved in the scholarship for failure to comply with the terms and



conditions of the grant through any or a combination of the following causes;

- willful neglect – includes any or combination of the following: poor scholarship, habitual non-submission of required reports, involvement in conducts of misdemeanor, non-attendance to required meetings of scholars, immorality, or such other grave misconducts as defined by the Civil Service Law and RA 6713;
- resignation;
- voluntary retirement; and
- inability to finish the degree within the scholarship period, including the approved extension of study leave.

Scholars who failed to comply due to Causes No. 1 and 4 are required to report back but must seek clearance first from the Office of the President before returning to the mother unit. The concerned Dean/Director and Vice President should require the returning scholar to present a clearance or authorization from the Office of the President before giving him any assignment.

- k. In no case shall dropping or failure in all courses be allowed. Should the scholar drop a course, the scholar will be required to refund the fees, stipend and other benefits received from the University for that academic period;
- l. If a scholar suddenly withdraws from pursuing studies, he would not be eligible for another scholarship consideration for at least two (2) years. He will be required to refund all expenses incurred in the past semester in connection with the scholarship;

The scholar who stops at the start or within the first term of study due to meritorious reasons i.e. health problem or serious problem of immediate family member(s), as supported by documents and/or other forms of proof, may be exempted from refund subject to the recommendation of the Scholarship Committee and approval of the Office of the President;

- m. If after completing the studies the FSDP scholar without serving or not completing the service contract, decides to transfer to a private institution/agency with exception of those in the UN Agency System, shall be required to pay, in full or pro-rated, such amount that have been spent in connection with this scholarship;



- n. A clearance from the University will not be issued to the former scholar until he is cleared from all his financial obligations. All pending financial claims, if there is any, will be released only upon presentation of a clearance. On cases where a guarantor is to be assigned to take over the scholar's obligations, the guarantor should be within the first degree of affinity and/or consanguinity. He may also designate faculty members as guarantor(s) provided they hold a permanent appointment in the University and whose salary grade(s) is/are at least the same with that of the scholar;
- o. A scholar who has existing study contract and has not yet completed the degree program may also reinstate to service based on some meritorious reasons as follows subject to the evaluation of the Scholarship Committee:
  - inadequate funds for FSDP
  - health
  - absence of any member of the Guidance Committee for a semester or a year
- p. A faculty scholar who fails to finish the degree within the scholarship period due to some meritorious reasons such as illness, absence of the adviser or any member of the guidance committee and other reasons beyond the control of the scholar may be allowed to reinstate to service. The request for reinstatement shall be evaluated by the Scholarship Committee upon endorsement by the Unit Head and Dean/Director and concerned Vice President.

If the returning scholar is required to refund the total amount incidental to his scholarship, a duly notarized affidavit must have to be executed stating the inclusive period within which the full refund must be made before approving the reinstatement. He will be given a maximum of ten (10) years to pay without interest, after which, an interest of one percent (1%) per month on the balance shall be imposed.

A scholar who may not finish the degree during the scholarship period but continue to pursue and finish the degree on his own at an accredited school or through other grants may be absolved of the balance of his financial obligations effective upon submission of proofs of confirmation of completion/graduation.





A faculty scholar without an approved request for reinstatement shall not be given teaching loads and other assignments and is temporarily not entitled to salary and other benefits.

- q. Participants to training programs whether abroad, local or those conducted by the Continuing Education & Training Services (CETS) are required to pass the trainings. A contract of grant will be executed providing among others that failure to pass the trainings will require them to refund the cost of training fees and other allowances received during the training.

#### **Section 14. Scholarship in Non-Degree Programs**

Attendance to local non-degree programs like short course/training of at least three (3) months is normally discouraged unless this is a matter of urgency in so far as operations and/or establishments of new university are concerned.

Attendance to short courses overseas is encouraged to broaden the experience of the candidates. Unless initiated by the individual faculty/staff member, NEDA, CHED and other foreign institutional agencies normally coordinate with the University on available training course/fellowship overseas and the faculty or staff recommended by the University competes with the applicants from other Colleges. The same rules, guidelines and obligations are followed for the overseas non-degree scholarship program.

Attendance to seminars, workshop, and/or conferences of less than a month that would entail much expense on travel, board and lodging is normally discouraged. Faculty or staff members desiring to attend seminars/workshops or meetings sponsored by private entities or societies should finance their attendance or secure financial assistance from the sponsors.

#### **Section 15. Funding**

- a. During the preparation of the budget proposal, the University Financial Management Officer allocates funds for the FSDP taking into consideration the number of faculty and staff required in a given field of specialization for a particular period of time as recommended by the Dean/Director (instead of the HRMO).
- b. There are several government and private agencies providing scholarship grants leading to MS and Ph.D. degrees.

#### **Section 16. Privileges**





A scholar is entitled to the following benefits:

- a. actual matriculation/tuition and other fees;
- b. maximum book allowance of Php500.00/subject/term excluding thesis/special problem;
- c. graduation fee;
- d. monthly stipend of Php 6,000.00 for Ph.D. and MS, and Php1,000.00 for temporary/permanent faculty members and staff who are authorized to enroll at the CvSU Graduate School subject to availability of funds; and
- e. thesis support of Php 30,000.00 for MS thesis and Php 40,000.00 for Ph.D. dissertation in line with the University thrust as recommended by the RECETS Council subject to availability of funds.

Former scholars who were unable to finish their degrees but were authorized by higher authorities to pursue graduate studies at the University Graduate School or at other schools are not entitled to the benefits stated in items a to d.

### **Section 17. Selection of Educational Institution**

The Faculty and staff Development Office announces at least two (2) prioritized educational institutions for each field of specialization. Selection of scholars shall be based on the field of specialization of the educational institutions.

### **Section 18. Special Study Privileges**

For those who cannot avail of the regular FSDP Scholarship, special study privileges may be extended to those who will enroll during weekends at accredited schools provided prior authorization is sought from higher authorities.

#### **Basic Requirements.**

Any faculty member or staff of CvSU who desires to finish advance degrees may avail of this grant provided the following basic requirements are satisfied:

- a. the grantee has a permanent or temporary plantilla item;



- b. the area of specialization being pursued by the grantee is in line with the identified thrusts of FSDP/related to work assignments of applicant;
- c. the grantee shall be enrolled in a reputable and accredited school;
- d. the grantee should have rendered at least one (1) year of continuous service to the University and that his/her performance rating is at least very satisfactory for the past two (2) years;
- e. the applicant should be endorsed by the Dean/Director to ensure that the grant shall not hamper the operations of the unit where the applicant belongs;
- f. a contract with the University shall be executed providing that the grantee shall serve the University for a period equivalent to his/her study leave which shall not exceed one (1) year for thesis grant and five (5) years for subsidized studies; and
- g. thesis support equivalent to those enjoyed by FSDP scholars may be given provided that the study falls within the research thrust of the University and that the funds are available for the purpose. Such thesis support should have the occurrence of the Research and Extension Council before the Scholarship Committee endorses the same to the Office of the University President.

The grantee shall enjoy the following privileges: tuition and other fees, book allowance, salary and allowances, stipend equivalent to one-half of the stipend being received by the regular FSDP scholars and full thesis support during the period covered by his study grant subject to availability of funds.

- 1. Thesis Grant.** This grant shall be made available to non-FSDP grantees who have finished their course work requirements in a reputable graduate school and are ready to conduct their theses/dissertations.

The grantee has to execute a contract with CvSU under the following terms and conditions:

The grantee shall:

- a. finish the degree in one year;



- b. have an approved thesis/dissertation outline;
- c. serve the University for two (2) years after the grant;
- d. refund the University of his/her tuition, allowances incident to his/her studies for failure to finish his/her degree within the prescribed period; and
- e. submit progress reports to the FSDO, HRMO and concerned Dean/Director and Vice President.

**2. Subsidized Study Grants (for those studying on weekends only).**

This grant shall be made available to faculty members and staff with permanent and temporary items who will start/continue an advance degree on his own after meeting the basic requirements stipulated in the guidelines and upon execution of scholarship contract.

**Privileges:** Actual matriculation and other fees and Php 1,000.00 monthly stipend subject to availability of funds. Stipend will be pro-rated if the units enrolled are less than nine (9) units.

**Obligations:**

- a. finish the degree within five years;
- b. refund to the University the total subsidies for failure to finish the degree within the prescribed period;
- c. refund the cost of tuition for failed subjects or INC. not completed within the prescribed period; and
- d. submit progress reports to the FSDO and HRMO.

**Section 19. Faculty and Staff Studying on their Own**

Those intending to pursue graduate studies on their own must also follow the provisions in the policy guidelines. Degree earned in violation of these guidelines may not be used for promotions and requests for reclassifications.

**Article 20. Enrollment at the CvSU Graduate School and Continuing Education Training Services (CETS)**



Permanent or temporary faculty and staff who could not avail of the regular FSDP scholarship or subsidized study privileges may apply at the CvSU Graduate School subject to the recommendation of the Scholarship Committee and approval of higher authorities.

The Office of Graduate School should include in their requirements an approved request to pursue graduate studies. In the absence of such, the faculty or staff is not entitled to free tuition and other fees. Degree(s) to be earned from the University without prior authorization could not be used as base(s) for promotion.

Participants to the certificate courses and trainings to be conducted by the CETS in coordination with the FSDO and other colleges are considered university scholars also.

Recipients of this study privilege shall execute a contract with the University and will be covered by the provisions on obligations as stipulated in the FSDP Guidelines except on service obligation which shall be one year for every year of study privilege in the case of graduate programs and two months for every one month of training or pro-rata for a fraction thereof.

**Who may apply:**

- a. Those who could not avail of the regular FSDP scholarship in other accredited institutions due to age requirement, undergraduate preparations and other limitations set by the FSDP Guidelines.
- b. Those who cannot be allowed to go on full time study leave due to exigency of service and/or lack of funds for scholarship.
- c. Those who are not included in the top priority list of the unit/college and their field of specialization is also being offered in the University.
- d. Former FSDP scholars who were unable to finish their degrees in other accredited institutions, provided that they have already paid their accountabilities to the university in compliance with their previous scholarship contract, if any, subject to the evaluation of the Scholarship Committee and approval of higher authorities. If he has not settled his accountabilities, he is not entitled to free tuition and other fees.

**Privileges:**

- a. free tuition and other fees;



- b. reimbursement for the cost of books bought during the course of study but not to exceed Php 1,500.00 per semester;
- c. thesis support of Php 30,000.00 for MS thesis and Php 40,000.00 for Ph.D. dissertation subject to the recommendation of the Research Council and availability of funds; and
- d. those who will write their thesis/dissertation as certified by their Adviser/Guidance Committee and upon recommendation of the Scholarship Committee, shall be allowed to go on study leave for one semester with full privileges and one semester extension on official time subject to the evaluation and recommendation of the Scholarship Committee.

### **RULE XIII MERIT SYSTEM\***

Pursuant to the provisions of Section 32, Book V of Administrative Code of 1987 (Executive Order NO. 292), CSC Memorandum Circular No. 3, s. 1979 as amended by CSC Memorandum Circular No. 18, s. 1988 and CSC Memorandum No. 15, s. 1999, CSC Memorandum Circular No. 8, s 1999, Selection Plan (MSP) is hereby established for the guidance of all concerned.

#### **Section 1. Basic Policies**

- a) Selection of employees for the appointment in the government service shall be open to all qualified men and women according to the principle of merit and fitness.

There shall be equal employment opportunity for men and women at all levels of position in Cavite State University, provided they meet the minimum requirements of the position to be filled.

- b) The Revised Merit Promotion Plan shall cover positions in the first and second levels and shall also include original appointments and other related personnel actions.

There shall be no discrimination in the selection of employees on account of gender, civil status, disability, religion, ethnicity, or political affiliation.



- c) When a position in the first and second levels becomes vacant, applicants for employment who are competent, qualified and possess appropriate civil service eligibility shall be considered for permanent appointment.

In addition to the required qualifications, applicants for the third level position must possess executive and managerial competence.

\*Revised June 2003. Reproduced from Cavite State University *University Code, 2005*. There is no change in the format

- d) Vacant positions marked for filling shall be published in accordance with Republic Act 7041 (Publication Law). The published vacant positions shall also be posted in at least three (3) conspicuous places in the University for at least ten (10) calendar days. Other appropriate modes of publication shall be considered.

Filling the vacant positions in the University shall be made after ten (10) calendar days from their publication.

The publication of a particular vacant position shall be valid until filled up but not to extend beyond six (6) months reckoned from the date the vacant position was published.

- e) The following positions are exempt from the publication requirement:

- Primarily confidential positions;
- Positions which are policy determining;
- Highly technical positions;
- Other non-career positions;
- Positions to be filled by existing regular employees in the University in case of reorganization.

- f) Personnel Selection Board (PSB) for the first and second level positions shall be established in every campus of the University, preferably with the following composition:



- As Chairman – Vice President of the unit;
- Dean/Director;
- Human Resource Management Officer; and
- Two representatives of the rank-and-file career employees, one from the first level and one from the second level, who shall both be chosen by the duly accredited employee association in Cavite State University.

In case there is no accredited employee association in the University, the representatives shall be chosen at large by the employees through a general assembly. The candidate who garnered the second highest votes shall automatically be the alternate representative. Any other mode of selection may be conducted for the purpose.

The first level representative shall participate during the screening of candidates for vacancies in the second level. Both rank-and-file representatives shall serve for a period of two (2) years. For continuity of operation, the University accredited employee association may designate an alternate.

- g) The PSB members including alternate representatives for first and second level positions shall undergo orientation and workshop on the selection/promotion process and CSC policies on appointments.
- h) All candidates for the appointment to the first and second level positions shall be screened by the PSB for third level position composed of at least three (3) career executive service officials as may be constituted in the University.

Appointment to the following positions shall no longer be screened by the PSB:

- Substitute appointment due to their short duration and emergency nature. However, should the position be filled by the regular appointment, candidates for the position should be screened and passed upon by the PSB;
- Appointment of faculty members and academic staff of state universities and colleges who belong to the closed career service;



- Appointment to the entry laborer positions;
  - Appointment to personal and primarily confidential position; and
  - Renewal of temporary appointment issued to the incumbent personnel.
- i) The University head shall, as far as practicable, ensure equal opportunity for men and women to be represented in the PSB for all levels.
  - j) For vacancies in the first and second levels, all qualified next-in-rank employees shall be automatically considered candidates for promotion to the next higher position.
  - k) The PSB shall maintain fairness and impartiality in the assessment of candidates for appointment. Towards this end, the PSB may employ the assistance of external or independent resource persons and may initiate innovative schemes in determining the best and most qualified candidate.
  - l) The appointing authority shall assess the merits of the PSB's recommendation for appointment and in the exercise of sound discretion, select, in so far as practicable, from among the top five ranking applicants deemed most qualified for appointment to the vacant position.
  - m) The appointing authority may appoint an applicant who is not next-in-rank but possesses superior qualification and competence, and has undergone selection process.
  - n) The comparative competence and qualification of candidates for appointment shall be determined on the basis of:
    - 1. Performance
      - For appointment by transfer, the performance rating of the appointee for the last rating period prior to the effectivity date of the appointment should be at least very satisfactory.
      - For the appointment by transfer, the performance rating for the last rating period immediately preceding the transfer from the former office should be at least very satisfactory.





2. Education and Training
  3. Experience and Outstanding Accomplishment
  4. Psycho-social Attributes and Personality traits
  5. Potential
- o) An employee may be promoted or transferred to a position which is not more than three (3) salary, pay or job grades higher than the employee's present position except in every meritorious cases, such as: if the vacant position is next-in-rank as identified in the System of ranking Positions (SRP) approved by the head of the University, or the lone or entrance position indicated in the University staffing pattern.
  - p) An employee should have rendered at least very satisfactory service for the last rating period in the present position before being considered for promotion.
  - q) An employee who is on local or foreign scholarship or training grant or maternity leave may be considered for promotion.

For this purpose, performance rating to be considered shall be the rating immediately prior to the scholarship, or training grant, or maternity leave.

If promoted, the effectivity date of the promotional appointment shall be on the assumption to duty.

- r) Promotion within six (6) months prior to compulsory retirement shall not be allowed except as otherwise provided by law.
- s) A notice announcing the appointment of an employee shall be posted in three conspicuous places in Cavite State University a day after the issuance of the appointment for at least fifteen (15) calendar days.
- t) The approved University Merit Promotion Plan shall be used as one of the bases for the expeditious approval of appointment, for attestation and accreditation to take final action on appointments.

**Section 2. Objectives.** It is the policy of the university to strictly adhere to the principles of merit, fitness and equality. The selection of employees shall be based on their relative qualifications and competence to perform the duties and responsibilities of the position. There shall be no discrimination in the selection of employees on



account of gender, civil status, disability, religion, ethnicity, or political affiliation. In this pursuit, the Cavite State University Merit Selection Plan aims to:

- a) Establish a system that is characterized by strict observance of the merit, fitness and equality principles in the selection of employees for appointment to positions in the career and non-career service in all levels.
- b) Create equal opportunities for employment to all qualified men and women to enter the government service and for career advancement in Cavite State University.

**Section 3. Scope.** This revised Merit Selection Plan shall cover career positions in the first and second level in the University including its campuses. It may also include non-career positions.

#### **Section 4. Definition of Terms**

- a) **University** – refers to Cavite State University established under RA 8468.
- b) **Career Service** – position in the civil service characterized by (1) entrance based on merit and fitness to be determined as far as practicable by competitive examination, or based on highly technical qualifications; (2) opportunity for advancement to higher career positions; and (3) security of tenure.
- c) **Comparative at Par** – predetermined reasonable difference or gap between point scores of candidates for appointment established by the PSB.
- d) **Deep Selection** – the process of selecting a candidate for appointment who is not next-in-rank but possesses superior qualification and competence.
- e) **Discrimination** – is a situation wherein a qualified applicant is not included in the selection line-up on account of gender, civil status, pregnancy, disability, religion, ethnicity, or political affiliation.
- f) **First Level Positions** – shall include clerical, trades and crafts, and custodian service which involve sub-professional work in a non-supervisory or supervisory capacity.
- g) **Hiring Quota** – is the predetermined ratio of applicants for appointment to ensure that one gender does not fall short of the desired



- percentage of the selection rate for the other gender in equivalent positions at every level, provided they meet the minimum requirements of the position.
- h) Job Requirements** – requisites not limited to the qualification standards of the position, but may include skills, competencies, potential, physical and psycho-social attributes necessary for the successful performance of the duties required of the position.
  - i) Next-in-Rank Position** – refers to a position which by reason of the hierarchical arrangement of positions in the Cavite State University's System of Ranking Positions (SRP).
  - j) Merit and Fitness** – refers to appropriate qualifications and competence/ability of the applicant to assume the duties and responsibilities of the position.
  - k) Non-Career Service** – positions expressly declared by law to be in the non-career service; or those whose entrance in the service is characterized by (1) entrance on bases other than those of the usual tests of merit and fitness utilized for the career service; (2) tenure which is limited to the duration of a particular project for which purpose employment was made.
  - l) Personnel Action** – any action denoting the movement or progress of personnel in the civil service such as original appointment, promotion, transfer, reinstatement, reemployment, detail, assignment, secondment and demotion.
  - m) Promotion** – is the advancement of an employee from one position to another with an increase in duties and responsibilities as authorized by law and usually accompanied by an increase in salary.
  - n) Psycho-Social Attributes** – refers to the characteristics or traits of a person which involve both psychological and social aspects. Psychological includes the way he/she perceives things, ideas, belief and understanding and how he/she acts and relates these things to others and in social situations.
  - o) Qualification Standards** – is a statement of the minimum qualifications for a position which shall include education, experience, training, civil service eligibility, and physical characteristics and personality traits required in the performance of the job.



- p) Qualified Next-in-Rank** – refers to an employee appointed on a permanent status to a position next-in-rank to the vacancy as reflected in the SRP approved by the head of Cavite State University and who meets the requirements for appointment to the next higher position.
- q) Second Level Positions** – involve professional, technical and scientific work in a non-supervisory or supervisory capacity up to Division chief level or its equivalent.
- r) Selection** – is the systematic method of determining the merit and fitness of a person on the basis of qualifications and ability to perform the duties and responsibilities of the position.
- s) Selection Line-Up** – is a listing of qualified and competent applicants for consideration to a vacancy which includes, but not limited to the comparative information of their education, experience, training, civil service eligibility, performance rating (if applicable), relevant work accomplishments, physical characteristics, psycho-social attributes, personality traits and potential.
- t) Superior Qualifications** – shall mean outstanding relevant work accomplishments, educational attainment and training appropriate for the position to be filled. It shall include demonstration of exceptional job mastery and potential in major areas of responsibility.
- u) System of Ranking Positions** – is the hierarchical arrangement of positions from highest to lowest, which shall be a guide in determining which position is next-in-rank, taking into consideration the following:
- Organizational structure;
  - Salary grade allocation;
  - Classification and functional relationship of positions; and
  - Geographical allocation

## **Section 5. Procedures in the Recruitment/ Selection/ Promotion of Faculty Members and Staff.**

### **a) Recruitment and Selection of Faculty/Staff**

- 1.) Unit Head/HRMO makes a request for authority from the President (thru channels) to hire contractual faculty/staff.



Head/HRMO/ODA makes a request for authority from the President to fill up vacant position(s).

- 2.) HRMO announces/publishes the existing vacant position(s) per advice of the Director/Dean.

Vacant positions which are not filled within six (6) months should be re-published.

The following positions are exempt from the publication requirement:

2.1 Primary confidential positions;

2.2 Positions which are policy-determining;

2.3 Highly technical positions;

2.4 Other non-career positions; and

2.5 Positions to be filled by existing regular employees in the agency in case of reorganization.

- 3.) HRMO accepts applicant's credentials and other necessary documents.

- 4.) HRMO and Head of Unit Concerned prepare a short list of qualifiers among the applicants.

- An employee may be promoted or transferred to a position which is not more than three (3) salary grades higher than the employee's present position except, in very meritorious cases, such as: if the vacant position is next-in-rank as identified in the SRP approved by the head of agency, or the lone or entrance position indicated in the agency staffing pattern.
- An employee who is on local or foreign scholarship or training grant or pregnancy or on maternity leave may be considered for promotion. For this purpose, the performance ratings to be considered shall be the rating immediately prior to or after the scholarship or training grant or maternity leave. If promoted, the effectivity date of the promotional appointment shall be after the scholarship or training grant or maternity leave.
- Promotion within six (6) months prior to compulsory retirement shall not be allowed except as otherwise provided by law.

- 5.) HRMO evaluates documents submitted by the applicants.



- 6.) HRMO prepares list of qualifiers based on the preliminary evaluation results.
- 7.) HRMO coordinates with the psychological testing company regarding the time, date and place of testing. The HRMO shall also notify the qualifiers in writing as to time, date and place of testing.
- 8.) HRMO informs the applicants of the test results and advise them to report to the University Selection and Promotion Board (USPB) for interview.

8.1 The criteria for final screening shall be as follows:

#### 8.1.1 Psychological Tests

Each category is assigned weight. For technical and non-technical positions, the following ratings shall be considered qualified:

Moderately Recommended - 1

Recommended - 3

Highly Recommended - 5

#### 8.1.2 Interview

The Guide for Interview Assessment which is part of this Merit and Promotion Plan approved by the CSC in 1991 shall be used. The scale below shall be used:

8.31 – 10 - 5

6.62 – 8.30 - 4

4.93 – 6.61 - 3

3.24 – 4.92 - 2

1.55 – 3.23 - 1

- 9.) PSB conducts interview of applicants.
- 10.) HRMO prepares evaluation results based on test results and interviews.



- 11.) PSB recommends qualified applicant(s) to the President for approval.

The list of recommended candidates should specify the top five ranking candidates whose over-all point scores are comparatively at par based on the comparative assessment under Procedure 8.1 hereof.

- 12.) HRMO, upon the President's approval, posts the results of the evaluation conducted in strategic places of the University including satellite campuses a day after the issuance of the appointment for at least 10 days. The date of posting should be indicated in the notice.
- 13.) HRMO advises applicant(s) concerned to submit the required documents to HRMO.
- 14.) HRMO prepares appointment papers and facilitates the signing of the same by higher authorities.
- 15.) HRMO submits appointment papers to CSC for appropriate action and conducts follow-up to facilitate the approval of appointment.
- 16.) HRMO, upon CSC approval, furnish the concerned person with the original copy of approved appointment.

**b) Promotion of University Personnel for Non-Academic Position**

- 1.) HRMO and Unit head concerned make a request for authority from the President (thru channels) to fill up a natural vacant position.

HRMO announces/publishes the existing vacant position(s).

Vacant positions which are not filled within six (6) months should be re-published.

The following positions are exempt from the publication requirement:

- 1.1 Primary confidential positions;
- 1.2 Positions which are policy determining;
- 1.3 Highly technical positions;



- 1.4 Other non-career positions;
- 1.5 Positions to be filled by existing regular employees in the agency in case of reorganization.
- 2.) HRMO accepts applicant's credentials and other necessary documents required.
- 3.) HRMO and Unit Head concerned prepare a short list of qualifiers among the applicants.
  - 1.1 An employee may be promoted or transferred to a position which is not more than three (3) salary grades higher than the employee's present position except, in very meritorious cases, such as: if the vacant position is next in rank as identified in the SRP approved by the head of agency, or the lone or entrance position indicated in the agency staffing pattern.
  - 1.2 An employee who is on local or foreign scholarship or training grant or pregnancy or on maternity leave may be considered for promotion.

For this purpose, the performance ratings to be considered shall be the rating immediately prior to or after the scholarship or training grant or maternity leave.

If promoted, the effectivity date of the promotional appointment shall be after the scholarship or training grant or maternity leave.

Promotion within six (6) months prior to compulsory retirement shall not be allowed except as otherwise provided by law.
- 4.) HRMO evaluates all qualifiers based on the provisions of Rule VI, Sec. 2-9 of Omnibus Rules Implementing Book of EO No. 292.
- 5.) HRMO prepares list of qualifiers based on the preliminary evaluation results.
- 6.) HRMO/Unit Head concerned prepares a schedule of performance testing and interview, notify qualifiers of their respective schedule of testing and interview and conduct performance testing and interview.
- 7.) Unit Head concerned submits the performance testing result to PSB.





- 8.) PSB/HRMO conducts final evaluation and prepares final evaluation results.
- 9.) PSB recommends qualified applicant(s) to the President for approval.

The list of recommended candidates should specify the top five ranking candidates whose over-all point scores are comparatively at par based on the comparative assessment under Procedure 8.1 hereof.

- 10.) HRMO posts the results of the evaluation conducted in strategic places of the University including satellite campuses a day after the issuance of the appointment for at least 10 days. The date of posting should be indicated in the notice.
- 11.) HRMO advises qualified applicant(s) concerned to submit the required documents to HRMO.
- 12.) HRMO prepares appointment papers and facilitates the signing of the same by higher authorities.
- 13.) HRMO submits appointment papers to CSC for appropriate action and conducts follow-up to facilitate the approval of appointments.
- 14.) HRMO, upon CSC approval, furnishes the concerned person with the original copy of appointment.

### **c) Promotion of University Personnel for Academic Position**

1. Unit Head/HRMO request for authority from the President to fill up vacant position.
2. HRMO announces/posts vacant position(s) and advises all qualified faculty members and academic-related staff to update their records and other personnel documents in the HRMO.
3. University Evaluation Committee (UEC) conducts evaluation of the faculty/academic staff.
4. UEC submits the evaluated documents together with its recommendation to the President for upgrading/reclassification. (Note: Upgrading/reclassification shall not be more than once a year).



5. HRMO posts all promotional appointments (upgrading/reclassification) in strategic places of the University.
6. HRMO advises applicant(s) concerned to submit the required documents.
7. HRMO prepares appointment papers and facilitates the signing of the same by higher authorities.
8. HRMO submits appointment papers to CSC for appropriate action and conducts follow-up to facilitate the approval of appointment.
9. HRMO, upon CSC approval, furnishes the concerned person with the original copy of appointment.

**d) Renewal of Appointment/Contract**

1. One month before the expiration of appointment/contract, HRMO notifies the immediate head and the personnel concerned to prepare a recommendation.
2. Head of Unit concerned prepares and submit the recommendation for renewal of appointment/contract to the president for approval.
3. Board Secretary, upon approval by the President, forwards the approved recommendation letter to HRMO.
4. HRMO advises personnel concerned to fill up and submit the following recommendation letter to HRMO:
  - 1.1 copies each of duly accomplished Personal Data Sheet (PDS) and Position Description Form (PDS) and Position Description Form (PDF);
  - 1.2 Performance rating for two consecutive semesters (for faculty); and
  - 1.3 Performance rating for January-June and July-December (for non-academic).
5. HRMO prepares appointment papers and facilitates the signing of the same by higher authorities.



6. HRMO submits appointment papers/contract to CSC for appropriate action and conducts follow-up to facilitate the approval of contract/appointment.
7. HRMO, upon CSC approval, furnishes the concerned person with the original copy of appointment/contract.

## **Section 6. Recruitment and Selection Policies for Academic Positions.**

Opportunity for employment in the faculty and academic staff positions in CvSU shall be open to all qualified individuals. Employees shall be selected on the basis of fitness to perform duties and assume the responsibilities of the positions.

No religious or political tests shall be required; neither shall religious nor political opinions nor affiliations be made a matter of examination or inquiry.

The guidelines on the recruitment and selection of faculty and academic staff in the University shall be the same as those mentioned in the preceding section including the following:

- a) Recruitment shall be limited to those who possess at least a master's degree or its equivalent;
- b) B. S. degree holders may be recruited based on any or combination of the following criteria/conditions:
  - Bachelor degree holders with academic honors such as *Summa Cum Laude*, *Magna Cum Laude*, or *Cum Laude*;
  - Those who passed their respective board examinations with at least one (1) year active practice of the profession;
  - Those who belong to the first ten in their respective board examination;
  - Those who have been in collegiate teaching on full time basis or doing educational research work for at least three (3) years;
  - Those who have earned 51 points as provided for under the Common Criteria for Evaluation of Faculty, DBM NBC No. 461.



- c) In the absence of qualified insiders, transferees from other universities and colleges may be admitted at their present faculty ranks subject to final evaluation and recommendations of the Selection Board.
- d) The primary basis for recruitment and selection and classification of faculty and academic staff shall be the existing rules and regulations and procedures of the university – the PASUC Common Criteria for Evaluation (CCE); and the qualification requirements established under CSC MC No. 5, s. 1987. A guide for interview assessment of personality traits and characteristics in Annex A.

## **Section 7. Appointment Policies**

### **a) Rank of Instructor**

- 1. Master's degree holder in the area of specialization.
- 2. In the absence of a master's degree, the criteria/conditions for recruitment of B. S. degree holders as specified in Section A.1.b hereof shall apply.

### **b) Rank of Assistant Professor**

- 1. Doctoral degree holder preferred or
- 2. Master's degree in the field of specialization with at least four (4) years of experience related to educational/research work and/or in profession related to teaching; or
- 3. Bachelor's degree holder in the field of specialization with at least 102 points earned based on the Common Criteria for Evaluation of Faculty, NBC No. 461.

### **c) Rank of Associate Professor**

- 1. Doctoral degree preferred, or
- 2. Master's degree in the field of specialization with at least six (6) years of experience related to collegiate teaching or eminence in the profession of highly specialized nature; or
- 3. Bachelor's degree in the field of specialization with at least 126 points under the CCE of NCC No. 33, s. 1985.

### **d) Rank of Professor**



1. Doctoral degree holder with at least eight (8) years experience related to the collegiate teaching of highly specialized nature.
2. In the absence of a doctoral degree, master's degree in the field of specialization with at least 144 points under the CCE, DBM NBC No. 461 may be considered.

**Section 8. Permanent Appointment.** A permanent appointment upon approval of the CSC shall be issued to a person who meets the qualification standards established for the faculty or academic rank based on the provisions of this Merit System and upon successful completion of the mandatory probationary period defined in Section 4 below.

**Section 9. Probationary Period.** The probationary period shall be for one year. The probationary period may be extended to cover the duration of study leave approved under the University faculty and Staff Development Program (FSDP). Those on probationary status shall be issued permanent appointments within the probationary period, but after this, they can either be retained for satisfactory performance or dropped from the service for unsatisfactory conduct or want of capacity. This policy ensures that only those who are fit to serve in the faculty and academic staff of the University shall be retained in the service.

**Section 10. Criteria for Recruitment and Appointment.** The PASUC Common Criteria for Evaluation (CCE) and the pertinent guidelines, rules and procedures relative thereto will be used by the University to supplement policies and guidelines on the recruitment and appointment of faculty and academic staff as established in this Merit System.

## **Section 11. Career Advancement**

### **a) Policies**

- The primary basis for promotion shall be the established policies under CSC Res. No. 83-343, in as far as they are consistent with the guidelines prescribed by CSC No. 5, s. 1987 and CSC Res. No. 84-105 A dated 29 March 1984 and supplemented by NBC No. 461.
- In case where the competence and qualification of two or more faculty or academic staff are comparatively at par, preferences shall be given the candidate already working in the department where the vacancy exists.
- Corollary to Section 5 above, the University adopts the policy of giving preference to insiders whose qualifications and competence



are determined to be at par with applicants from outside the University.

- The mere filing of an administrative charge shall not constitute a disqualification for promotion. When an employee who is legitimately entitled to promotion is administratively charged, the position to which he should have been promoted shall not be filled until after the case shall have been finally decided. However, when the exigency of the service requires immediate filling-up of the position/rank, then it shall be filled by a substitute appointment until the administrative case against the employee is finally decided. Should the employee who is administratively charged be exonerated, he shall be promoted to the rank he is qualified for promotion.
- A faculty/ academic staff who feels aggrieved on the decision on promotion may file a protest within 15 days after the decision on promotion has been made in accordance with pertinent civil service rules.

**Section 12. Performance Evaluation System.** Pursuant to CSC MC No. 13, s. 1999, the University shall adopt its own performance evaluation system for all its personnel. This performance evaluation system is designed to:

- a) Continuously foster improvement of employee's performance and efficiency;
- b) Enhance organizational effectiveness and productivity;
- c) Provide an objective performance rating which shall serve as a basis for incentive and rewards, promotion, training and development, personnel sanctions and administrative sanctions;
- d) Provide for the identification of outputs and job-related behavior as well as corresponding performance measures which shall be mutually agreed upon between supervisors and subordinates for a particular appraisal period. The performance of the employee shall be evaluated on the basis of his accomplishment as against his performance target;
- e) Provide opportunity for supervisors to make comments and recommendations regarding employee's strengths and weaknesses which maybe instrumental in furthering his career, or identifying factors that may impede his development. Comments from supervisors are expected to facilitate the employee's personal growth and shall be given due weight in making personnel decisions; and



- f) Provide sanctions against raters who use the performance rating to give undue advantage and disadvantage to people they rate.

### **Performance Rating**

Performance of faculty, academic and non-academic staff shall be evaluated with the use of prescribed forms (ANNEX D2) twice a year: every October and March. It shall provide for the qualitative ratings using those prescribed in CSC MC. No. 12, s. 1989 based on quantitative scales as follows:

- a) **Outstanding** – an employee of the University shall be given this rating when he exceeds his targets by at least 30 percent. It represents an extraordinary level of achievement and commitment in terms of quality and time, technical knowledge and skill, ingenuity, creativity and initiative. Employee at this performance level should have demonstrated exceptional job mastery in all major aspects of responsibility. His achievement and contributions to the organization are of marked excellence which his peers and supervisors recognize.
- b) **Very Satisfactory** – An employee of the University shall be given this rating when he exceeds the expected output/performance by at least 15-29 percent but falls short of what is considered an outstanding performance.

Only employees with Outstanding and Very Satisfactory Performance Ratings for two consecutive rating periods shall be considered for promotion.

- c) **Satisfactory** – An employee of the University shall be given this rating when he meets the standards or ordinary requirements of the duties of the position or his performance is 100 to 114 percent of the planned targets.
- d) **Unsatisfactory** – An employee of the University shall be given this rating when his performance falls short of the minimum requirements but could stand improvement, or if performance is 51 to 99 percent of the target. It is expected that in the next rating period, the employee under close supervision, will either improve his performance for which he shall be given a satisfactory rating. Two (2) successive Unsatisfactory Ratings shall be a ground for separation from the service.



- e) **Poor** – An employee of the University shall be given this rating when he fails to meet performance requirements by 50 percent or below. A “Poor” Performance Rating shall be a ground for separation from the service.

### **Criteria**

Criteria for evaluation of University personnel shall be those prescribed under CvSUPES.

### **Appeal from Rating**

A faculty/academic or non-academic staff who expresses dissatisfaction with the rating given him may appeal through the duly established Grievance Procedure of the University within fifteen (15) days after receipt of his copy of Performance Rating. Failure to file an appeal within the prescribed period shall be deemed a waiver of such right.

## **Section 13. Awards**

### **a) Nature of Award**

Awards under this System shall be monetary or non-monetary. The University President, however, upon the recommendation of the Merit Increase and Incentive Awards Committee (MIIAC) may consider a faculty member for both monetary and non-monetary awards.

1. **Monetary Awards** – A cash award in accordance with scales to be decided by the University may be granted when accomplishment results in monetary savings and tangible benefits, the amount of cash award shall be determined on the basis of its estimated or total value or benefits and in accordance with the scales established by the University.

The University President is authorized to give such awards approved by the Board of Regents. When an accomplishment has been made by a group, those in the group shall share the award equally among themselves or in a manner agreed upon by them.

2. **Service Award** – This award shall be granted to faculty/employee of the University who has completed 10 or more years of continuous service to the government.





Services rendered in other government agencies are considered under this award provided that the faculty/employee has not received the same award from other government agencies and provided further, that he/she has rendered service for at least five (5) years in CvSU.

10 and 15 years	-Bronze service pin
20 and 25 years	-Silver service ring
30, 35 & 40 years	-Gold service medallion

3. **Outstanding Performance Award** – a cash award to be determined by the MIIAC shall be given to any faculty or employee who is chosen on a University-wide competition for the “Kabalikat” Awards and Tanglaw ng Mag-aaral Award” and other awards. This will be based on the criteria and procedures prescribed in the Guidelines in the Conduct of the Search for Outstanding Faculty and Employee.
4. **Retirement Award** – In addition to the benefits normally received by retirees, faculty and employees who will retire after serving the university for at least 25 years shall be entitled to a Retirement Benefit amounting to P 20, 000 subject to availability of funds.

#### **Section 14. Faculty and Staff Training and Development.**

The aggressive and continuous development of faculty and staff is a must for every educational institution if it wants to achieve excellence in education and be able to provide quality education, research and community service to the community that it serves. As such, the University has adopted rules, regulations, and guidelines for a sustained faculty and staff training and development through its Faculty and Staff Development Program (FSDP) (Rule XII contains the detailed policy guidelines).

#### **Section 15. Personnel Relation and Welfare Services**

To sustain a high level of productivity and morale among its personnel, the University shall:

- a) Take all proper steps towards the creation of an atmosphere conducive to management-faculty and academic staff relations and improvement of their morale. It shall make provisions for the legal, canteen, transportation, health welfare, counseling, recreation and related services.



- b) Make arrangements for annual medical and dental services and take proper action on the recommendations resulting from such physical examinations.
- c) Facilitate the dissemination of information and the discussion of ideas among the department heads and faculty members. It shall encourage their participation on the development of policies, procedures and other matters affecting them and their work.
- d) Encourage voluntary activities, whether athletics, social, recreational or financial, provided these are conducive to faculty and academic staff well-being and consistent with the objectives of personnel welfare.
- e) Encourage faculty and academic staff to form, join, or assist employee organizations of their choosing for the furtherance and protection of their interests. They can also form work councils and other forms of worker participation schemes.

**Section 16. Discipline.** No personnel of the University covered by the item shall be suspended or dismissed except for cause as provided by law and after due process. The provisions of the Civil Service Law and Rules on Administrative Discipline shall apply in proceedings against faculty and academic staff.

**Section 17. Transitory Provision.** Except as otherwise provided in this Merit System, merits vested or acquired under established system prior to the effectivity of this System shall be respected.

**Section 18. Responsibility.** The University President, the Board of Regents, the Deans, the Directors, the Heads of Departments/Units, the Administrative Officer, the Human Resource Management Officer, and other such officers as may be authorized by the President shall be responsible for the implementation and maintenance of this Merit System. The initiative and active participation of the Human Resource Management Officer shall be expected in the proper implementation of this Merit System.

**Section 19. Amendment.** Any proposed amendment to the merit system shall be reviewed and approved by the Civil Service Commission.



## **RULE XIV CODE OF ETHICS FOR UNIVERSITY OFFICIALS, FACULTY AND EMPLOYEES**

### **A. REPUBLIC ACT NO. 6713- CODE OF CONDUCT AND ETHICAL STANDARDS FOR PUBLIC OFFICIALS AND EMPLOYEES**

#### **[ REPUBLIC ACT NO. 6713]**

An act establishing a code of conduct and ethical standards for public officials 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 providing penalties for violations there and for other purposes.

Be it enacted by the Senate and House of Representative of the Philippines in Congress assembled:

**Section 1. Title.** This Act shall be known as the “Code of Conduct and Ethical Standards for Public Officials and Employees”.

**Section 2. Declaration of Policy.** It is the policy of the State to promote a high standard of ethics in public service. Public officials and employees shall at all times be accountable to the people and shall discharge their duties with utmost responsibility, integrity, competence, and loyalty, act with patriotism and justice, lead modest lives, and uphold public interest over personal interest.

**Section 3. Definition of Terms.** As used in this Act, the term:

- a) **Government** includes the National Government, the local government, and all other instrumentalities, agencies or branches of the Republic of the Philippines including the government-owned or controlled corporations, and their subsidiaries.

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- Full texts of RA 6713, its Implementing Rules, and Administrative Disciplinary Rules on Sexual Harassment in this Rule are reproduced from the original documents. There is no change in the format.



- b) Public Officials** include elective and appointive officials and employees, permanent or temporary, whether in the career or non-career service, including military and police personnel, whether or not they receive compensation, regardless of amount.
- c) Gift** refers to a thing or a right disposed of gratuitously, or any act of liberality, in favor of another who accepts it, and shall include a simulated sale or an ostensibly onerous disposition thereof. It shall not include an unsolicited gift of nominal or insignificant value not given in anticipation of, or in exchange for, a favor from a public official or employee.
- d) Receiving any gift** includes the act of accepting, directly or indirectly, a gift from a person other than a member of his family or relative as defined in this Act, even on the occasion of a family celebration or national festivity like Christmas, if the value of the gift is given in anticipation of, or in exchange for, a favor.
- e) Loan** covers simple loan and commodatum as well as guarantees, financing arrangements or accommodations intended to ensure its approval.
- f) Substantial stockholder** means any person who owns, directly or indirectly, shares of stock sufficient to elect a director of a corporation. This term shall also apply to the parties to a voting trust.
- g) Family of public officials or employees** means their spouses and unmarried children under eighteen (18) years of age.
- h) Person** includes natural and juridical persons unless the context indicates otherwise.
- i) Conflict of interest** arises when a public official or employees is a member of a board, an officer, or a substantial interest in a business , and the interest of such corporation or business , or his rights or duties therein, may be opposed to or affected by the faithful performance of official duty.
- j) Divestment** is the transfer of title or disposal of interest in property by voluntarily, completely, and actually depriving or dispossessing oneself of his right or title to it in favor of a person or persons other than spouse and relatives as defined in this Act.



- k) Relatives** refer to any and all persons related to a public official or employee within the fourth civil degree of consanguinity or affinity, including *bilas*, *inso* and *balae*.

#### **Section 4. Norms of Conduct of Public Officials**

- a. Every public official and employee shall observe the following standards of personal conduct in the discharge and execution of official duties:
1. Commitment to public interest – Public officials and employees shall always uphold the public interest over and above personal interest. All government resources and powers of their respective offices must be employed and used efficiently, effectively, honestly and economically, particularly to avoid wastage in public funds and revenues.
  2. Professionalism – Public officials and employees shall perform and discharge their duties with the highest degree of excellence, professionalism, intelligence and skill. They shall enter public service with utmost devotion and dedication to duty. They shall endeavor to discourage wrong perceptions of their roles as dispensers or peddlers of undue patronage.
  3. Justness and sincerity – Public officials and employees shall remain true to the people at all times. They must act with justness and sincerity and shall not discriminate against anyone, especially the poor and the unprivileged. They shall at all times respect the rights of others, and shall refrain from doing acts contrary to law, good morals, good customs, public policy, public orders, public safety and public interest. They shall not dispense or extend undue favors on account of their office to their relatives whether by consanguinity or affinity except with respect to appointments of such relatives to positions considered strictly confidential or as member of their personal staff whose terms are coterminous with theirs.
  4. Political neutrality – Public officials and employees shall provide service to everyone without unfair discrimination and regardless of party affiliation or preference.
  5. Responsiveness to the public- Public officials and employees shall extend prompt, courteous, and adequate service to the public. Unless otherwise provided by the law or when required by the public interest, public officials and employees shall provide information on their policies and procedures in clear



and understandable language , ensure openness of information , public consultations and hearings whenever appropriate, encourage suggestions, simplify and systematize policy, rules and procedures, avoid red tape and develop an understanding and appreciation of the socio-economic conditions prevailing in the country , especially in the depressed rural and urban areas.

6. Nationalism and patriotism- Public officials and employees shall at all times be loyal to the Republic of the Philippines and to the Filipino people, promote the use of locally produced goods, resources and technology and encourage appreciation and pride of country and people. They shall endeavor to maintain and defend Philippine sovereignty against foreign intrusion.
  7. Commitment to democracy – Public officials and employees shall commit themselves to the democratic way of life and values, maintain the principle of public accountability and manifest by deeds the supremacy of civilian authority over the military.
  8. Simple living- Public officials and employees and their families shall lead modest lives appropriate to their positions and income. They shall not indulge in extravagant or ostentatious display of wealth in any form.
- b) The Civil Service Commission shall adopt positive measures to promote:
1. observance of these standards including the dissemination of information programs and workshops authorizing merit increases beyond regular progression steps to a limited number of employees recognized by their office colleagues to be outstanding in their observance of ethical standards.
  2. continuing research and experimentation on measures which provide positive motivation to public officials and employees in raising the general level of observance of these standards.

**Section 5. Duties and Responsibilities of Public Officials and Employees.**

In the performance of their duties, all public officials, and employees are under obligation to:

- a) **Act promptly on letters and requests.** All public officials and employees shall, within fifteen (15) working days from receipt thereof, respond to letters, telegrams, or other means of communications sent by the public. The reply must contain the action taken on the request.
- b) **Submit annual performance reports.** All heads or other responsible officers of offices and agencies of the government and of government- owned or controlled corporations shall, within forty five (45) working days for the end of the year, render a performance report of the agency or office or corporation concerned. Such report shall be open and available to the public within regular office hours.
- c) **Process documents and papers expeditiously.** All officials papers and documents must be processed and completed within a reasonable time from the preparation thereof and must contain, as far as practicable, not more than three (3) signatories therein. In the absence of duty authorized signatories, the official next in rank or officer - in- charge shall sign for and in their behalf.
- d) **Act immediately on the public's personal transaction.** All public officials and employees must attend to anyone who wants to avail himself of the services of their offices and must, at all time act promptly and expeditiously.
- e) **Make documents accessible to the public.** All public documents must be made accessible to, and readily available for inspection by the public within reasonable working hours.

**Section 6. System of Incentives and Rewards.** A system of annual incentives and rewards is hereby established in order to motivate and inspire public servants to uphold the highest standards of ethics. For this purpose, a Committee on Awards to Outstanding Public Officials and Employees is hereby created composed of the following: the Ombudsman and Chairman of the Civil Service Commission on Audit, and two government employees to be appointed by the President, as members.

It shall be the task of this Committee to conduct a periodic, continuing review of the performance of public officials and employees, in all the branches and agencies of the Government and establish a system of annual incentives and rewards to the end that due the recognition is given to public officials and employees of outstanding merit on the basis of the standards set forth in this Act.





The conferment of awards shall take into account, among other things, the following: the years of service and the quality and consistency of performance, the obscurity of the position, the level of salary, the unique and exemplary quality of a certain achievement, and the risks and temptations inherent in the work. Incentives and rewards to government officials and employees of the year to be announced in public ceremonies honoring them may take the form of bonuses, citations, directorships in government-owned or controlled corporations, local and foreign, scholarship grant, paid vacations, and the like. They shall likewise be automatically promoted to the next higher position with the commensurate salary suitable to their qualifications. In case there is no next higher position or it is not vacant, said position shall be included in the budget of the office in the next General Appropriations Act. The Committee on Awards shall adopt its own rules to govern the conduct of its activities.

**Section 7. Prohibited Acts and Transactions.** In addition to acts and omissions of public officials and employees now prescribed in the Constitution and existing laws, the following shall constitute prohibited acts and transactions of any public officials and employee and are hereby declared to be unlawful:

- a.) **Financial and material interest.** Public officials and employees shall not, directly or indirectly, have any financial or material interest in any transaction requiring the approval of their office.
- b.) **Outside employment and other activities related thereto:**
  - 1. Own, control, manage or accept employment as officer, employee, consultant, counsel, broker, agent, trustee or nominee in any private enterprise regulated, supervised or licensed by either office unless expressly allowed by law:
  - 2. Engage in the private practice of their profession unless authorized by the Constitution or law, provided that such practice will not conflict or tend to conflict with their official functions; or
  - 3. Recommend any person to any position in a private enterprise, which has regular, or pending official transaction with their office.

These prohibitions shall continue to apply for a period of one 1 year after resignation, retirement, or separation from the public office, except in the case of subparagraph (2) above, but the professional concerned cannot practice his profession in connection in any matter





before the office he used to be with, in which case the one year prohibition shall likewise apply:

**c) Disclosure and/ or misuse of confidential or classified information**

officially known to them by reason of their office and not made available to the public, either:

1. To further their private interest , or give undue advantage to anyone; or
2. To prejudice the public interest

**d) Solicitation or acceptance of gifts.** Public officials and employees shall not solicit or accept, directly or indirectly, any gift, gratuity favor entertainment, loan or anything of monetary value from any person in the course of their official duties in connection with any operation being regulated by, or any transaction which maybe affected by the functions of their office. As to gifts or grants from foreign governments, the Congress consents to:

1. The acceptance and retention by a public official or employee of a gift of nominal value tendered and received as a souvenir or mark of courtesy;
2. The acceptance by a public official or employee of a gift in the nature of scholarship or fellowship grant or medical treatment; or
3. The acceptance by a public official or employee of travel grants or expenses for travel taking place entirely outside the Philippines (such as allowances, transportation, food, and lodging) or more than the nominal value if such acceptance is appropriate or consistent with the interests of the Philippines permitted by the head of the office, branch or agency to which he belongs.

The Ombudsman shall prescribe such regulations as may be necessary to carry out the purpose of this subsection, including pertinent reporting and disclosure requirements.

Nothing in this Act shall be construed to restrict or prohibit any educational, scientific, or cultural exchange programs subject to national security requirements.

**Section 8. Statements and Disclosures.** Public officials and employees have an obligation to accomplish and submit declarations under oath of, and the public has the right to know, their assets, liabilities, net worth and financial and business interests including those of their spouses and of



unmarried children under eighteen (18) years of age living in their households.

a) **Statements of Assets and Liabilities and Financial Disclosure.**

All public officials and employees, except those who serve in an honorary capacity, laborers and casual or temporary workers, shall file under their Statement of Assets, Liabilities and Net Worth and a Disclosure of Business Interests and Financial Connections and those of their spouses and unmarried children under eighteen (18) years of age living in their households.

The two documents shall contain information on the following:

1. real property, its improvements, acquisition costs, assessed value and current fair market value;
2. personal property and acquisition costs;
3. all other assets such as investments, cash on hand or in banks, stocks, bonds and the like;
4. liabilities; and
5. all business interests and financial connections.

The documents must be filed:

1. within thirty (30) days after the assumption of office;
2. on or before April 30, of every year thereafter; and
3. within thirty (30) days after separation from the service.

All public officials and employees required under this section to file the afore stated documents shall also execute within thirty (30) days from the date of their assumption of office, the necessary authority in favor of the Ombudsman to obtain from all appropriate government agencies, including the Bureau of Internal Revenue, such documents as may show their assets, liabilities, net worth and also their business interests and financial connections in the previous years, including, if possible, the year when they first assumed any office in the Government.

Husband and wife who are both public officials or employees may file the required statements jointly or separately.



The Statements of Assets, Liabilities and Net Worth and the Disclosure of Business Interests and Financial Connections shall be filed by:

1. Constitutional and national elective officials, with the national office of the Ombudsman;
2. Senators and Congressmen, with the Secretaries of the Senate and the House of Representatives, respectively; Justices with the Clerk of Court of the Supreme Court; Judges with the Court Administrator; and all national executive officials with the Office of the President;
3. Regional and local officials and employees with the Deputy Ombudsman in their respective regions;
4. Officers of the armed forces from the rank of colonel or naval captain, with the Office of the President and those below ranks with the Deputy Ombudsman in their respective regions; and
5. All other public officials and employees defined in Republic Act No. 3019, as amended, with the Civil Service Commission.

**b) Identification and Disclosure of Relatives.** It shall be the duty of every public official or employee to identify and disclose, to the level of his knowledge and information, his relatives in the Government, in the form, manner and frequency prescribed by the Civil Service Commission.

**c) Accessibility of Documents.**

1. Any and all statements filed under this Act, shall be made available for inspection at reasonable hours.
2. Such statements shall be made available for copying or reproduction after ten (10) working days from the time they are filed as required by law.
3. Any statement filed under this Act shall be available to the public for a period of ten (10) years after receipt of the statement. After such period, the statement may be destroyed unless needed in an ongoing investigation.

**d) Prohibited Acts.** It shall be unlawful for any person to obtain or use any statement filed under this Act for the purpose:

1. any purpose contrary to morals or public policy; or



2. any commercial purpose other than by news and communications media for dissemination to the general public.

**Section 9. Divestment.** A public official or employee shall avoid conflicts of interest at all times. When a conflict of interests, arises, he shall resign from his position in any private enterprise within thirty (30) days from his assumption of office and/or divest himself of shareholdings or interest within sixty (60) days from such assumption.

The same rule shall apply where the public official or employee is a partner in a partnership.

The requirement of divestment shall not apply to those who serve the government in an honorary capacity nor to laborers and casual or temporary workers.

## **Section 10. Review and Compliance Procedure.**

- a. The designated Committee of both Houses of the Congress shall establish procedures for the review of statements to determine whether said statements have been submitted in time, are complete, and are in proper form. In the event a determination is made that a statement is not so filed, the appropriate Committee shall also inform the reporting individual and direct him to take the necessary corrective action.
- b. In order to carry out their responsibilities under this Act, the designated Committees of both Houses of the Congress shall have the power, within their respective jurisdictions, to render any opinion interpreting this Act, in writing, to persons covered by this Act, subject in each instance to the approval by affirmative vote the majority of the particular House concerned.

The individual to whom an opinion is rendered and any other individual involved in a similar factual situation, and who, after issuance of the opinion acts in good faith in accordance with it shall not be provided in this Act.

- c. The heads of other offices shall perform the duties stated in subsections (a) and (b) hereof insofar as their respective offices are concerned, subject to the approval of the Secretary of Justice, in the case of the Executive Department and the Chief Justice of the Supreme Court, in the case of the Judicial Department.

## **Section 11. Penalties**



- a) Any public official or employee regardless of whether or not he holds office or employment in a casual, temporary, holdover, permanent or regular capacity, committing any violation of this act shall be punished with a fine not exceeding the equivalent of six (6) months salary, suspension not exceeding one year, or removal depending on the gravity of the offense after due notice and hearing by the appropriate body or agency. If the violation is punishable by a heavier penalty under another law, he shall be prosecuted under the latter statute. Violations of sections 7, 8 or 9 of this Act shall be punishable with imprisonment not exceeding five (5) years, or a fine of Five thousand Pesos (P5,000), or both, and in the discretion of the court of competent jurisdiction, disqualification to hold public office.
- b) Any violation hereof proven administrative proceeding shall be sufficient cause for removal or dismissal of a public official or employee, even if no criminal prosecution is instituted against him.
- c) Private individuals who participate in conspiracy as co-principals, accomplices or accessories, with public officials or employees, in violation of this Act, shall be subject to the same penal liabilities as the public official or employees and shall be tried jointly with them.
- d) The official or employee concerned may bring an action against any person who obtain or uses a report for any purpose prohibited by **Section 8 (D)** of this Act. The Court in which such action is brought may assess against such person a penalty in any amount not to exceed twenty five thousand pesos (P25,000) under any other law is heavier, the latter shall apply.

**Section 12. Promulgation of Rules and Regulations, Administration and Enforcement of this Act.** The Civil Service Commission shall have the primary responsibility for the administration and enforcement of this Act. It shall transmit all cases for prosecution arising from violations of this Act to the proper authorities for appropriate action: Provided, however, that it may institute such administrative actions and disciplinary measures as may be warranted in accordance with law. Nothing in this provision shall be constructed as a deprivation of the right of each House of Congress to discipline its Members for disorderly behavior.

The Civil Service Commission is hereby authorized to promulgate rules and regulations necessary to carry out the provisions of this Act, including guidelines for individuals who render free voluntary service to the Government. The Ombudsman shall likewise take the steps to protect



citizens who denounce acts or omissions of public officials and employees which are violation of this Act.

**Section 13. Provisions for More Stringent Standards.** Nothing in this Act shall be constructed to derogate from any law, or any regulation prescribed by any body or agency, which provides for more stringent standards for its officials and employees.

**Section 14. Appropriations.** The sum necessary for the effective implementation of this Act shall be taken from the appropriations of the Civil Service Commission. Thereafter, such sum as may be needed for its continued implementation shall be included in the annual General Appropriations Act.

**Section 15. Separability Clause.** If any provision of this Act or the application of such provision to any person or circumstances is declared invalid, the remainder of the Act or the application of such provision to other persons or circumstances shall not be affected by such declaration.

**Section 16. Repealing Clause.** All laws, decrees and orders or parts thereof inconsistent herewith, are deemed repealed or modified accordingly, unless the same provide for a heavier penalty.

**Section 17. Effectivity.** This Act shall take effect after thirty (30) days following the completion of its publication in the Official Gazette or in two (2) national newspapers of general circulation.

Approved:

(Sgd) **RAMON V. MITRA**  
Speaker of the House  
of Representatives

(Sgd) **JOVITO R. SALONGA**  
President of the Senate

*This Act which is a consolidation of Senate Bill No. 139 and House Bill No. 12069 was finally passed by the Senate and the House of Representatives on 21 October 1988 and 01 February 1989, respectively.*

(Sgd) **QUIRINO D. ABAD SANTOS, JR.**  
Secretary  
House of Representatives  
Approved: 20 February 1989

(Sgd) **EDWIN P. ACOBA**  
Secretary of the Senate

(Sgd) **CORAZON C. AQUINO**  
President of the Philippines



## **A. RULES IMPLEMENTING THE CODE OF CONDUCT AND ETHICAL STANDARDS FOR PUBLIC OFFICIALS AND EMPLOYEES**

Pursuant to the provisions of Section 12 of Republic Act No. 6713, otherwise known as the “Code of Conduct and Ethical Standards for Public Officials and Employees” approved on 20 February 1989, and which took effect on 25 March 1989, conformably to Section 17 thereof, the following Rules are hereby adopted in order to carry out the provisions of the said Code.

### **Rule I. Coverage**

**Section 1.** These Rules shall cover all officials and employees in the government – elective and appointive, permanent or temporary, whether in the career and non-career service, including military and police personnel, whether or not they receive compensation, regardless of amount.

### **Rule II. Interpretation**

**Section 1.** These Rules shall be interpreted in the light of the Declaration of Policy found in Section 2 of the Code.

“It is the policy of the State to promote a high standard of ethics in public service. Public officials and employees shall at all times be accountable to the people and shall discharge their duties with utmost responsibility, integrity, competence and loyalty, act with patriotism and justice, lead modest lives, and uphold public interest over personal interest.”

### **Rule III. Reforms on Public Administrative Systems**

**Section 1.** Every department, office and agency shall, as soon as practicable and in no case later than ninety (90) days from the effectivity of these Rules, start conducting value development programs for its officials and employees in order to strengthen their commitment to public service and help promote the primacy of public interest over personal interest in the performance of their duties. Such programs and other parallel efforts on value development shall include, among other things, the following subjects:

- a) Ethical and moral values
- b) Rights, duties and responsibilities of public servants





- c) Nationalism and patriotism
- d) Justice and human rights
- e) Democracy in a free and just society
- f) Philippine history, culture and tradition
- g) Socio-economic conditions prevailing in the country, especially in the depressed areas, and the need for a Code of Conduct and Ethical Standards

Continuing refresher courses and seminars and/or workshops to promote a high standard of ethics in public service shall be conducted.

**Section 2.** Professional, scientific and technical trainings and education programs shall enhance to the highest degree, professionalism, excellence, intelligence and skills in the performance and discharge of duties and responsibilities of officials and employees. These programs shall be conducted in all offices of the government and may include subjects that are enumerated in the preceding section.

**Section 3.** It is the responsibility of every head of department, office and agency to ensure that officials and employees attend the value development program and participate in parallel value development efforts.

**Section 4.** Every department, office and agency shall conduct continuing studies and analysis of their work systems and procedures to improve delivery of public services. Towards this end, such studies and analysis shall: (1) identify systems and procedures that lead or contribute to negative bureaucracy behavior; (2) simplify rules and procedures to avoid red tape; and (3) devise or adopt systems and procedures that promote official and employee morale and satisfaction.

Each department, office or agency shall develop a service guide or its functional equivalent which shall be regularly updated and made available to the transacting public. A workflow chart showing procedures or flow of documents shall likewise be posted in conspicuous places in the department, office or agency for the information and guidance of all concerned.

**Section 5.** Every department, office or agency shall consult the public they serve for the purpose of gathering feedback and suggestions on the efficiency, effectiveness and economy of services. They shall establish mechanisms to ensure the conduct of public consultation and hearings.





**Section 6.** Every department, office and agency shall continuously conduct research and experimentation on measures and adopt innovative programs which will provide motivation to officials and employees in raising the level of observance of public service ethical standards.

**Section 7.** Every department, office and agency shall, in consultation with the Office of the Ombudsman, appoint or designate a resident Ombudsman who shall act immediately on all requests for public assistance referred to him by the Ombudsman and his Deputies. He shall be held accountable for the disposition of all requests for assistance.

**Section 8.** Government officials shall make themselves available to their staff for consultations and dialogues.

#### **Rule IV. Transparency of Transactions and Access to Information**

**Section 1.** Subject to reasonable conditions prescribed by law, the State shall adopt and implement a policy of full public disclosure of all its transactions involving public interest.

**Section 2.** It is the responsibility of heads of departments, offices and agencies to establish measures and standards that will ensure transparency of, and openness in, public transactions in their respective offices, such as in biddings, purchases, other financial transactions including contracts, status of projects and all other matters involving public interest.

They shall establish systems that will inform the public of the following: (a) policies, rules and procedures; (b) work programs, projects and performance targets; (c) performance reports; and (d) all other documents as may hereafter be classified as public information.

Such information shall be utilized solely for the purpose of informing the public of such policies, programs and accomplishments, and not to build the public image of any official or employee or to advance his own personal interest.

**Section 3.** Every department, office or agency shall provide official information, records or documents to any requesting public, except if:

- a) Such information, record or document must be kept secret in the interest of national defense or security or the conduct of foreign affairs.
- b) Such disclosure would put the life and safety of an individual in



imminent danger.

- c) The information, record or document sought falls within the concepts of establishing privilege or recognized exceptions as may be provided by law or settled policy or jurisprudence.
- d) Such information, record or document comprises drafts of decisions, orders, rulings, policy decisions, memoranda, etc.
- e) It would disclose information of a personal nature where disclosure would constitute a clearly unwarranted invasion of personal privacy.
- f) It would disclose investigatory records compiled for law enforcement purposes, or information which if written would be contained in such records, but only to the extent that the production of such records or information would (i) interfere with enforcement proceedings, (ii) deprive a person of a right to a fair trial or impartial adjudication, (iii) disclose the identity of a confidential information furnished only by the confidential source, or (iv) unjustifiably disclose investigative techniques and procedures.
- g) It would disclose information the premature disclosure of which would (i) in the case of a department, office or agency which regulates currencies, securities, commodities, or financial institutions, be likely to lead to significant financial speculation in the stability of any financial institution, or (ii) in the case of any department, office or agency, be likely or significantly to frustrate implementation of a proposed official action, except that the subparagraph f) (ii) shall not apply in any instance where the department, office, or agency has already disclosed to the public the content or nature of its proposed action, or where the content or nature of its proposed action, or where the department, office or agency is required by law to make such disclosure on its own initiative prior to taking final official action on such proposal.

**Section 4.** Every head of department, office and agency shall establish information systems and networks that will effect the widest possible dissemination of information regarding the provisions of the Code and the policies and programs relative thereto.

### **Rule V. Incentives and Rewards System**



**Section 1.** Incentives and rewards shall be granted officials and employees who have demonstrated exemplary service and conduct on the basis of their observance of the norms of conduct laid down in Section 4 of the Code, namely:

- a) **Commitment to the public interest.** Officials and employees shall always uphold the public interest over personal interest. All government resources and powers of their respective departments offices and agencies must be employed and used efficiently, effectively, honestly, and economically, particularly to avoid wastage in public funds and revenues.
- b) **Professionalism.** Officials and employees shall perform and discharge their duties with the highest degree of excellence, professionalism, intelligence and skill. They shall enter public service with utmost devotion and dedication to duty. They shall endeavor to discourage wrong perceptions of their roles as dispensers or peddlers of undue patronage.
- c) **Justness and sincerity.** Officials and employees shall remain true to the people at all times. They must act with justness and sincerity and shall not discriminate against anyone, especially the poor and underprivileged. They shall at all times respect the right of others, and shall refrain from doing acts contrary to law, good morals, good customs, public policy, public order, public safety and public interest. They shall not dispense or extend undue favors on account of their office to their relatives, whether by consanguinity of affinity, except with respect to appointments of such relatives to positions considered strictly confidential or as members of their personal staff whose terms are coterminous with theirs.
- d) **Political neutrality.** Officials and employees shall provide service to everyone without unfair discrimination regardless of party affiliation or preference.
- e) **Responsiveness to the public.** Officials and employees shall extend prompt, courteous and adequate service to the public. Unless otherwise provided by law or when required by the public interests, officials and employees shall provide information on their policies and procedures in clear and understandable language, ensure openness of information, public consultations and hearings whenever appropriate, encourage suggestions, simplify and systematize policy, rules and procedures, avoid red tape and develop an understanding and appreciation of the



socio- economic conditions prevailing in the country especially in the depressed rural and urban areas.

- f) **Nationalism and patriotism.** Officials and employees shall at all times be loyal to the Republic and to the Filipino people, promote the use of locally produced goods, resources and technology and encourage appreciation and pride of country and people. They shall endeavor to maintain and defend Philippine sovereignty against foreign intrusion.
- g) **Commitment to democracy.** Officials and employees shall commit to the democratic way of life and values, maintain the principle of public accountability and manifest by deeds the supremacy of civilian authority over the military. They shall at all times uphold the Constitution and put loyalty to country above loyalty to persons and party.
- h) **Simple living.** Officials and employees and their families shall lead modest lives appropriate to their positions and income. They shall not indulge in extravagant or ostentatious display of wealth in any form.

**Section 2.** The following shall be considered in the conferment of awards:

- a) years of service
- b) quality of consistency of performance
- c) obscurity of position
- d) level of salary
- e) unique and exemplary quality of achievement
- f) risk of temptation inherent in the work
- g) any similar circumstances or considerations in favor of the particular awardee

**Section 3.** Incentives and rewards to government officials and employees of the year may take the form of any of the following, as may be determined by the Committee on Awards established under the Code:

- a) bonuses



- b) citations
- c) directorship in government and controlled corporations
- d) local and foreign scholarship grants
- e) paid vacations
- f) automatic promotion to the next higher position suitable to his qualifications and with commensurate salary provided that if there is no next higher positions or it is not vacant, said position be included in the next budget of the office; except when the creation of new position will result in distortion in the organizational structure of the department, office or agency. Where there is no next higher position immediately available, a salary increase equivalent to the next higher position be given and incorporated in the base pay. When a new position is created, that which is vacated shall be deemed abolished. The grant of awards shall be governed by the merit and fitness principle.

#### **Section 4.**

- a) The System shall be administered by a Committee on Awards for Outstanding Public Officials and Employees composed of:
  - 1. Ombudsman - Co-Chairman
  - 2. Chairman, CSC - Co- Chairman
  - 3. Chairman, COA - Member
  - 4. Two government employees to be appointed by the President -Member
- b) For this purpose, the Committee shall perform the following functions and responsibilities:
  - 1. Conduct a periodic, continuing review of performance of officials and employees in all departments, offices, and agencies.
  - 2. Establish a system of annual incentives and rewards to the end that due recognition is given to officials and employees of outstanding merit on the basis of standards set forth in Section 2, Rule V hereof.
  - 3. Determine the form of rewards to be granted



4. Formulate and adopt its own rules to govern the conduct of its activities, which shall include guidelines for evaluating nominees, the mechanism for recognizing the awardees in public ceremonies and the creation of sub – committees.

b) In the evaluation of nominees, the Committees may be assisted by technical experts selected from the government and the private sector.

**Section 5.** The Civil Service shall provide secretariat services to the Committee

**Section 6.** Nothing herein provided shall inhibit any department, office or agency from instituting its own rewards program in addition to those provided by, but not inconsistent with, these Rules.

**Section 7.** The budget to cover all expenses in the implementation of this Rule shall be incorporated in the appropriation of the Civil Service Commission.

## **Rule VI. Duties of Public Officials and Employees**

**Section 1.** As a general rule, when a request or petition, whether written or verbal, can be disposed of promptly and expeditiously, the official or employee in charge to whom the same is presented shall do so immediately, without discrimination, and in no case beyond 15 working days from receipt of the request or petition.

**Section 2.** In departments, offices or agencies that are usually swamped with persons calling for a particular type of service, the head of the department, office or agency shall devise a mechanism so as to avoid long queues, such as by giving each person a ticket number duly countersigned which shall specify the time and the date when a person, whose name and address shall be indicated, can be served without delay. Said person shall have the right to prompt service upon presentation of said ticket number.

**Section 3.** In case of written requests, petitions, or motions sent by means of letters, telegrams, or the like, the official or employee in charge shall act on the same within 25 working days from receipt thereof provide that:

- a) If the communication is within the jurisdiction of the office or agency, the official or employee must:
  - 1. Write a note or letter of acknowledgement where the matter is merely routinary or the action desired may be acted upon in the ordinary course of business of the department, office or agency,



specifying the date when the matter will be disposed of and the name of the official or employee in charge thereof.

2. Where the matter is non-routinary or the issues are not simple or ordinary, write a note or letter of acknowledgement, informing the interested party, petitioner, or correspondent of the action to be taken or when such requests, petitions, or motions can be acted upon. Where there is a need to submit additional information, requirements or documents, the note or letter of acknowledgement shall so state, specifying a reasonable period of time within which they should be submitted to the satisfaction of the department, office or agency concerned, the particular official or employees in charge shall inform interested party, petitioner or correspondent of the action to be taken and such action or disposition can be expected, bearing unforeseen circumstances.
- b) If communication is outside its jurisdiction, the official or employee must:
1. refer the letter, petition, telegram or verbal request to the proper department, office or agency.
  2. acknowledge the communication by means of a note or letter, informing the interested party, petitioner or correspondent of the action taken and attaching a copy of the letter of referral to the proper department, office or agency.

The department, office or agency to which the letter, petition, telegram or verbal request was referred for appropriate action must take action in accordance with subsection (a) pars. 1 and 2 hereof.

The period of 15 working days herein provided shall be counted from date of receipt of the written or verbal communication by the department, office or agency concerned.

**Section 4.** All official papers and documents must be processed and completed within a reasonable time from the preparation thereof. Reasonable time shall be determined in accordance with the following rules:

- a) When the law or the applicable rule issued in accordance therewith, prescribes a period within which a decision is to be rendered or an action taken, the same shall be followed.





- b) When the law or the applicable rule issued in accordance with, does not prescribe a period, the head of department, office or agency shall issue rules and regulations prescribing, among other things, what is reasonable time, taking into account the following factors:
1. Nature, simplicity or complexity of the subject matter of the official papers or documents processed by such department, office or agency.
  2. Completeness or inadequacy of requirements or of data and information necessary for decision or action.
  3. Lack of resources caused by circumstances beyond the control of the department, office or agency or official or employee concerned.
  4. Legal constraints such as restraining orders and injunctions issued by proper judicial, quasi-judicial or administrative authorities.
  5. Fault, failure or negligence of the party concerned which renders decision or action not possible or premature.
  6. Fortuitous events or force majeure.

**Section 5.** Except as otherwise provided by law or regulation, and as far as practicable, any written action or decision must contain not more than three initials or signatures. In the absence of the duly authorized signatory, the official next-in-rank or officer-in-charge or the person duly authorized shall sign for and in his behalf.

The head of department, office or agency shall prescribe, through an appropriate order, the rules on the proper authority to sign in the absence of the regular signatory, as follows:

- a) If there is only one official next in rank, he shall automatically be the signatory.
- b) If there are two or more officials next in rank, the appropriate office order shall prescribe the order of priority among the officials next in rank within the same organizational unit.
- c) If there is no official next in rank present and available, the head of department, office or agency shall designate an officer-in-charge





from among those next lower in rank in the same organizational unit.

**Section 6.** All public documents must be made accessible to and readily available for inspection by the public during working hours, except those provided in Section 3, **Rule IV.**

**Section 7.** All heads or other responsible officers of departments, offices and agencies of the government and of government-owned or controlled corporations shall, within 45 working days from the end of the year, render a full and complete report of performance and accomplishments, as prescribed by existing laws and regulations.

**Section 8.** Officials and employees and their families shall lead modest and simple lives appropriate to their positions and income. They shall not indulge in extravagant or ostentatious display of wealth in any form.

Basically, modest, and simple living means maintaining a standard of living within the public official or employee's visible means of income as correctly disclosed in his income tax returns, annual statement of assets, liabilities and net worth, and other documents relating to financial and business interests and connections.

Public funds and property use shall be utilized with the diligence of a good father of a family.

## **Rule VII. Public Disclosure**

**Section 1.** Every official and employee, except those who serve in an official honorary capacity, without service credit or pay, temporary laborers and casual or temporary and contractual workers, shall file under oath their statement of assets, liabilities and net worth, and a disclosure of business interests and financial connections including those of their spouses and unmarried children under 18 years of age living in their households, in the prescribed form.



a) Contents of Statement

1. The Statement of Assets and Liabilities and Net Worth shall contain information on the following:
  - 1.1 Real property, its improvements, acquisition costs, assessed value and current fair market value.
  - 1.2 Personal property and acquisition cost.
  - 1.3 All other assets such as investments, cash on hand or in banks, stocks, bonds and the like.
  - 1.4 All financial liabilities, both current and long-term.
2. The Disclosure of Business Interest and Financial Connections shall contain information on any existing interest in, or any existing connections with, any business enterprises or entities, whether a proprietor, investor, promoter, partner, shareholder, officer, managing director, executive, creditor, lawyer, legal consultant or advised, financial or business consultant, accountant, auditor and the like, the names and addresses of the business enterprises or entities, the dates when such interest or connections were established, and such other details as will show the nature of the interests or connections.

b) When to File

The above documents under the code must be filed:

1. within 30 days after assumption of office, statements of which must be reckoned as of his first day of service.
2. on or before April 20 of every year thereafter, statements of which must be reckoned as of the end of the preceding year.
3. within 30 days after separation from the service, statements of which must be reckoned as of his last day of office.

c) Where to File

The Statements of Assets, Liabilities and Net Worth and the Disclosure of Business Interest and Financial Connections shall be filed by the:



1. President, Vice President and Constitutional Officials, with the National Office of the Ombudsman.
2. Senators and Congressmen, with the Secretaries of the Senate and the House of Representatives, respectively: Justices, with the Clerk of Court of the Supreme Court: Judges, with the Court Administrator: and national executive officials such as members of the Cabinet, Undersecretaries and Assistant Secretaries, including the foreign service and heads of government-owned and-controlled with original charters and their subsidiaries and state colleges and universities, with the Office of the President.
3. Regional and local officials and employees, both appointive and elective, including other officials and employees of government-owned or controlled corporations and their subsidiaries and state colleges and universities, with the Deputy Ombudsman in their respective regions.
4. Officers of the Armed Forces from the rank of Colonel or naval Captain, with the Office of the President, and those below said ranks, with the Deputy Ombudsman in their respective region.
5. All other officials and employees defined in Republic act No. 3019, as amended, with the Civil Service Commission.

A copy of said statements shall also be filed with their respective departments, offices or agencies.

- d) All Statements of Assets, Liabilities and Net Worth, as of 31 December 1988, now on file with their respective agencies shall constitute sufficient compliance with the requirements of the Code and they shall be required to accomplish and file the new form as prescribed in the Rules on or before 30 April 1990, and every year thereafter.
- e) Every official and employee shall also execute, within 30 days from date of their assumption of office, the necessary authority in favor of the Ombudsman to obtain, from all the appropriate government agencies, including the Bureau of Internal Revenue, such documents as may show their assets, liabilities, net worth and also their business interests and financial connections in previous years, including, if possible, the year when they first assumed any office in the government.
- f) Married couples who are both public officials or employees may file the required statements jointly or separately.



**Section 2.** Every official or employee shall identify and disclose under oath to the best of his knowledge and information, his relatives in the government, up to the fourth civil degree of relationship, either of consanguinity or affinity including *bilas*, *inso* and *balae*, in the prescribed form, Annex A, which shall be filed (a) within 30 days after assumption of the office; (b) on or before April 30 of every year thereafter, the information contained therein must be reckoned as of the end of the preceding year, or (c) within 30 days after separation from the service, the information contained therein must be reckoned as of his last day of office.

**Section 3.**

- a) Any and all statements filed in accordance with the preceding sections shall be made available for public inspection at reasonable hours.
- b) Such statements shall be made available for copying or reproduction after 10 working days from time they are filed as required by law unless extended for meritorious reasons.
- c) Any duly authorized person requesting a copy of statement shall be required to pay a reasonable fee as may be determined and prescribed by the Civil Service Commission to cover the cost of reproduction and mailing such statement, as well as the cost of certification.
- d) Any statement filed under the Code shall be available to the public, subject to the foregoing limitations, for a period of 10 years after receipt of the statement. The statement may be destroyed after such period unless needed in an on-going investigation.

**Rule VIII. Review and Compliance Procedures**

**Section 1.** The following shall have the authority to establish compliance procedures for the review of statements have been properly accomplished.

- a) In the case of Congress, the designated committees of both Houses of Congress subject to approval by the affirmative vote of the majority of the particular House concerned.



- b) In the case of the Executive department, the heads of departments, offices and agencies insofar as their respective departments, offices and agencies are concerned subject to approval of the secretary of Justice.
- c) In the case of the Judicial Department, the Chief Justice of the Supreme Court.
- d) In the case of the Constitutional Commissions and other Constitutional Offices, the respective Chairman and members thereof; in the case of the Office of the Ombudsman, the Ombudsman.

The above officials shall likewise have the authority to render any opinion interpreting the provisions on the review and compliance procedures in the filing of statements of assets, liabilities, net worth and disclosure of information.

In the event said authorities determine that a statement is not properly filed, they shall inform the reporting individual and direct him to take necessary corrective action.

The individual to whom an opinion is rendered and any other individual involved in a similar factual situation, and who, after issuance of the opinion acts in good faith in accordance with it shall not be subject to any sanction provided in the Code.

## **Rule IX. Conflict of Interest and Divestment**

### **Section 1.**

- a) An official or employee shall avoid conflict of interest at all times.
- b) Conflict of interest occurs:
  - 1. When the official or employee is a substantial stockholder; or a member of the Board of Directors; or an officer of the corporation;



or an owner or has substantial interest in a business; or partner in partnership; and

2. The interest of such corporation or business, or his rights or suited therein, are opposed to or affected by the faithful performance of official duty.
- c) A substantial stockholder is a person who owns, directly or indirectly, shares of stock sufficient to elect a director of a corporation. This term shall also apply to the parties to a voting trust.
- d) A voting trust means an agreement in writing between one or more stockholders of a stock corporation for the purpose of conferring upon a trustee the right to vote and other rights pertaining to the shares for certain periods and subject to such other conditions provided for in the Corporation Law.

**Section 2.** a) When a conflict of interest arises, the official or employee involved shall resign from his position in any private business enterprise within 30 days from his assumption of office and/or divest himself of his shareholdings or interest within 60 days from such assumption. For those who are already in the service, and conflict of interest arises, the officer or employee must resign from his position in the private business enterprise and/or divest himself of his shareholdings or interests within the periods herein-above provided, reckoned from the date when the conflict of interest had arisen. The same rule shall apply where the public official or employee is partner in a partnership.

- a) If the condition in Section 1 (b) concur, divestment shall be mandatory for any official or employee even if he has resigned from his position in any private business enterprise.
- b) Divestment shall be to a person or persons other than his spouse and relatives within the fourth civil degree of consanguinity or affinity.
- c) The requirements for divestment shall not apply to those specially authorized by law and those who serve the government in an honorary capacity nor to laborers and casual or temporary workers.

### **Rule X. Grounds for Administrative Disciplinary Action**

**Section 1.** In addition to the grounds for administrative disciplinary action prescribed under the existing laws, the acts and omissions of any official or employee, whether or not he holds office or employment in a casual, temporary, hold-over, permanent or regular capacity, declared



unlawful or prohibited by the Code, shall constitute grounds for administrative disciplinary action, and without prejudice to criminal and civil liabilities provided therein, such as:

- a) Directly or indirectly having financial and material interest in any transaction requiring the approval of his office. Financial and material interest is defined as a pecuniary or proprietary interest by which a person will gain or lose something.
- b) Owning, controlling, managing or accepting employment as officer, employee, consultant, counsel, broker, agent, trustee, or nominee in any private enterprise regulated, supervised or licensed by his office, unless expressly allowed by law.
- c) Engaging in the private practice of his profession unless authorized by the Constitution, law or regulation, provided that such practice will not conflict or tend to conflict with his official functions.
- d) Recommending any person to any position in a private enterprise which has a regular or pending official transaction with his office, unless such recommendation or referral is mandated by (1) law or (2) international agreements, committed and obligation, or as part of the functions of his office.
- e) These acts shall continue to be prohibited for a period of one year after resignation, retirement from public office, except in the case of paragraph (c) above, but the professional concerned cannot practice his profession in connection with any matter before the office he used to be with, within one year after such resignation, retirement or separation, provided that any violation hereof shall be a ground for administrative disciplinary action upon re-entry to the government service.
- f) Disclosing or misusing confidential or classified information officially known to him by reason of his office and not made available to the public, to further his private interest or give undue advantage to anyone or to prejudice the public interest.
- g) Soliciting or accepting, directly or indirectly, any gift, gratuity, favor, entertainment, loan or anything of monetary value which any operation being regulated by, or any transaction which may be affected by the functions of his office. The propriety or impropriety of the foregoing shall be determined by its value, kinship or relationship between giver and receiver, and the motivation. A thing of monetary value is one which is evidently or manifestly excessive by its very nature.\*



Gifts refer to a thing or a right disposed of gratuitously, or any act of liberally, in favor of another who accepts it, and shall include a simulated sale or an ostensibly onerous disposition thereof.

Loan covers simple loan and commodatum as well as guarantees, financing arrangement or accommodations intended to ensure its approval. Commodatum refers to a contract whereby one of the parties delivers to another something not consumable so that the latter may use the same for a certain time and return it.

This prohibition shall not include:

1. Unsolicited gift of nominal or insignificant value not given in anticipation of, or in exchange for, a favor from a public official or employee or given after the transaction is completed or service is rendered. As to what is a gift of nominal value will depend on the circumstances of each case taking into account the salary of the official or employee, the frequency or infrequency of the giving, the expectation of benefits, and other similar factors.
2. A gift from a member of his family or relative as defined in the Code on the occasion of family celebration, and without any expectation to pecuniary gain or benefit.
3. Nominal donations from persons with no regular, pending or expected transaction with the department, office or agency with which the official or employee is connected, and without any expectation of pecuniary gain or benefit.
4. Donations coming from private organizations whether local or foreign, which are considered and accepted as humanitarian and altruistic in purpose and mission
5. Donation from government to government entities.

As a gift or grant from foreign governments, the Congress consents to:

1. The acceptance and retention by a public official or employee of a gift of nominal value tendered and received as a souvenir or mark of courtesy.
2. The acceptance by a public official or employee of a gift in the nature of scholarship or fellowship grant or medical treatment.





3. The acceptance by a public official or employee of travel grant or expenses for travel taking place outside the Philippines (such as allowances, transportation, food and lodging) of more than nominal value if such acceptance is appropriate or consistent with the interests of the Philippines, and permitted by the head office, branch or agency.
4. Nothing in the Code shall be construed to restrict or prohibit any educational, scientific or cultural exchange programs subject to national security requirements.
- h) Obtaining or using any statement filed under the Code for any purpose contrary to morals or public policy or any commercial purpose other than by news and communications media for dissemination to the general public.
- i) Unfair discrimination in rendering service due to party affiliation or preference.
- j) Disloyalty to the Republic of the Philippines and to the Filipino people.
- k) Failure to act promptly on letters and request within 15 days from receipt, except as otherwise provided in these Rules.
- l) Failure to process documents and complete action on documents and papers within a reasonable time from preparation thereof, except as otherwise provided in these Rules.
- m) Failure to attend to anyone who wants to avail himself of the services of the office or to act promptly and expeditiously on public personal transactions.
- n) Failure to file sworn statements of assets, liabilities and net worth, and disclosure of business interest and financial connections.
- o) Failure to resign from his position in the private business enterprise within 30 days from assumption of public office when conflict of interest arises, and/or failure to divest himself of his shareholdings or interest in private business enterprise within 60 days from such assumption of public office when conflict of interest arises: Provided, however, that for those who are ready in the service and a conflict of interest arises, the official or employee must either resign or divest himself of said interest within the periods herein above provided, reckoned from the date when the conflict of interest had arisen.



## **Rule XI. Penalties**

**Section 1.** Any official regardless of whether or not he holds office employment in a casual, temporary, hold-over, permanent or regular capacity, committing any violation of the Code shall be punished with a fine not exceeding the equivalent of six months salary or suspension not exceeding one year, or removal depending on the gravity of the offense after due notice and hearing by the appropriate body or agency. If the violation is punishable by a heavier penalty under another law, he shall be prosecuted under the latter statute. Violations of Section 7, 8 or 9 of the Code shall be punishable with imprisonment not exceeding five years, or a fine not exceeding P5,000 or both, and, in the discretion of the court of competent jurisdiction, disqualification to hold public office.

Any violation hereof proven in proper administrative proceeding shall be sufficient cause for removal or dismissal of an official or employee, even if no criminal prosecution is instituted against him

Private individuals who participate in conspiracy as co- principals, accomplices or accessories, with officials, or employees, in violation of the Code shall be subject to the same penal liabilities as the officials or employees and shall be tried jointly with them.

The officials or employee concerned may bring an action against any person who obtains uses a report for any purpose prohibited by Section 8 (d) of the Code. The court in which such action is brought may assess against such person a penalty in any other law is heavier, the latter shall apply.

**Section 2.** Administrative proceedings for violation of these Rules shall be in accordance with the Civil Service Law and Rules.

## **Rule XII. Free Voluntary Service**

### **Section 1.**

- a) Free voluntary service refers to services rendered by persons who are in government without pay or compensation.
- b) The requirements of free voluntary services are as follows:
  - 1. Issuance of an appropriate document.



2. Fitness and suitability for the duties and responsibilities of the particular position.

3. Compliance with the rule on nepotism.

c) The following are the functions or services that volunteers can perform:

1. advisory
2. consultancy or counseling
3. recommendatory
4. professional services
5. staff work as planning or research
6. humanitarian

d) Those who render free voluntary service to the government are covered by the following:

1. laws on rewards and incentives
2. norms of conduct and ethical standards
3. duties and obligations of public officers and employees
4. prohibitions and sanctions enumerated in these Rules
5. civil and criminal liability.

e) Those who render free voluntary service are, however, exempted from the filing of statements of assets, liabilities and net worth and financial disclosures, the requirement on divestment and the appropriate eligibility requirement for their designations, and shall not enjoy security of tenure.

Unless otherwise provided in the terms of their designations, volunteers are prohibited from:

1. exercising supervisory functions over personnel;
2. exercising functions of positions involving national security;



3. having access to confidential or classified information unless authorized by proper authorities;
4. occupying regular plantilla positions;
5. having such services credited as government service and availing themselves of retirement benefits;
6. using facilities and resources of the office for partisan political purposes; and
7. receiving any pecuniary benefits such as honoraria, allowances and other prerequisites of office.

### **Rule XIII. Amendment**

**Section 1.** The Civil Service Commission may amend or modify these Rules as may be necessary.

### **Rule XIV. Effectivity**

**Section 1.** The Rules shall take 30 days following the completion of the publication in the Official Gazette or in a newspaper of general circulation.



Quezon City, April 21, 1989

(Sgd.) **PATRICIA A. STO. TOMAS**  
Chairman

(Sgd.) **SAMILO N. BARLONGAY**  
Commissioner

(Sgd.) **MARIO D. YANGO**  
Commissioner

## **B. ADMINISTRATIVE DISCIPLINARY RULES ON SEXUAL HARASSMENT CASES**

### **Rule I. Title**

**Section 1.** These Rules shall be known as the Administrative Disciplinary rules on Sexual Harassment Cases.

### **Rule II. Coverage**

**Section 1.** These Rules shall apply to all officials and employees in government, whether in the career of Non-Career service and holding any level of position, including Presidential appointees and elective officials regardless of status, in the national or local government, state colleges and Universities, including government-owned or controlled corporations, with original charters.

### **Rule III. Definition**

**Section 1.** For the purpose of these Rules, the administrative offense of sexual harassment is an act, or a series of acts, involving any unwelcome sexual advance, request of demand for sexual favor, or other verbal or physical behavior of sexual nature, committed by a government employee or official in a work-related, training or education related environment of the person complained of.

**a) Work-related sexual harassment** is committed under the following circumstances:

1. submission to or rejection of the act or series of acts is used as basis for any employment decision (including, but not limited to, matters related to hiring, promotion, raise in salary, job security, benefits and any other personnel action) affecting the applicant/employee; or



3. the act or series of acts have the purpose or effect of interfering with the complainant's work performance, or creating an intimidating, hostile or offensive work environment; or
  4. the act or series of acts might reasonable be expected to cause discrimination , discrimination , insecurity, discomfort, offense or humiliation to a complaint who may be a co-employee ,applicant, customer, or ward of the person complained of.
- b) Education or Training –related sexual harassmt is committed against one who is under the actual or constructive care, custody or supervision of the offender, or against one whose education training , apprenticeship, internship or tutorship is directly or constructively entrusted to, or is provided by, the offender, when:
1. Submission to or rejection of the act or series of acts is used as a basis for any decision affecting the complainant , including , but not limited to, the giving of a grade, the granting of honors or a scholarship, the payment of stipend or allowance, or the giving of any benefit , privileged or consideration.
  2. The act or series of acts have the purpose or effect of interfering with the performance , or creating an intimidating , hostile or offensive academic environment of the complainant;
  3. The acts or series of acts might reasonably be expected to cause discrimination, insecurity, discomfort, offense or humiliation to a complaint who may be trainee, apprentice, intern, tutee, or ward of the person complained of.

**Section 2.** Sexual harassmt may take place:

- a) in the premises of the workplace or office or of the school or training institution
- b) in nay place where the parties were found as a result of work or education or training responsibilities or relations;
- c) at work or education or training -related social functions



- d) while on official business outside the office or school or training institution or during work or school or training sessions;
- e) at official conferences, for a, symposia or training sessions;
- f) by telephone , cellular phone, fax machine, or electronic mail.

#### **RULE IV. Forms of Sexual Harassment**

**Section 1.** The following are illustrative forms of sexual harassment:

a) Physical

- 1. Malicious Touching
- 2. Over sexual advances
- 3. Gestures with lewd insinuation.

b) Verbal, such as but not limited to, request or demands for sexual favors, and lurid remarks

c) Use of objects, pictures or graphics, letters or written notes with sexual underpinnings

d) Other forms analogous to the foregoing.

#### **Rule V. Person Liable for Sexual Harassment**

**Section 1.** Any government official, regardless of sex, is liable for sexual harassment when he/she:

a) directly participates in the execution of any act of sexual harassment as defined by these rules;

b) induces or directs another or others to commit sexual harassment as defined by these Rules;

c) cooperated in the commission of sexual harassment by another through an act without which the sexual harassment would not have been accomplished;

d) cooperates in the commission of the sexual harassment by another through previous or simultaneous acts.

#### **Rule VI. Committee on Decorum and Investigation of**



## **Sexual Harassment Cases**

**Section 1.** A Committee on Decorum and Investigation shall be created in all national or local agencies of the government, state colleges and universities, including government-owned or controlled corporations with original charter. The Committee shall perform the following functions;

- a) Receive complaints of sexual harassment;
- b) Investigate sexual harassment complaints in accordance with the prescribed procedure;
- c) Submit a report of its findings with the corresponding recommendation to the disciplining authority for decision; and
- d) Lead in the conduct of discussions about sexual harassment within the agency or institution to increase understanding and prevent incidents of sexual harassment;

Localized Committees on Decorum and Investigation established in the regional or field offices, as the case may be, of the agency or institution shall have the same functions as stated above and shall submit the report of investigation with its recommendation directly to the disciplining authority.

When a member of the Committee is the complainant or the person complained of in a sexual harassment case, he/she shall be disqualified from being a member of the Committee.

**Section 2. Composition.** In a work-related environment, a Committee on decorum and Investigation shall be composed of at least one (1) representative each from the management, the accredited union, if any, the second level employees, and from the level employees, duly selected by the unit concerned.

In an educational or training institution, the Committee shall be composed of at least one (1) representative each from the administration, the trainers, teachers, instructors, professors or coaches, and students or trainers, as the case may be, duly selected by the level concerned.

**Section 3.** The agency may formulate its own rules governing the term of office of its members which should not more than two years, and other matters pertaining to the functions of the Committee not otherwise provided in these Rules.

## **Rule VII. Pre-filing Standard Operating Procedures in**





## **Attending to Victims of Sexual Harassment**

**Section 1. The Pre-Filing Stage.** The agency may adopt mechanism to provide assistance to an alleged victim of sexual harassment which may include counseling, referral to an agency offering professional help, and advice on options available before the filing of the complaint.

### **Rule VIII. Standard Procedural Requirements**

**Section 1.** The procedural rules hereunder are the standard requirements in handling a sexual harassment case.

#### **Section 2. Complaint.**

a) The complaint may be filed at any time with the disciplining authority of the office or agency, or with the Committee on Decorum and Investigation. Upon receipt of the complaint by the disciplining authority of the office or agency, the same shall be transmitted to the Committee on Decorum and Investigation, the head of office or agency shall immediately cause the creation of Committee on Decorum and Investigation in accordance with the law and rules, and transmit the complaint to the Committee.

b) The complaint must be in writing, signed and sworn to by the complainant. It shall contain the following:

1. the full name and address of the complainant;
2. the full name, address, and position of the respondent;
3. a brief statement of the relevant facts;
4. evidence, in support of the complaint, if any;
5. a certification of non-forum shopping.

In the absence of any one of the aforementioned requirements, the complaint shall be dismissed without prejudice to its refiling.

Where the complaint is not under oath, the complainant shall be summoned by the Committee to swear to the truth of the allegations in the complaint.

c) Complaints sent by telegram, radiogram, electronic mail or similar means of communication shall be considered non-filed unless the



complainant shall comply with the requirements provided in section 12 (b) within ten (10) days from receipt of the notice for compliance.

- e) Withdrawal of the complaint at any stage of the proceedings shall not preclude the Committee from proceeding with the investigation where there is obvious truth or merit to the allegations in the complaint or where there is documentary or direct evidence that can prove the guilt of the person complained of.

**Section 3. Action on the Complaint.** – Upon receipt of complaint that is sufficient in form and substance, the Committee on Decorum and Investigation shall require the person complained of to submit a Counter-Affidavit/Comment under oath within three (3) days from receipt of the notice, furnishing a copy thereof to the complainant, otherwise the Counter-Affidavit/Comment shall be considered as not filed.

**Section 4. Preliminary Investigation.** – A preliminary investigation shall be conducted by the Committee on Decorum and Investigation. The investigation involves the *ex parte* examination of documents submitted by the complaint and the person complained of, as well as documents readily available from other government offices.

During the preliminary investigation, the parties may submit affidavits and counter-affidavits.

Upon receipt of the counter-affidavit or comment under oath, the Committee on Decorum and Investigation may now recommend whether a *prima facie* case exist to warrant the issuance of the formal charge.

During preliminary investigation, proceedings before the Committee on Decorum and Investigation shall held under strict confidentiality.

**Section 5. Duration of the Investigation.** – A preliminary investigation shall commence not later than five (5) days from receipt of the complaint by the Committee on Decorum and Investigation and shall be terminated within fifteen (15) working days thereafter.

**Section 6. Investigation Report.** – Within five (5) working days from the termination of the preliminary investigation, the Committee on Decorum and Investigation shall submit the Investigation Report and the complete records of the case to the disciplining authority.

**Section 7. Decision of Resolution After Preliminary Investigation.** If a *prima facie* case is established during the investigation, a formal



charge shall be issued by the disciplining authority within three (3) working days from receipt of the Investigation Report.

In the absence of *prima facie* case, the complaint shall be dismissed within the same period.

**Section 8. Formal Charge.** – After finding a *prima facie* case, the disciplining authority shall formally charge the person complained of. The formal charge shall contain a specification of the charge(s), a brief statement of material or relevant facts, accompanied by certified true copies of the documentary evidence, if any, sworn statements covering the testimony of witnesses, a directive to answer the charge(s) in writing under oath in not less than seventy-two hours from receipt thereof, an advice for the respondent to indicate in his/her answer whether or not he/she elects a formal investigation of the charge(s), and a notice that he/she is entitled to be assisted by a counsel of his/her choice.

If any respondent has submitted his/her comment and counter affidavits during the preliminary investigation, he/she shall be given the opportunity to submit additional evidence.

The Committee on Decorum and Investigation shall not entertain requests for clarification, bills of particulars or motions to dismiss which are obviously designed to delay the administrative proceeding. If any of these pleadings is filed by the respondent, the same shall be considered as part of his/her answer which he/she may file within the remaining period for filing the answer.

**Section 9. Answer.**– The answer, which must be in writing and under oath, shall be specific and shall contain material facts and applicable laws, if any, including documentary evidence, sworn statements covering testimonies of witnesses, if there be any, in support of respondent's case. It shall also include a statement indicating whether he/she elects a formal investigation.

**Section 10. Failure to File an Answer.** – If the respondent fails or refuses to file his/her answer to the formal charge within seventy-two (72) hours from receipt thereof without justifiable cause, he/she shall be considered to have waived his right and formal investigation may commence.

**Section 11. Preventive Suspension.** – upon petition of the complaint or *motu proprio* upon the recommendation of the committee on Decorum and Investigation, at any time after the service of the Formal charge to the respondent, the proper disciplining authority may order the preventive suspension of the respondent during the formal



investigation, if there are reasons to believe that he/she is probably guilty of the charges which would warrant his/her removal from the service.

An order of preventive suspension may be issued to temporarily remove the respondent from the scene of his/her misfeasance or malfeasance and to preclude the possibility of his/her exerting undue influence or pressure on the witnesses against him/her or tampering of documentary evidence on file with this Office.

**Section 12. Duration of Preventive Suspension.**—When the administrative case against the respondent under preventive suspension is not finally decided by the disciplining authority within the period of ninety (90) days after the date of his/her preventive suspension, unless otherwise provided by special law, he/she shall be automatically reinstated into the service; provided that when the delay in the disposition of the case is due to fault, negligence or petition of the respondent, the period of delay should not be included in the counting of the ninety (90) calendar days period of preventive suspension. Provided further that should the respondent be on paternity/maternity leave, said preventive suspension shall be deferred or interrupted until such time that said leave been fully enjoyed.

**Section 13. Remedies from the Order of Prevention Suspension.** – The respondent may file a motion for reconsideration with the disciplining authority or may elevate the same to the Civil Service Commission by way of an appeal within fifteen (15) days from receipt thereof.

**Section 14. Conduct of Formal Investigation.**— Although the respondent does not request a formal investigation, one shall nevertheless be conducted by the committee on Decorum and Investigation if it deems such investigation is necessary to decide the cases judiciously.

The investigation shall be held not earlier than five (5) days nor later than (10) days from receipt of the respondent's answer. Said investigation shall be finished within thirty (30) days from the issuance of the formal charge or the receipt of the answer unless the period is extended by the disciplining authority in meritorious cases.

**Section 15. Pre-hearing Conference.** – At the commencement of the formal investigation, the Committee on Decorum and Investigation may conduct a pre-hearing conference for the parties to appear, consider and agree on any of the following:



- a) stipulation of facts;
- b) simplification of issues;
- c) identification and marking of evidence of the parties;
- d) waiver of objection to admissibility of evidence;
- e) limiting the number of witnesses, and their names;
- f) dates of subsequent hearings; and
- g) such other matters as may aid in the prompt and just resolution of the case

The parties may submit position papers/memoranda and submit the case for resolution based on the result of the pre-hearing conference without any need for further hearing.

**Section 16. Continuous Hearing Until Terminated; Postponement.** –

Hearings shall be conducted on the hearing dates set by the Committee on Decorum and Investigation or as agreed upon during pre-hearing conference.

Where no pre-hearing conference is conducted, the parties, their counsel and witnesses, if any shall be given a notice of at least five (5) days before the first scheduled hearing specifying the time, date and place of the said hearing and subsequent hearings. Thereafter, the schedule of hearings previously set shall be strictly followed without further notice. A party shall be granted only three (3) postponements upon oral or written requests subjects. A further postponement may be granted only upon written request and subject to the discretion of the Committee on Decorum and Investigation.

If the respondent fails to appear during the scheduled hearings despite due notice, the investigation shall proceed ex-parte and the respondent is deemed to have waived his right to be present and to submit evidence in his favor during those hearings.

**Section 17. Preliminary Matters.** – At the start of the hearing, the Committee on Decorum and Investigation shall note the appearances of the parties and shall proceed with the reception of evidence for the complainant.

If the respondent appears without the aid of a counsel he/she shall be deemed to have waived his/her right to counsel.



Before taking the testimony of witness, the Committee on Decorum and Investigation shall place him/her under oath and then take his/her name, address, civil status, age, and place of employment.

**Section 18. Appearance of Parties.** – Any person representing any of the parties before any hearing or investigation shall manifest orally or in writing his/her appearance for either the respondent or complainant, stating his/her full name and exact address where he/she can be served with notices and other documents. Any pleading or appearance made without complying with the above stated requirements shall not be recognized.

**Section 19. Order of Hearing.** – Unless the Committee on Decorum and Investigation directs otherwise, the order of hearing shall be as follows:

- a) The complainant shall present evidence in support of the charge;
- b) The respondent shall then offer evidence in support of his/her defense;
- c) The complainant may then offer rebuttal evidence, and the respondent, sur-rebuttal evidence.

Every witness may be examined in the following order:

- a) Direct examination by the proponent;
- b) Cross-examination by the opponent;
- c) Re-direct examination by the proponent;
- d) Re-cross examination by the opponent.

A sworn statement of witness, properly identified and affirmed by the witness before the Committee on Decorum and Investigation, shall constitute his/her direct testimony.

When the presentation of evidence has been concluded, the parties shall formally offer their evidence orally or in writing and thereafter objections thereto may also be made either orally or in writing. Thereafter, both parties may be given time to submit their respective memorandum which in no case shall be beyond five (5) days after the termination of the investigation. Failure to submit the memorandum within the given period shall be considered a waiver thereof.



**Section 20. Objections.** – All objections raised during the hearing shall be resolved by the Committee on Decorum and Investigation. However, objections that cannot be ruled upon by the committee shall be noted with the information that the same shall be included in the memorandum of the concerned party to be ruled upon by the proper disciplining authority.

The committee on Decorum and Investigation shall accept all evidence deemed material and relevant to the case. In case of doubt, the Committee on Decorum and Investigation shall allow the admission of evidence subject to the objection interposed against its admission.

**Section 21. Markings.** – All documentary evidence or exhibits shall be properly marked by letter (A, B,C, etc.) if presented by the complainant and by numbers (1, 2, 3, etc.) if presented by the respondent. These shall form part of the complete records of the case.

**Section 22. Request for Subpeona.** – If a party desires the attendance of a witness or the production of documents of things, he/she shall make a request for the issuance of the necessary subpoena, at least ninety three (93) days before the scheduled hearing.

**Section 23. Issuance of Subpeona.** – The Committee on Decorum and Investigation may issue subpoena *ad testificandum* to compel the attendance of witnesses and subpoena *duces tecum* for the production of documents or on objects.

**Section 24. Records of Proceedings.** –The proceedings of the normal investigation must be recorded either through shorthand or stenotype or by any other method.

**Section 25. Effect of the pendency of an Administrative Case.** The pendency of any administrative case shall not disqualify the respondent for promotion or from claiming maternity/paternity benefits. For this purpose, an administrative case shall be construed as pending when the disciplining authority has issued a formal charge.

**Section 26. Formal Investigation Report.** – Within fifteen (15) days after the conclusion of the formal investigation, a report containing a narration of the material facts established during the investigation, the findings and the evidence supporting said findings, as well as the as the recommendations shall be submitted by the Committee on Decorum and Investigation to the disciplining authority. The complete records of the case shall be attached to the Report of Investigation.





The complete records shall be systematically and chronologically arranged, paged and securely bound to prevent loss. A table of contents shall be prepared. Whoever is in-charge of the transmittal of the complete records shall be held responsible for any loss or suppression of pages thereof.

**Section 27. When Case is Decided.** – The disciplining authority shall render his decision on the case within thirty (30) days from receipt of the Report of Investigation.

**Section 28. Finality of Decisions.** A decision rendered by heads of agencies where a penalty of suspension for not more than thirty (30) days or a fine in an amount not exceeding thirty (30) days salary imposed, shall be final and executory. However, if the penalty imposed is suspension exceeding thirty (30) days or a fine exceeding thirty (30) days salary, the same shall be final and executory after the lapse of the reglementary period for filing a motion for reconsideration or an appeal and no such pleading has been filed.

### **Rule IX. Remedies after a Decision**

**Section 1. Filing of Motion for Reconsideration.** – The party adversely affected by the decision may file a motion for reconsideration with the disciplining authority who rendered the decision within fifteen (15) days from receipt thereof.

**Section 2. When Deemed Filed.** – A motion for reconsideration shall be deemed filed on the date stamped on the official copy by the proper





receiving authority, and in case it was sent by mail, on the date shown by the postmark on the envelope which shall be attached to the records of the case.

**Section 3. Grounds for Motion for Reconsideration.** – the motion for reconsideration shall be based on any of the following:

- a) New evidence has been discovered which materially affects the decision rendered; or
- b) The decision is not supported by the evidence on record; or
- c) errors of law or irregularities have been committed prejudicial to the interest of the movant.

**Section 4. Limitation.** – Only one motion for reconsideration shall be entertained.

**Section 5. Effect of Filing.** The filing of a motion for reconsideration within the reglementary period of fifteen (15) days shall stay the execution of the decision sought to be reconsidered.

**Section 6. Filing of Appeals.** – Decisions of heads of departments, agencies, provinces, cities, municipalities and other instrumentalities imposing a penalty exceeding thirty (30) days suspension or fine in an amount exceeding thirty days salary, may be appealed to the Commission Proper within a period of fifteen (15) days from receipt thereof.

In case the decision rendered by a bureau or office head is appealable to the commission, the same may be initially appealed to the department head and finally to the Commission Proper. Pending appeal, the same shall be executory except where the penalty is removal, in which case the same shall be executory only after the confirmation by the Secretary concerned.

A notice of appeal including the appeal memorandum shall be filed with the appellate authority, copy furnished the disciplining office. The latter shall submit the records of the case, which shall be systematically and chronologically arranged, paged and securely bound to prevent loss with its comment, within (15) days, to the appellate authority.

**Section 7. When Deemed Filed.** An appeal sent by mail shall be deemed filed on the date shown by the postmark on the envelope which shall be attached to the records of the case and in case of personal delivery, the date stamped thereon by the proper office.



**Section 8. Appeal Fee.** The appellant shall pay an appeal fee for Three Hundred Pesos (P300) and a copy of the receipt thereof shall be attached to the appeal.

**Section 9. Perfection of an Appeal.** To perfect an appeal, the appellant shall within fifteen (15) days from receipt of the decision submit the following:

- a) Notice of appeal which shall specifically state the date of decision appealed from and the date of receipt thereof;
- b) Three (3) copies of appeal memorandum containing the grounds relied upon for the appeal, together with the certified true copy of the decision, resolution or order appealed from, and certified copies of the documents or evidence;
- c) Proof of service of a copy of the appeal memorandum to the disciplining office;
- d) Proof of payment of the appeal fee; and
- e) A statement or certification of non-forum shopping.

Failure to comply with any of the above requirements within the reglementary period shall be construed as failure to perfect an appeal and shall cause its dismissal.

**Section 10. Effect of Filing.** An appeal shall not stop the decision from being executor, and in case the penalty is suspension or removal, the respondent shall be considered as having been under preventive suspension during the tendency of the appeal, in the event he wins the appeal.

**Section 11. When Case is Remanded for Violation of Respondent's Right to Due Process.** If the case on appeal with the Commission Proper is remanded to the proper disciplining authority for further investigation, the remanded to the proper disciplining authority through the Committee on Decorum and Investigation shall finish the investigation with three (3) calendar months from the date of receipts of the records from the Commission, unless the investigation is delayed due to the fault, negligence or petition of the person complained of, or an extension is granted by the Commission Proper in meritorious cases. The period of delay shall not be included in the computation of the prescribed period.



Within fifteen (15) days from the submission of the investigation report to the disciplining authority, the disciplining authority shall render its decision. If, at the end said period, the disciplining authority fails to decide the case, the Commission Proper shall vacate and set aside the appealed decision and declare the person complained of exonerated of the charge. If the person complained of is under preventive suspension, he shall be immediately reinstated.

The Civil Service Regional Office of the Office for Legal Affairs of the Civil Service Commission shall evaluate request for the extension of formal investigations and grant the same on meritorious grounds. In disposing the request, said office shall be guided by the principles of justice and fair play, provided, that the extension shall not be for more than twenty (200) days.

For this purpose, the Regional Director shall monitor the implementation of the CSC Resolution remanding the case to the proper disciplining authority for further investigation and submit a report to the Commission Proper.

**Section 12. Petition for Review.** A complainant may elevate the decision of the disciplining authority dismissing a complaint for lack of a prima facie case before the Commission Proper through a Petition for Review within fifteen (15) days from the receipt of said decision.

**Section 13. Petition for Review with the Court of Appeals.** A party may elevate a decision of the Commission before the Court of Appeals by way of Petition for Review under Rule 43 of the 1997 Revised Rules of Court.

**Section 14. Petition for Certiorari.** When the disciplining authority has acted without or in excess of jurisdiction, or with grave abuse of discretion amounting to lack or excess of jurisdiction and there is no appeal, nor any plain, speedy and adequate remedy in the ordinary course of law, a person aggrieved thereby may file a verified petition for certiorari in the proper court under Rule 65 of the Rules of Court.

#### **Rule X. Classification of Acts of Sexual Harassment**

**Section 1.** Sexual harassment is classified as grave, less grave and light offenses.

**a) Grave Offenses** shall include but are not limited to:

1. unwanted touching of private parts of the body (genitalia, buttocks and breast);
2. sexual assault;



3. malicious touching;
4. requesting for sexual favor in exchange for employment, promotion, local or foreign travels, favorable working conditions or assignments, a passing grade, the granting of honors or scholarship, or the grant of benefits or payment of a stipend or allowance; and
- 5) other analogous cases.

**b) Less Grave Offenses** shall include but are not limited to:

1. unwanted touching or brushing against a victim's body;
2. pinching not falling under grave offenses;
3. derogatory or degrading remarks or innuendoes directed toward the members of one sex or one's sexual orientation or used to describe a person;
4. verbal abuse or threats with sexual overtones; and
5. other analogous cases.

**c) The following shall be considered Light Offenses:**

1. repetitiously looking or stealing a look at a person's private part or worn undergarments;
2. telling sexist/smuttery jokes or sending these through text, electronic mail or other similar means, causing embarrassment or offense and carried out after the offender has been advised that they are offensive or embarrassing or, even without such advice, when they are by their nature clearly embarrassing, offensive or vulgar;
3. malicious leering or ogling;
4. the display of sexually offensive pictures, materials or graffiti;
5. unwelcome inquiries or comments about a person's sex life;
6. unwelcome sexual flirtation; advances, propositions;
7. making offensive hand or body gestures at an employee;
8. persistent unwanted attention with sexual overtones;



9. unwanted phone calls with sexual overtones causing discomfort, embarrassment, offense or insult to the receiver; and
10. other analogous cases.

### **Rule XI. Administrative Liabilities**

**Section 1.** The head of office who fails to act within fifteen (15) days from receipt of any complaint for sexual harassment properly filed against any employee in that office shall be charged with Neglect of Duty.

**Section 2.** any person who is found guilty of sexual harassment shall, after the investigation, be meted the penalty corresponding to the gravity and seriousness of the offense.



**Section 3.** The penalties for light, less grave, and grave offenses are as follows:

a) For light offenses:

- |                         |   |
|-------------------------|---|
| 1 <sup>st</sup> offense | - Reprimand   |
| 2 <sup>nd</sup> offense | - Fine or suspension not exceeding thirty (30) days |
| 3 <sup>rd</sup> offense | - Dismissal   |

b) For less grave offenses:

- |                         |  |
|-------------------------|--|
| 1 <sup>st</sup> offense | - Fine or suspension not less than thirty (30) days and not exceeding six (6) months |
| 2 <sup>nd</sup> offense | - Dismissal  |

c) For grave offenses:

- Dismissal

**Section 4.** If the respondents are found guilty of two or more charges or counts, the penalty to be imposed should be that corresponding to the most serious charge or count and the rest shall be considered as aggravating circumstances.

## **Rule XII. Duty of the Agencies of the Government**

**Section 1.** All national and local government agencies, state colleges and universities, including government-owned or controlled corporations with original charter, shall promulgate or modify their own rules and regulations in conformity with these Rules, in consultation with their employees, within six (6) months from the effectivity of this Resolution.



**Section 2.** All agencies of the government shall submit an authenticated copy of their rules and regulations on sexual harassment to the Commission for the approval within one (1) month from the date of their promulgation. It shall likewise submit to the Commission a list of the members of their Committee on Decorum and Investigation immediately after its composition.

**Section 3.** All agencies of the government shall develop an education and training program for their officials and employees and the members of their Committee on Decorum and Investigation to increase understanding about sexual harassment, prevent its occurrence, and ensure proper investigation, prosecution and resolution of sexual harassment cases.

**Section 4.** The head of office who after six (6) months from the effectivity of this Resolution, fails to cause the promulgation or modification of the agency's rules and regulations on sexual harassment in conformity with these Rules, shall be charged with Neglect of Duty.

### **Rule XIII. Duty of the Commission**

**Section 1.** The Commission, through its Fields Offices, shall monitor the implementation of the directive to all government agencies to promulgate or modify, as the case may be, their rules and regulations on sexual harassment, as well as the conduct of the training programs as provided in Sections 59 and 60.

**Section 2.** In case a complaint alleging acts constituting sexual harassment as defined herein is filed with the Commission, the same shall be remanded to the agency where the alleged offender is employed for appropriate action in accordance with their own rules and regulations on sexual harassment.

**Section 3.** The Civil Service Commission shall render technical assistance to agencies in the formulation of their rules and regulations on sexual harassment and the development and implementation of an intervention and prevention program on sexual harassment.

### **Rule XIV. Cases During the Intervening Period**

**Section 1.** During the period when the agency is still the process of promulgating or modifying its own rules and regulations on sexual harassment, a complaint alleging acts constituting sexual harassment shall be administratively prosecuted, resolved and adjudicated based on these Rules.

### **Rule XV. Forum Shopping**



**Section 1.** Under the same set of ultimate facts, the filing of a complaint based on an agency's rules and regulations on sexual harassment shall preclude the filing of another administrative complaint under any other law.

### **Rule XVI. Repealing Clause**

**Section 1.** Rules and regulations and other issuance or parts thereof inconsistent with the provisions of these Rules are hereby repealed or modified accordingly.

### **Rule XVII. Effectivity Clause**

**Section 1.** These Rules shall take effect fifteen (15) days after its publication in a newspaper of general circulation.\*

Quezon City, 21 May 2001.

(Sgd.) **KARINA CONSTANTINO-DAVID**  
Chairperson

(Sgd.) **JOSE F. ERESTAIN, JR.**  
Commissioner

(Sgd.) **J. WALDEMAR V. VALMORES**  
Commissioner

Attested by:

(Sgd.) **ARIEL G. RONQUILLO**  
Director III

*\*Published 20 July 2001 in the Philippine Daily Inquirer*

## **RULE XV**

### **GUIDELINES ON MEDICAL AND DENTAL EXAMINATION**





**Article 1. Students.** All students are required to undergo medical, dental, and laboratory examinations to determine fitness to perform various school activities.

**Section 1.** All new students enrolling at the University are required to undergo the following examinations/tests prior to enrollment. The new students are required to undergo ***chest X-ray and routine laboratory examinations such as complete blood count, blood typing and Hepatitis B Screening as necessary for Health Science and Hospitality Service courses.*** A physical and dental examination, conducted by the University Physician and Dentist will follow upon completion of all the laboratory requirements. This is normally scheduled/conducted in the months of April and May or during the first semester enrollment and in September and October during the second semester.

**Section 2.** Old students should submit the results of their medical/dental examinations, conducted during the first semester as a requirement for enrollment during the second semester. Their annual physical (medical/dental) examination(s) schedule shall be as follows:

<b>Senior (4<sup>th</sup>, 5<sup>th</sup> &amp; 6<sup>th</sup> )</b>	-	1 <sup>st</sup> week of June to July 15
<b>Junior</b>	-	July 16 to last week of August
<b>Sophomore</b>	-	1 <sup>st</sup> wk of Sept. to last wk of October

**Section 3.** If upon physical examination, the student is diagnosed to be:

- a.** Suffering from a suspicious disease(s), a special/additional laboratory examination(s) shall be required and/or the student shall be referred to a medical specialist for further evaluation and management of his/her health status. ***Submission of a medical certificate from the medical specialist shall be required to determine their fitness to go on with schooling; or***
- b.** Afflicted with a communicable disease(s), especially Pulmonary Tuberculosis, he/she ***shall be advised not to enroll until the student can present a medical certificate duly signed by the medical specialist(s) indicating that he/she is physically fit to continue his/her studies and already under continued medication.***

**Section 4.** The rates for physical, dental and laboratory examinations for incoming freshmen shall be as follows:



a. Physical Examination fee	-	<b>₱ 125.00</b>
b. Dental Examination fee	-	<b>125.00</b>
c. Blood Typing	-	<b>60.00</b>
d. Complete Blood Count	-	<b>90.00</b>
d. Chest X-ray	-	<b>150.00</b>
e. Hepatitis B Screening*	-	<b>100.00</b>

*(\*for Health Science and Hospitality Service courses only)*

Old students will be charged One Hundred Pesos (**₱100.00**) as payment for the annual physical and dental examination. This fee is an addition to the medical fee being paid during enrollment.

**Section 5.** Should a student lose his or her medical and/or dental forms and request for another copy, the student will have to pay Fifty Pesos (**₱50.00**) or Twenty Five pesos (**₱ 25.00**) per form (medical or dental).

**Section 6.** Should a student request for physical and/or dental examination/ certificate for the purpose of employment and/or training, the student will have to pay Fifty Pesos **₱ 50.00**.

**Section 7.** All rates are subject to change without prior notice.

**Section 8.** The Medical and Dental examination fees as well as the laboratory fees to be collected shall be deposited in the Infirmary's Fiduciary Fund and will be used to purchase medical/dental supplies and equipment. Compensation and benefits of personnel of the University clinic and other needs are subject to accounting and auditing rules and regulations.

**Article 2.a University Personnel.** Every year, all faculty members, employees and staff of the university are required to undergo medical and laboratory check-up to ensure optimum health and efficiency.

**Section 1.** All university personnel are required to undergo the following:

1. Routine Laboratory Tests  
Complete Blood Count



- Urinalysis
- Fecalalysis
- Chest X-ray
- Drug Test (Shabu and Marijuana)
- Hepatitis B Screening
- 2. Special Laboratory Examination ( as needed )
  - Electrocardiogram (ECG)
  - Blood Chemistry (FBS, BUN, BUA, Creatinine, lipid profile)
  - Pap Smear (For Female Employees)\*
  - Ultrasound (whole abdomen for both male and female: pelvic for female and prostate for male)\*
  - Pregnancy test\* (*\*as necessary*)
- 3. Physical and Dental Examinations to be conducted by the University Physician and Dentist.

**Section 2.** As per Board of Regents Resolution No. 65 series of 2007, the University shall subsidize the annual medical examination fees and charges of its personnel using the following schedule:

<b><i>Salary Grade of Personnel</i></b>	<b><i>Amount of Subsidy</i></b>
• Grades 1-3	100%
• Grades 4-7	90%
• Grades 8-11	80%
• Grades 12 and above	70%

**Section 3.** If upon examination, a faculty member/ staff is diagnose to be:

1. Suffering from a suspicious disease(s), he/she shall be required to undergo a special/additional laboratory or diagnostic examination(s) or shall be referred to a medical specialist for further evaluation and management; or
2. Afflicted with a communicable disease(s), he/she shall be advised to follow a specific treatment/regimen or take a leave of absence for a certain period of time until such time he/she gets well or until he/she submits/presents a medical certificate from a medical specialist confirming fitness to continue work, if the condition is proven otherwise.

**Section 4.** Should a faculty/staff request for physical examination/certificate for the purpose of training, scholarship, etc., he/she will have to pay fifty pesos **₱ 50.00**.



**Article 2.b University Applicants.** To ensure fitness to perform varying university jobs/work, all university applicants are required to undergo physical and laboratory examinations.

**Section 1.** All applicants of the university shall undergo the following:

1. Laboratory examinations such as:
  - Chest X-ray
  - Complete Blood Count
  - Urinalysis
  - Drug Test (Shabu and Marijuana)
  - Neuro-Psychiatric Exam
  - Pregnancy Test (as necessary for married, female applicants)
2. Physical examination conducted by the University Physician upon submission of the necessary laboratory examinations.

**Section 2.** Medical certificate of fitness to perform work for those who are afflicted with any of the following mental, medical, and physical problems/conditions shall not be approved:

- a. Communicable diseases which include active Pulmonary Tuberculosis (PTB) and replicative Hepatitis B
- b. Debilitating disease such as renal, liver, and blood diseases and cancer
- c. Uncontrolled Hypertension
- d. Uncontrolled Diabetes Mellitus
- e. Severe Heart Disease/Condition
- f. Drug Addiction
- g. Pregnancy in the Third Trimester
- h. Other mental, medical and physical problems, as determined by the university physician to have direct bearing or effect on the work of the employee.

**Section 3.** A physical examination fee of one hundred pesos (**₱100.00**) shall be charged per applicant / new employee.

**Section 4.** Laboratory examination/s may be conducted in any other healthcare facility or hospitals outside the University Laboratory duly accredited by the Department of Health (DOH) and Dangerous Drug Board.

**Section 5.** The Medical and Dental examination fees as well as the laboratory fees to be collected shall be deposited in the Infirmary's Fiduciary Fund and will be used to purchase medical/dental supplies and equipment. Compensation and benefits of personnel of the University clinic and other needs are subject to accounting and auditing rules and regulations.



**Article 2.c Renewal of Contractual Status of Employees.** University personnel whose contractual appointment is recommended for renewal shall be required to undergo the following tests :

**Section 1. 6-Month Renewal**

- a. Blood Test (CBC, Blood Chemistry, HbsAg Determination)
- b. Urinalysis (including pregnancy test for female applicants 18 to 45 years of age as necessary)

**Section 2. One (1)-Year Renewal**

- a. Blood Test (CBC, Blood Chemistry, HbsAg Determination)
  - b. Urinalysis (including pregnancy test for female applicants 18 to 45 years of age as necessary)
  - c. Chest X-ray
  - d. Drug Test (Shabu and Marijuana)
  - e. Electrocardiogram (ECG)
3. Physical examination conducted by the University Physician upon submission of the necessary laboratory examinations.

**Section 3.** Recommendation for those who are afflicted with any of the following mental, medical, and physical problems shall not be approved:

- a. Communicable diseases which include active Pulmonary Tuberculosis (PTB) and replicative Hepatitis B
- b. Debilitating disease such as renal, liver, and blood diseases and cancer
- c. Uncontrolled Hypertension
- d. Uncontrolled Diabetes Mellitus
- e. Severe Heart Disease/Condition
- f. Drug Addiction
- g. Other mental, medical and physical problems, as determined by the university physician to have direct bearing or effect on the work of the employee.

**Section 4.** Laboratory examination/s may be conducted in any other healthcare facility or hospitals outside the University Laboratory duly accredited by the Department of Health (DOH) and Dangerous Drug Board.

**Section 5.** Expenses incurred on the abovementioned laboratory examinations are reimbursable to the employee's respective unit or department up to a maximum amount of ₱ 1,500.00\* (\*subject to approval and availability of funds). Any amount in excess shall be shouldered by the employee.



## **Article 2.d Change of Status from Temporary to Permanent of Employees.**

**Section 1.** University personnel whose status is recommended to be changed from contractual to temporary and/or temporary to permanent shall be required to undergo the same tests that are required for the renewal of contractual personnel (1-year renewal).

The required tests shall be conducted, if possible, at the University Laboratory. Otherwise, the tests can be done in other laboratories and hospitals accredited by the Department of Health (DOH) and Dangerous Drug Board.

**Section 2.** Recommendation for those who are afflicted with any of the following mental, medical, and physical problems shall not be approved:

- a. Communicable diseases which include active Pulmonary Tuberculosis (PTB) and replicative Hepatitis B
- b. Debilitating disease such as renal, liver, and blood diseases and cancer
- c. Unmanageable Hypertension
- d. Unmanageable Diabetes Mellitus
- e. Severe Heart Disease/Condition
- f. Drug Addiction
- g. Other mental, medical and physical problems, as determined by the university physician to have direct bearing or effect on the work of the employee

### **RULE XVI**

#### **INTEGRATED AND NON CSI- CAMPUS**

External campuses, specifically described in CHED Memorandum Order (CMD) No. 18, series of 1999, refer to structural unit(s) of SUCs being geographically located away or detached from the main campus.

The integration of CHED Supervised Institutions (CSI) and the establishment of campuses covered by Memorandum of Agreement (MOA) made the CvSU a multi-campus university, with main campus and external campuses. The main campus is called Don Severino de las Alas Campus located in Indang while the external campuses are in the towns of Bacoor, Carmona, Imus, Naic, Rosario, Silang and Tanza. Others are established in the cities of Cavite and Trece Martires.

External campuses bear the name of town/city where it is located such as: CvSU – Tanza, CvSU – Trece Martires City, etc. However, other



appropriate name for the campus may be allowed upon approval by the Board of Regents (BOR).

The establishment of any CvSU campus shall conform to all current and future legal requirements set forth by the Commission on Higher Education (CHED), local and/or provincial governments, and other legal documents affecting the establishment of such external campuses. These include the minimum standards set by CHED, formal offer/petition by local and/or provincial government, and formal request proposal from CvSU, and the adherence to the CvSU Operations Manual.

**Article 1. Governance.** The external campus shall be under its designated Campus Administrator. He/she should be a holder of earned doctorate degree or with the academic rank of at least Associate Professor I. The Campus Administrator shall be directly responsible to the VPAA and shall perform the following duties and responsibilities:

1. Take charge of the planning, development and supervision of the campus
2. Prepare financial plan and budgetary estimates for the campus in coordination with the unit heads
3. Prepare and/or revise policies, rules and regulations affecting the campus
4. Coordinate all the instruction, research, extension and production activities and programs of the campus
5. Establish linkages with government and non-government agencies in the effective implementation of the programs of the campus
6. Evaluate performance of campus personnel and make the necessary recommendation
7. Act as chairman of all councils and personnel selection board created for the campus
8. Sit as vice-chairman of the University Personnel Selection Board on matters pertaining to campus manpower recruitment, development and promotion
9. Sign MOA, deeds and other instruments necessary for the proper conduct of business of the campus. This, however, is





for undertakings and transactions that are regularly recurring where the action of the University president is ministerial.

10. Perform other duties and responsibilities that may be assigned by higher authorities

In the exigency of service particularly to external campuses granted with certain degree of autonomy on financial services, the following shall be added to the duties and responsibilities of the Campus Administrator:

11. Sign and approve for and in behalf of the University President purchase requests of up to PhP250,000; disbursement vouchers and payroll regardless of amount, itinerary of travel, travel order and cash advances.
12. Countersign checks for payment of personnel services, refund and remittances of insurance and retirement premium, withholding tax, salary, policy and real estate loans and public utilities regardless of amount, procurement of supplies and materials and other expenditures that may be authorized for a specific purpose in an amount of not more than PhP250,000 per transaction.

As regards numbers 11 and 12, the Campus Administrator shall apply for bonds from the National Treasury.

All programs, policies and guidelines to be implemented in external campuses, in addition to or in revision of the originally approved proposal, shall have prior approval by the BOR.

## **Article 2. Organization and Staffing**

1. The Campus Administrator shall create its own academic, administrative, research, extension, business affairs and sports councils and/or committees or any other such councils as maybe deemed necessary and approved by the BOR, the functions of which should be in line with the functions of similar offices in the main campus.
2. There shall be Directors for Instruction, Research and Extension and Administration and Support Services that shall be members of the small administrative council of the University.





3. Regardless of the number of enrollees, there shall be a Coordinator or Director for the Office of Student Affairs. Other officers like department chairpersons and unit heads shall be designated based on the needs of the campus.
4. All matters on personnel and personnel management, finance, auxiliary services and security shall be coordinated with the Vice President for Administrative and Support Services (VPASS). Those involving research, extension and continuing education shall be coordinated with the Vice President for Research, Extension and Continuing Education and Training Services (VPRECETS).
5. External linkage/s and business affairs may be coordinated with the Vice President for External and Business Affairs (VPEBA) as to the policy, formulation, business ventures and disbursement. Research generation projects /activities may be explored together with the main campus.
6. All academic positions shall be classified in accordance with the provisions of the National Budget.

### **Article 3. Duties and Responsibilities of the Campus Directors and other Officers.**

The duties and responsibilities of the Campus Directors and other officers should conform to the major duties and responsibilities of similar officers/offices in the main campus.

In addition to the defined duties and responsibilities of the directors as embodied in the University Operations Manual, the following shall be performed by:

#### **A. DIRECTOR FOR INSTRUCTION**

1. Supervise and direct the daily activities of the different academic departments and units.
2. Assist the Campus Administrator in the formulation and execution of academic policies, rules and regulations.



3. Coordinate the research and extension workload of the faculty and their other academic related duties with other major units in the campus.

## **B. DIRECTOR FOR ADMINISTRATIVE AND SUPPORT SERVICES**

The specific duties and responsibilities of Director for Administrative and Support Services shall be as follows:

1. Develop, formulate and implement programs, projects and activities that are of administrative and auxiliary in nature including fiscal matters.
2. Manage and/supervise preparation, allocation and disbursement of budget in accordance with existing laws, rules and regulations.
3. Recommend approval of requisition and disbursement including contract services/purchase orders.
4. Counter checks for payments of personal services, refunds, remittances of insurance and retirement's premium. Withholding tax, salary policy and real state loan regardless of amount.
5. Issue policy memorandum on administrative matters as decided upon on Administrative Council meetings.
6. Supervised the affair of administrative, financial and support services units such that inherent goals and objectives are at least satisfactorily attained.
7. Act as Vice Chairman of the campus promotion and selection board
8. Prepare and review the appointments of the campus personnel.
9. Perform other duties that may be assigned from time to time.

## **C. DIRECTOR FOR RESEARCH AND EXTENSION SERVICES**



1. Supervise and direct the daily activities of the different research and extension projects.
2. Formulate and execute research and extension policies, rules and regulations.

#### **D. CHAIRPERSON /UNIT HEAD**

1. Takes charge of planning, development and supervision of their respective unit.
2. Prepare budgetary estimates like Annual Procurement Plan (APP) of the unit.
3. Propose new and appropriate rules and regulations affecting the respective units.
4. Coordinate the academic programs, projects, and activities of respective department.
5. Inculcate moral values among faculty and students.

#### **E. RESEARCH COORDINATOR**

1. Coordinate research studies with the department chairperson /unit.
2. Recommend budgetary estimates for the research studies thru the unit head and the Director for Research.

#### **F. EXTENSION SERVICES COORDINATOR**

1. Conduct baseline study on the needs of the community for extension services
2. Prepare project proposal on the identified needs of the community for the extension services and submit to the administrators concerned for the comments, suggestions and approval.



3. Prepare and recommend budgetary estimates to finance the extension services.
4. Prepare MOA for both parties (School and Community).

**G. OJT COORDINATOR**

1. Assist in the orientation program for the students and parents on OJT policies, requirements and expectations in coordination with the college placement coordinator.
2. Assist placement coordinator for OJT placement of students.
3. Help in the monitoring and evaluation of OJT performance.
4. Collect OJT reports from students for consolidation.

**H. STUDENT TEACHING COORDINATOR**

1. Conduct orientation program for teachers on the policies, requirements and expectation about the in/out campus training.
2. Prepare listings of cooperating school and schedules of student teaching in/out campus.
3. Coordinate with cooperating schools regarding placement of student-teachers.
4. Observe classroom and final demonstration teaching of student teachers.
5. Do other related work as required by the director of instruction.



#### **Article 4. Curricular Programs**

1. All curricular programs of the external campuses shall be in accordance with the regional and national development targets and shall be in line with the University development goals. Those programs which have continuously low and/or fast declining enrollment and those with consistently low performance of graduates in the licensure or board examinations shall be gradually phased out until the graduation of the last enrollees. Students in these programs may be asked to transfer to other academic programs.
2. The high school curriculum shall be consistent with the guidelines relative to the offering of basic education programs in SUCs.
3. As much as possible, the curricular programs of external campuses shall not be in duplication of those offered in the main campus. In addition, the distance and population density shall be considered since these would affect student catchments of each of the external campuses.
4. The University Administrative Council shall review the proposed and the existing program offerings of external campuses so as not to result in certain duplications that would redound to unhealthy competition.

#### **Article 5. Budget and Finance**

1. The budgetary requirements of the external campuses shall be included in the overall budget of the University.
2. All income generated by the external campuses shall be programmed for the development of their respective campuses in accordance with the existing policies on the use of income of SUCs.
3. The budget covering the operational requirements of the external campuses allocated in accordance with the provisions of the GAA shall be released to the concerned campus/es without the imposition of percent reduction but without prejudice to the augmentation of shares of each



campus from funds otherwise authorized from the main campus.

4. Campuses with meager income and without budget allocation in the GAA shall be augmented/subsidized by the main campus for its development and operation.
5. The campus financial management system shall adhere to the prescribed New Government Accounting System (NGAS) in ensuring the proper accounting and auditing of all financial transactions of the campus.

#### **Article 6. Establishment of New Branch Campuses**

1. All plans for the establishment of campuses should be covered by a formal proposal dealing with the human and physical resource requirements for the operation of such external campus over a period of an average of five years. Certain assumptions shall be made on these resources as general guidelines in the preparation of proposals and budget requirements allowing some adjustments to accommodate local environment peculiarities.
2. Salary requirements of personnel shall conform to the University salary structure based on the salary standardization law.

#### **Article 7. Operation**

1. The operation of CvSU external campus shall be governed by the Operation Manual. Implementation and operation of projects, activities, or institution of policies and guidelines not stipulated in the manual should have prior approval by the University Board of Regents.
2. The decision on the day to day operation of external campuses shall be given certain autonomy within limits not contrary to law and prescribed in the duties and responsibilities of the campus administrator.
3. The external campuses shall establish its own selection and promotions board. However, hiring, promotion, study leaves, and major expenditures should be sanctioned by the University Board of Regents through the Office of the University President.



4. In the case of joint project operation wherein another entity or agency is involved, the specific contributions of entity should be detailed in the proposal and pertinent aspects of which should be covered in a memorandum of agreement to be signed by the University President.

The implementation schedules set forth in the approved proposal shall be strictly followed and all provisions, action, projects and estimates conforming to the dynamic changing environment shall be thoroughly discussed within the appropriate external campus and University Councils prior to implementation.

5. All external campuses shall be provided with a vehicle for official use. This does not limit the initiative of the campus administrator to acquire other needed vehicles from donations, purchase from savings, if any, provided that such acquisition conforms to the DBM, COA, and accounting rules and regulations. Such vehicle should be for official use only and the use thereof should conform to the regulations on the use of government vehicles.
6. All donations to the University external campuses shall be in the name of the University and that the University President shall be the signatory in the deed of donation. However, if and when the amount or value of donation is below PhP100, 000, the Campus Administrator shall be the signatory in the deed of donation. Donated properties shall be property recorded in the campus property office.
7. Appropriate communication link with the University main campus such as telephone, radio or any other means of sending and receiving messages shall be provided to all external campuses.

#### **Article 8. Schedule of Fees**

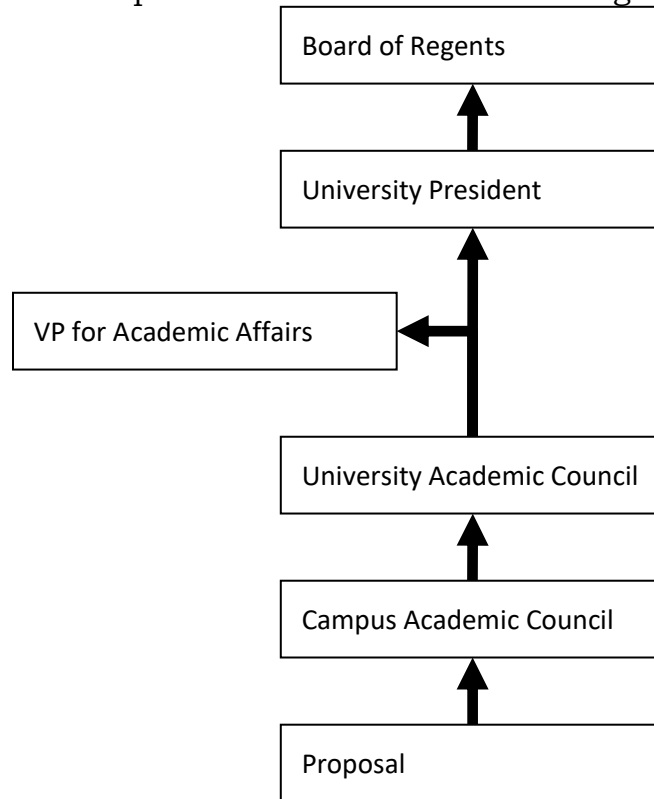
- The fees to be charged to students should have prior approval by the BOR. In cases where the schedule of fees was not approved by the Board, the prevailing schedule of fees in the main campus shall be followed.

#### **Article 9. Degree of Autonomy and Coordination of Activities**



## 1. Curriculum and Instruction

- a. Proposed and curriculum revisions, policies and guidelines on instruction shall be deliberated and endorsed by the Campus Academic Council following the diagram below.



- b. The Campus may adopt its own method of weight criteria in deriving grades so long as this is agreed upon and understood by members of the faculty. However, the grade steps specified in the University Grading System shall be followed.
- c. Procedures and policies in giving placement examination in the main campus shall be followed. However, cut off scores may vary by campus or by academic program.
- d. Diploma/Certificate shall be similar with the Main Campus.
- e. High School Report Card with the same format as main campus laboratory school shall be signed by the Principal and Campus Administrator.

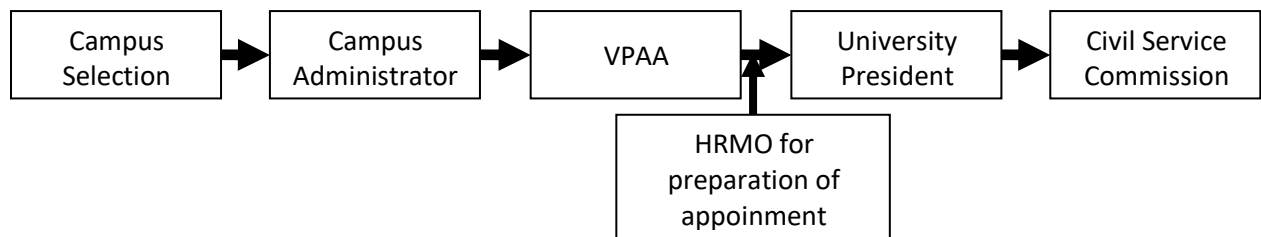




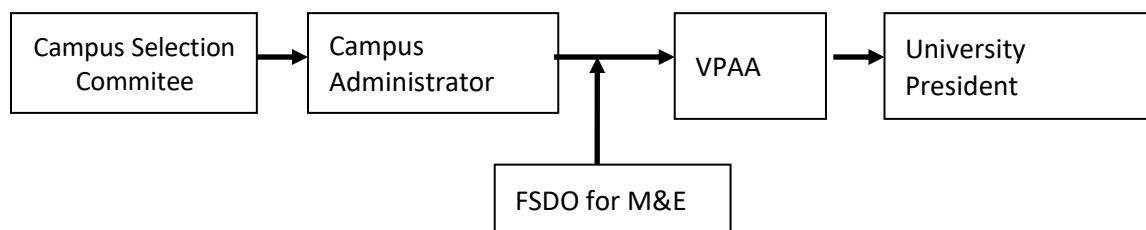
- f. High School Grading System shall follow the main campus' laboratory school grading system
- g. Each campus may adopt its own recruitment system.
- h. The existing teaching workload system used in the main campus shall be followed.

## 2. Administrative and Support Services

- a. The campus may request assistance of/coordinate matters on health services/problems and physical planning with the University Physician and Director for Physical Planning, respectively.
- b. Budget preparation and allocations shall be coordinated with the Vice President for Academic Affairs
- c. Faculty and employee recruitment goes through the following offices



## d. Faculty and Staff Development





- e. New plantilla positions for faculty members shall be distributed equitably to the different campuses of the university. These shall be open to all qualified faculty members with priority on doctorate holders and faculty members with priority in doctorate holders and faculty members who are automatically promoted upon completion of their graduate studies.
- f. Equipment acquisition shall be included in Financial Plan and Budget, wherein the campus shall determine specification, follow bidding procedure, adopt property number system and issue memo receipts to user(s).
- g. If possible, the campus shall create its own BAC and follow accounting and auditing rules and regulations in the purchase of supplies and materials and in capital outlay projects/repairs.

### 3. Security Matters

- a. Student misdemeanor
  - i. A Committee on Misdemeanor and Student Tribunal on campus shall be created. Applicable provisions on student discipline shall be followed.
  - ii. Cases of suspension from 30 days and above and expulsion from the University System shall be signed by the University President. All other cases shall be signed by the Campus Administrator.
- b. Campus Disorders involving:
  - i. Student Activism.  
The Campus Security shall handle the situation. This may be coordinated with the Local Police and with the University Civil Security Services.
  - ii. Faculty and Employees.  
The Campus Administrator shall handle the situation. In cases of total unrest, assistance should be secured from the Local Police.

### 4. Student Affairs



- a. External campuses shall follow rules and regulations of main campus Office of Student Affairs on recognition and operation of campus organizations including rules on educational field trips.
- b. Each campus may create its own student publication unit subject to University rules and regulations on Students Publications.
- c. Student Financial Assistance shall conform to the student financial assistance program implemented in the main campus. However, each campus may have additional sources for financial assistance.

#### 5. Research and Extension

- a. RDE Agenda/Program shall conform to the University research, development and extension agenda but focused mainly on fields in relation to campus specialization area(s) and the expertise or researchers or personnel who will conduct research and extension work.
- b. Research and Extension Workload of the faculty members shall follow the existing research and extension workload being used in the main campus.
- c. Funds for research and extension shall always be included in the financial plan and budget.

#### 6. External Linkage and Business Affairs

- a. Newly organized External and Business Affairs Unit in external campuses may seek advice/exchange ideas with the External and Business Affairs office in the main campus on policy formulation, business ventures, income classification (Fund 161 and Fund 163) and disbursement.
- b. In cases of joint projects, exchange of products may be made on consignment basis.
- c. The campus may explore other resource generation projects/activities together with the main campus and other external campuses.



## **RULE XVII POLICIES AND GUIDELINES ON THE USE OF UNIVERSITY LIBRARY**

### **Article 1. History and Mission**

#### **Section 1. BRIEF HISTORY OF THE UNIVERSITY LIBRARY**

The two-storey University Library started its operation in June 1980, with a collection of 2,946 volumes (consisting of 1,196 titles) turned over from the old high school library. After the books were catalogued, the library finally opened its door to the users in November 1980. Since its opening, its collection has increased to **106,459** volumes (**92,199** titles). It has also acquired a total of **5,055** serial titles (journals, newsletters, annual reports, newspapers, bulletins, popular magazines, etc.)

The present University Library has been named Ladislao N. Diwa Memorial Library and Museum (LDMLM) since its launching on 14 July, 1997, in recognition of the various contributions of Ladislao Diwa and his heirs to the library. It operates using the **OPEN SHELF SYSTEM**.

#### **Section 2. MISSION STATEMENT AND OBJECTIVES OF THE UNIVERSITY LIBRARY**

To support the University in its main thrust of field of expertise by providing adequate, updated and relevant collection of research and reference materials to its clientele composed of students, faculty and other researchers in the community.

The University Library aims to:

- Establish a collection that will provide adequate and updated materials for its clientele in the community, in particular and in the area, in general
- Encourage maximum utilization of its collection by making it readily available and accessible to the users



- Supplement instruction by coordinating with other colleges in the selection and recommendation of materials needed.

### **Section 3. LIBRARY ARRANGEMENT OF MATERIALS**

The CvSU Library uses the Library of Congress Classification System or LCC. The system groups the subjects using the capital letters of the alphabet.

## **Article 2. GUIDE TO CvSU LIBRARY**

### **Section 1. Library Users**

Regular users	–	all bonafide students, staff and faculty members of CvSU Main Campus.
Extended users	–	all bonafide students, staff and faculty members of external CvSU Campuses (library resources for room use only)
Alumni	–	graduates of CvSU could still avail of the library resources but for room use only
Visitors	–	those who are not bonafide students, staff or Faculty members of the main and external campuses of CvSU provided that they have a letter referral from librarian or head of office where they are enrolled /employed.

### **Section 2. Library Rules and Regulations**

#### **a.) General Rules**

1. Students are required to wear their official uniform when entering the library except on Wednesdays. The library shall exempt students who belong to colleges that hold activities upon presentation of request letter signed by the College Dean.
2. Library card is required for entrance to the library. This card is non-transferable. Misrepresentation by showing someone else's library card is an offense. Students caught



doing such act may be deprived of their library privileges for a period of one week.

3. A library card is issued to all students upon presentation of their Registration Form (RF) and two
4. (2) pieces of identical 1x1 ID picture. The card must be validated every semester.
5. Lost library card can be replaced upon submission of an **Affidavit of Loss** and payment of P20.00 and a 1x1 ID picture for the first offense and P30.00 for the second offense.
6. A referral letter is issued to faculty and students of CvSU who wish to do research in other libraries.
7. Other non-CvSU clientele is allowed to use the LDMLM every Thursday only upon presentation of a valid ID from their respective institutions / offices where they are enrolled / employed together with a referral letter and payment of P20.00 as library fee.

**b.) Borrowing Rights and Responsibility**

1. CvSU graduate students and undergraduate students may borrow a maximum of two (2) books (circulation) at a time.
2. Books from the circulation section can be loaned for one week and may be renewed for another week if not needed by other users.
3. Reserved books are generally for room use only.
4. Reference books, periodicals, theses and dissertations are limited to room use only and must be borrowed one at a time.
5. Books for ROOM USE ONLY (only 1 copy each title) may be borrowed for photocopying but should be returned immediately.
6. All materials borrowed must be returned on the date / time due.

**c) Hours of Service****Regular Semester**

	<b>Day</b>	<b>Time</b>
Monday –	Thursday	7 a.m. – 6 p.m. (No Noon Break)
	Saturday	8 a.m. – 12 p.m. 1 p.m. – 5 p.m.
	<b>Summer</b>	
	Monday – Thursday	7 a.m. – 6 p.m. (No Noon Break)

**d) Borrowing of Schedules**

Circulation Book:	8 a.m. – 12 p.m. 1 p.m. – 5 p.m.
Photocopying	8 a.m. – 12 p.m. 1 p.m. – 5 p.m.
Reserved Book:	4 p.m. – 8 a.m.

**e) Photocopying**

- Photocopying of theses and dissertations is strictly prohibited.
- Photocopying time is for one (1) hour only. In excess of one hour, a borrower will be charged an overdue fine of P50.00 (Room Use Only books) and P2.00 (Circulation & Filipiniana books)

**f) Lost Books**

- A lost book must be replaced immediately in the concerned section where the book was charged out
- It must be paid according to the value as determined by the librarian and must be replaced with the same title or subject but of recent edition.

**g) Fines**

- Materials returned late are subject to overdue fines:

**(Student)**

General Circulation books –	P2.00 / day
Reserved books	– P2.00 / day
Room Use only books –	P50.00 / day

- Fine includes Saturdays, Sundays and holidays.

**(Faculty)**

General Circulation book	– P10.00 / day
Reserved books	– P2.00 / day
Room Use only books	– P50.00 / day

- Borrower's with overdue books or with standing obligation to the library will not be allowed to borrow unless all library accounts are settled.

**Note:** All fees/fines collected shall be part of the University Trust Fund

**h) Security Control**

- Bags, briefcases, umbrellas, large envelopes, folders and personal books not needed for study should be deposited at the baggage counter desk (control desk).

**i) Conduct in the Library**

- SILENCE** shall be observed in the library
- A student caught/accused of marking, mutilating, destructing books and other library materials shall be suspended for one month.
- Readers are reminded that the library is primarily for serious study and research.
- Loud conversations are prohibited.
- All rules and regulations must be **strictly** followed.

**Section 3. Guidelines for Administrators, Faculty and Personnel**

- The University Library is for exclusive use of administrators, faculty members, personnel and students of Cavite State University. To use the University Library, members of CvSU faculty and staff should present a validated library ID and





borrowers card. This will enable them to borrow and use library collections in accordance with library rules.

- Administrators, faculty members and personnel may loan out a maximum of five books at a time.
- Since the University Library practices the open shelves system in circulating books (except in the Reserved section) all library clientele should leave their bags and other hand carried items at the Control Desk before entry. All valuable materials should be taken out before depositing their bags. A control number will be attached to the deposited item and a duplicate number is given to the depositor/library client.
- The loan period for library materials is one (1) week subject to renewal for another week if the collection borrowed is not in demand. Borrowed material will be recalled when it is demanded for use by other clients.
- Periodical, Theses and Reference collection (e.g. encyclopedias, dictionaries, etc.) and reserved materials are to be used within the library premises only. However, reserved materials may be borrowed by the hour and renewed for another hour if the collection is not in demand. The reserved material maybe loaned out to users for overnight use to be returned at 8 a.m. the following University service day.
- Photocopying of materials in the Reference section are not permitted. Replication of these materials may be arranged with the University Librarian if course works in some subjects require them. Materials strictly not for photocopying may be manually copied by a student to acquire the needed data.
- Lost library collections should be replaced with exactly the same material. If the lost collection is off of the market/press, a material with the same subject may be accepted upon appraisal by the University Librarian.
- If the administrator, faculty or personnel requests a representative to borrow or return for him a collection in the library, the same faculty is required to give the representative his authorization letter to be presented when borrowing or returning a collection.
- All borrowed materials should be returned before the semester/term ends. If the material will still be used, renewal of



the materials is mandatory but may be done only upon physical presentation of collection/s to be renewed.

- Signing of clearances requires the clientele to return/replace/pay the borrowed/lost collections at the University Library.

**Article 2. Administrative Policies and Procedure Introduction.** This statement of policies is intended to provide clarification on the general policies of the library with regards to the principles upon which the library collection of materials and equipment are built.

### **Section 1. LADISLAO N. DIWA MEMORIAL LIBRARY AND MUSEUM COLLECTION DEVELOPMENT POLICY STATEMENTS**

#### **a) Objectives of Collection Development**

- The library's role is to support the University in its mission of providing quality but affordable education to the socially and economically disadvantaged and of developing individuals with applied orientation in their chosen career. It is therefore the responsibility of the library to:
  1. Provide for the instructional and research needs of the academic community by initiating continuous enrichment of library resources
  2. Establish a collection that will provide adequate, updated and relevant materials for the University personnel, students and other authorized clientele
  3. Provide opportunities for end-users for fast and efficient acquisition of Information of library
  4. documents through computerized classification and access.

#### **b) General Guidelines on Collection**

In developing its collection, the library will adhere to the following general guidelines:

1. Priority shall be given to current publication of not more than ten years or materials which are of scholarly and lasting values over older and out-of-print materials. This will be observed when acquisition is limited by insufficient funds.



2. Resource sharing with other libraries and agencies shall be encouraged. Faculty members and students needing in-depth materials which are not in the collection shall be encouraged to use the library's referral service to make use of resources available in other libraries.
3. Book gifts and donations. The criteria for the selection and acceptance are the same as those for purchased materials. However the librarian shall be free to decide whether all or part of the gift should be integrated into the collection, discarded, exchanged or given to others.
4. Library materials essential for the informational needs of each subject area.
5. Size of the faculty and student enrollment in the University.
6. University priority researches.
7. Average cost of books in each field or subject areas.

All the materials acquired with funds allocated in the library become property of the library and are available for use of the CvSU community.

#### **c) Collection Development Responsibilities**

- The selection of library materials is a joint responsibility of the academic community and the Librarian.
- The academic staff is encouraged to submit requests and recommendations in the specialized subject areas to ensure more depth and comprehensiveness of the collection. Any information on new research and programs should be communicated to the library as these may assist in meeting / fulfilling the literature requirements of those programs.
- The librarian in turn shall play a referral role in informing the staff of what has been published.

The following is the selection responsibility for the various categories of materials:



- Subject collections. For the current and retrospective standard works in each field, as well as for scholarly journals on the subject areas, the responsibility lies heavily on the faculty in coordination with the Librarian.
- General collections. These refer to books covering current and background material which are not narrowly specialized, but cut across lines of academic disciplines. These include title important in their own right regardless of the immediate demand of the curriculum. Responsibility for the selection of these materials shall lie chiefly with the Librarian. However, faculty and student recommendations shall be encouraged and welcomed.
- Reference collections. These include materials for consultation and bibliographical investigation (dictionaries, encyclopedias, indexes, abstracts, bibliographies, yearbooks, etc.). The selection of these materials shall be the joint responsibility of the Librarian and the faculty members.

**d) Collection Development Methodologies**

- One method of acquiring current monographic materials is through the use of the standard selection tools such as book reviews in journals, catalogs, price
- list, quotations, etc. These are circulated to the different units inviting them to recommend.
- Another way is through approval plans (where books are sent for examination) with selected book jobbers. The materials are circulated for examination by the staff for a period of two to three weeks.

**e) Forms of Library Materials**

To be collected for inclusion in the collection are the following:

**I. General reference collection**

This is the non-circulating collection of materials designed to provide quick access to factual information in all subject fields.



Materials shall be collected primarily in book form  
These include the following types:

- Almanacs
- Atlases & Gazetteers
- Bibliographies
- Biographical Dictionaries
- Dictionaries & Handbooks in all related fields
- Directories of people, institutions, firms official bodies in all fields
- Encyclopedias
- Indexes
- Statistical Yearbook

#### **i. Subject references**

Titles in all related subjects shall be included in this collection as per informational needs and programs of the different units.

#### **ii. Serials / Periodicals**

Serials shall be acquired for the following reasons:

- To provide materials not available in books.
- To provide for the research needs of the clientele.
- To keep the collection up-to-date.
- To keep the staff and students informed of the recent development in the subject fields.

Whenever necessary and the budget allocation is sufficient, the library shall establish a standing order for selected serials to guarantee their receipt on a confirming basis.

#### **iii. Newspapers**

Subscription to several national newspapers is maintained to provide news coverage that meets the research needs of the library clientele. Files of newspapers shall be maintained and retained for a



period of two years after receipt. For other newspaper, the students and staff shall be referred to the national Library which includes in its services the binding, housing and indexing of the national and provincial dailies.

#### **iv. Pamphlet Material / Vertical File Materials / Reprints**

Pamphlets, vertical file materials, and reprints shall be added based on the following criteria.

- Subject content
  - a) Should meet information requirements of the different units.
  - b) Should be current or up-to-date.
- Physical format
  - a. Normally less than 30 pages.
  - b) Soft cover binding.
  - c) Ranges from newspaper clippings to printed scholarly reports.

#### **v. Filipiniana Materials**

These will include monographs and materials of research values written by Filipinos, about the Philippines and the Filipinos, about Philippine flora and fauna, Philippine archeology, etc., published in the Philippines and overseas.

#### **vi. Government Document**

These are to be selected based on the information and research needs of the units. This will be acquired through purchase or solicitation. Included here are periodic documents as Philippine Statistical Yearbook, Labor and Employment Statistics, etc.

## **II. Microform Collection**



In the selection of audio visual material, the same policies and objectives applied to book selection will be used.

Other considerations include color reproduction, quality of photography and compatibility with available equipment.

Format will include filmstrips, video cassettes, slides, microfiche and tapes. CD-VCD collection shall be maintained. A space for user-friendly computers to look at materials accessed through CD-VCD shall be provided.

There shall be provision for the use of internet in the library.

## **Section 2. Weeding and Discarding**

Weeding is the removal of materials from the primary collection area of the library. It is considered as an integral part of the total organized effort to study and organize the collection. This may result in:

- Relocation of material from one collection to another, say from reference stacks to circulating stacks;
- Relocation to a secondary collection such as storage stacks; and
- Discarding of materials altogether.

### **a) Characteristics of materials for withdrawal or discarding:**

- Excess duplicate copies of seldom used or borrowed titles which only occupy the much needed shelf space.
- Materials which contain inaccurate, mediocre or outdated information for the field of specialization.
- Copy has many missing pages and is badly damaged or extremely mutilated.
- Paper has become brittle and extremely yellowed.
- Cost of rebinding is more expensive than the cost of the original book unless this already unavailable.
- Numbers of sufficient copies are available even without it.

### **b) Procedures for weeding**

1. Pull out the books that do not meet the criteria for consideration in the selection of books and monographs.



2. Pull out books that possess the specified characteristics of materials for withdrawal.
3. Pull out all entries from the card catalog for the books that have been withdrawn or to be discarded.
4. Pull out shelf list card and stamp as cancelled and file for future reference such as library reports, etc.
5. Note the items discarded in the remarks column of the Accession Book.
6. Stamp the withdrawn book and dispose them off in the manner recommended by the Library Advisory Committee and in accordance with COA rules and regulations.

### **Section 3. Referral Service / Resource Sharing**

- This service provide the library with a cost valuable means of augmenting limited resources and supports its philosophy of resource sharing.
- The library provides referral letters to students and staff of CvSU for the use of other libraries upon request. In turn, the CvSU Library serves the student and staff of other institutions when they are referred to the CvSU Library.
- Interlibrary agreement with other libraries shall be entered into.
- The library shall participate in networking and shall be involved in consortium and with cooperative activities in resources sharing with other institutions.

### **Section 4. Book Selection and Acquisition**

#### **Book Selection**

- Book selection involves both personal knowledge of many factors and professional judgment. As knowledge of the reader's preference and needs is as important as the selector's knowledge of books. The Library, in adherence to its objectives, adopts the book selection principle "to give the right book to the right reader at the right time".





- Book selection tools published either by local or foreign publishers are indispensable aides in selecting current and relevant materials which will meet the various needs of the library clientele
- Book selection is a joint responsibility of the academic staff and the librarian. Book titles recommended for purchase shall be forwarded to the library for purchase.

### **Book Acquisition**

- The general principles applied to book selection and acquisitions is to build a collection that is as comprehensive and balanced as possible, with enough materials on various subjects to satisfy the diverse interests and needs of the clientele.

#### **a) Procedures to Acquisition**

##### **1. Preliminary activities**

1. Want list / recommendations received
2. Sort by type (current-local; current-foreign; out-of-print); arrange alphabetically by author; sort for duplicates altogether.
3. Establish bibliographic data using selection tools available as to: author, title, place of publication, date of publication, publisher, edition, volume no., copyright date, series and price.
4. Establish library's need for the material.
5. Check card catalog for present holdings, ordered file and in-process file.
6. If item is already in the collection, return request slip / want slip indicating the number of copies in the holdings. Requestor must make it clear if second or additional copies are still needed.

##### **2. Requisitioning**

1. Prepare requisition.



2. Forward requisition to President for approval and authorization to spend the fund.

### **Procedure for Requisitioning of Books**

Requirements for Purchase Order using three (3) dealers.

- **Canvass Form** – for quotation of prices from three (3) different dealers. Lowest price quotation by a dealer wins.
- **Abstract of Canvass Form** – shows the compared prices of three dealers.
- **PR** – Purchase request of end user.
- **Certificate of Distributorship**, if necessary – Certificate of the winning dealer that he is the exclusive distributor of the books to be purchased.
- **Purchase Order form** – Approved copy of P.P. received and signed by the distributor and attached to the voucher form.
- **ROA** – Request for Obligation of Allotment – contains the computation of prices of the books for purchase.

### **c) Requirements for Purchase Order Using Exclusive Distributorship**

- **PR** – Purchase Request of end user.
- **Certificate of Exclusive Distributorship** duly notarized.
- **Certificate of requisitioned** that no suitable substitute of substantially the same quality is / are available for the materials / supplies /



equipment which are exclusively manufactured and distributed.

- **Purchase Order Form** – Copy of approved P.O. to be received and signed by the distributor to be attached to the voucher form ROA.

#### **d) Purchasing Periodicals / Renewal Subscription**

##### **Requirements:**

- **PR** – Purchase Request to be filled out by requisitioner for renewal of periodical subscribed.
- **Renewal notice / subscription bill** – from the company from which the periodical is subscribed for renewal.
- **Certificate of Acceptance** – that the previous periodicals have been received.
- **Voucher Form** – with voucher number indicated on the face of the voucher and on every supporting document; attach original supporting document such as bills, invoice, receipts, PR, Certificate of Acceptance, etc.

#### **e) Ordering**

1. Receipt of approved requisition from the Office of the President (OP) with appropriate requisition number.
2. Prepare P.O. and send it to dealer for signature.
3. Ask invoice from dealers and attach to P.O.
4. File Want Slip / Recommendation Slip in On Order File (OOF)

#### **f) Payment of Invoices**

1. Invoice received from dealer.
2. Prepare disbursement voucher and submit for approval.
3. Notify dealer by telephone when check is ready.

#### **g) Receiving**



1. Unpack the shipment.
2. Check each item received against the packing slip / delivery receipt and claim missing items.
3. Examine the physical condition of each item received, set aside defective item and have them changed.
4. Stamp each item received with the library stamp of ownership.
5. Pull out In – Process slip for each item from OOF indicate the date the item was received.
6. File the IN – Process slip in the In – Process File (IPF) in the processing / cataloging room.
7. Process / catalog the books received.
8. After the books have been processed and their catalog cards have been filed, pull out the In – Process slip from the IPF and file for future reference (e.g. list of new acquisition, annual reports, etc.)
9. Shelf the processed books in their proper place in the stacks.

## **Section 5. Procedures and Processing of Materials**

### **Books / Pamphlets**

1. Check / examine
2. Collate
3. Stamp ownership
4. Accession and record
5. Classify and catalog
6. Type book cards, book pockets and shelf list cards
7. Paste book pockets and date due slip
8. Label
9. Cover the book
10. Shelf the book / file the cards in the catalog.

### **Periodicals**

1. Stamp ownership
2. Record
3. Index
4. Shelf / file

### **Vertical file**



1. Cut and paste / collect material
2. Stamp ownership
3. Assign subject
4. Type card
5. Place in folder and label
6. File material by subject
7. File card in catalog



## Section 6. Library Operations Workflow

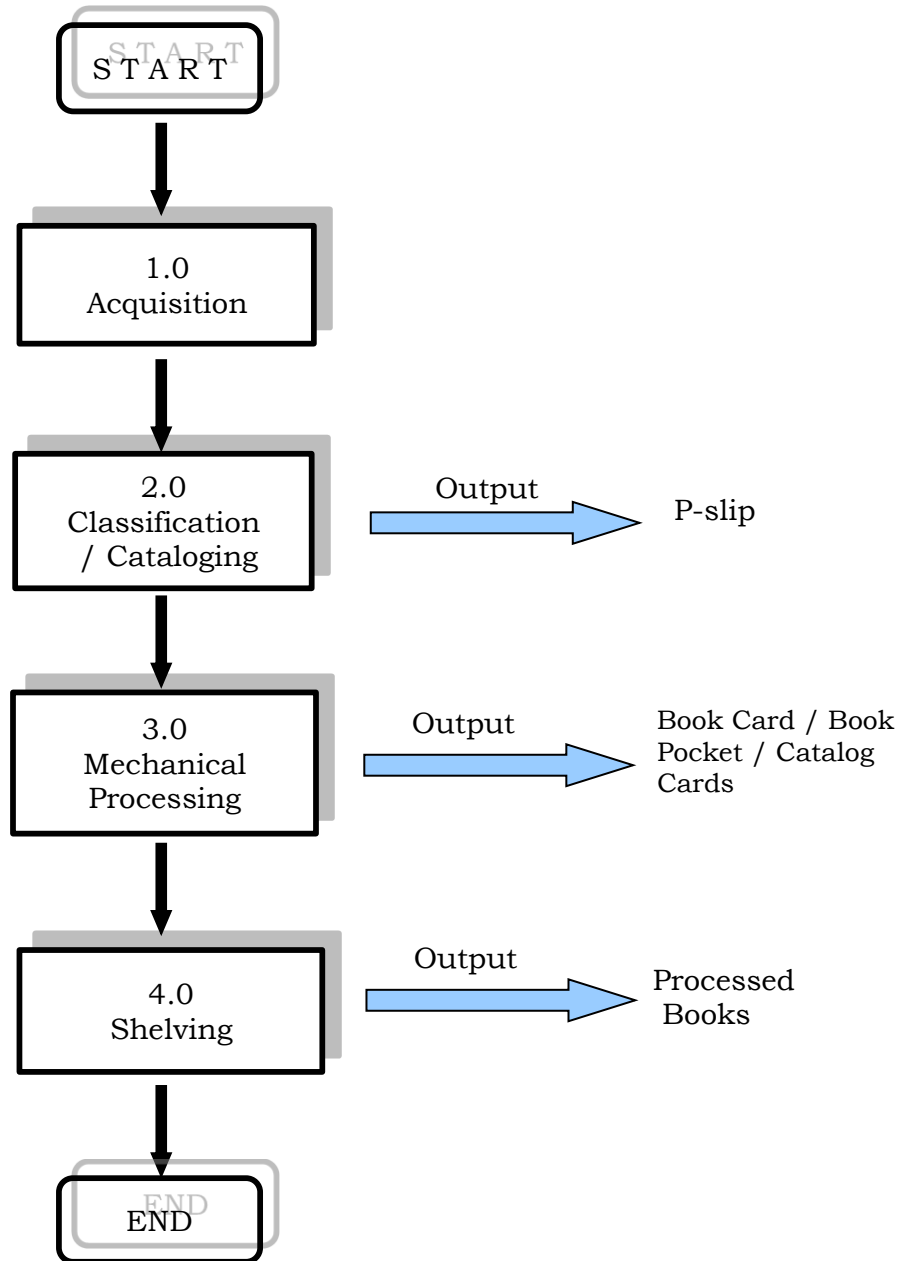


Figure 1: Technical Services Workflow

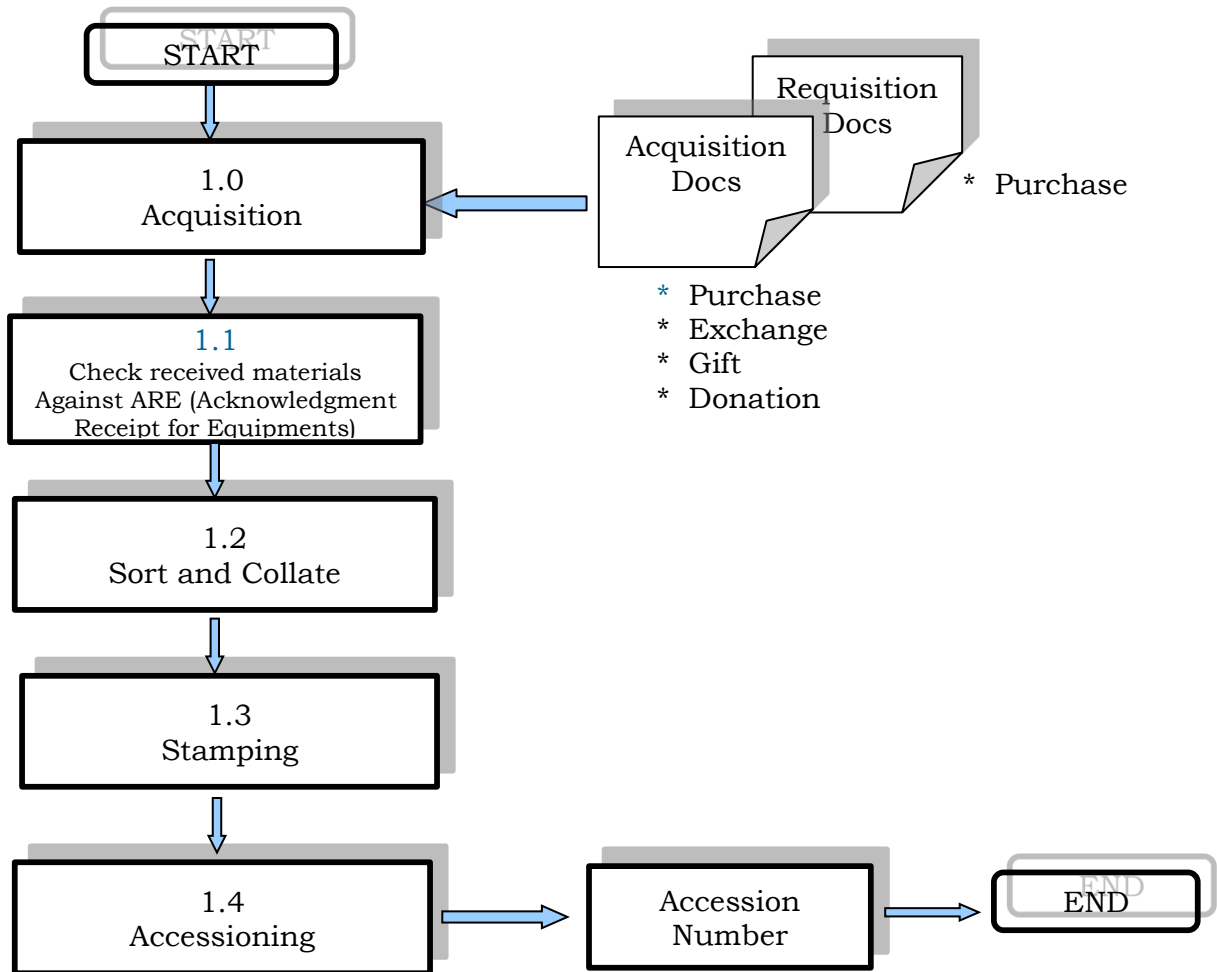


Figure 2: Acquisitions Workflow

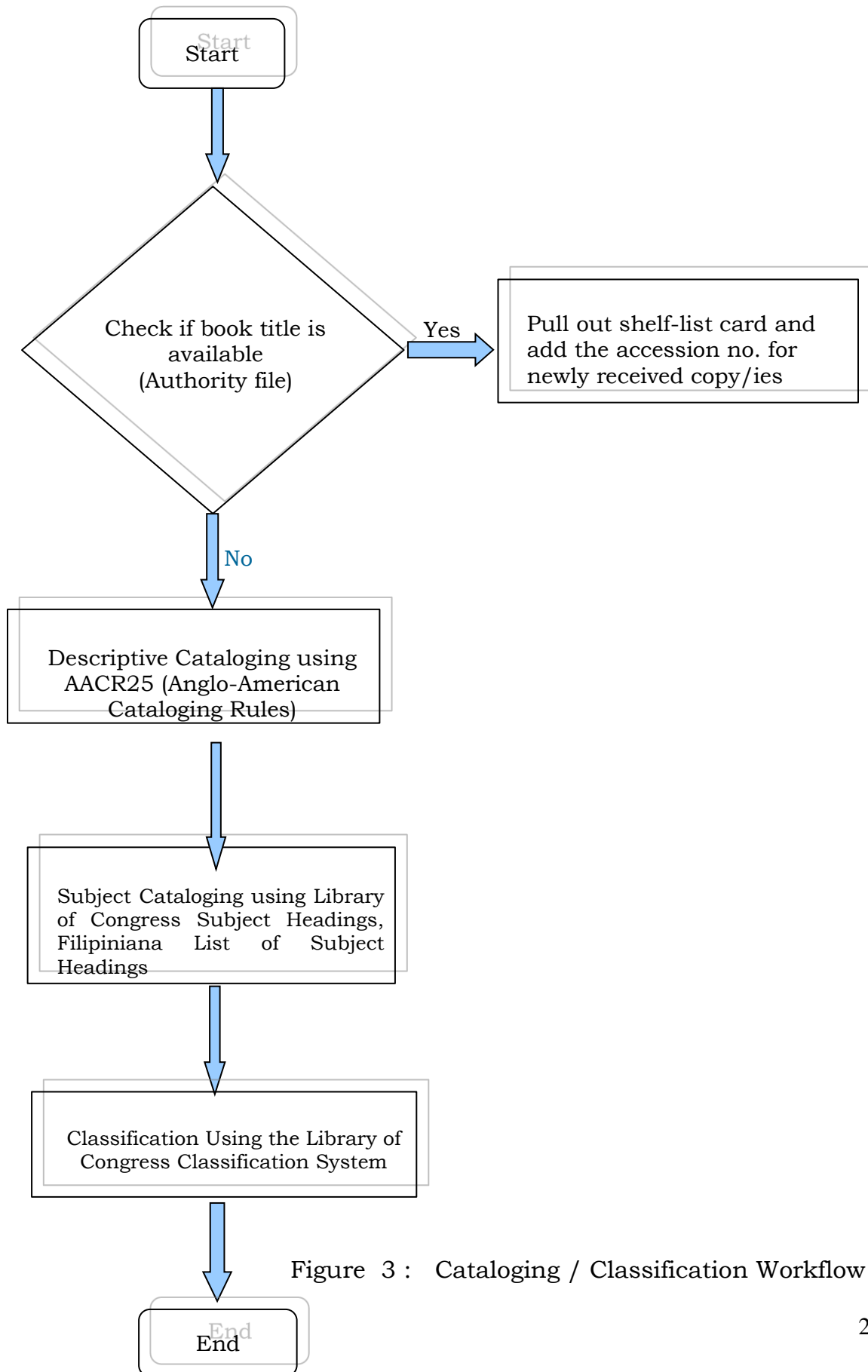


Figure 3 : Cataloging / Classification Workflow



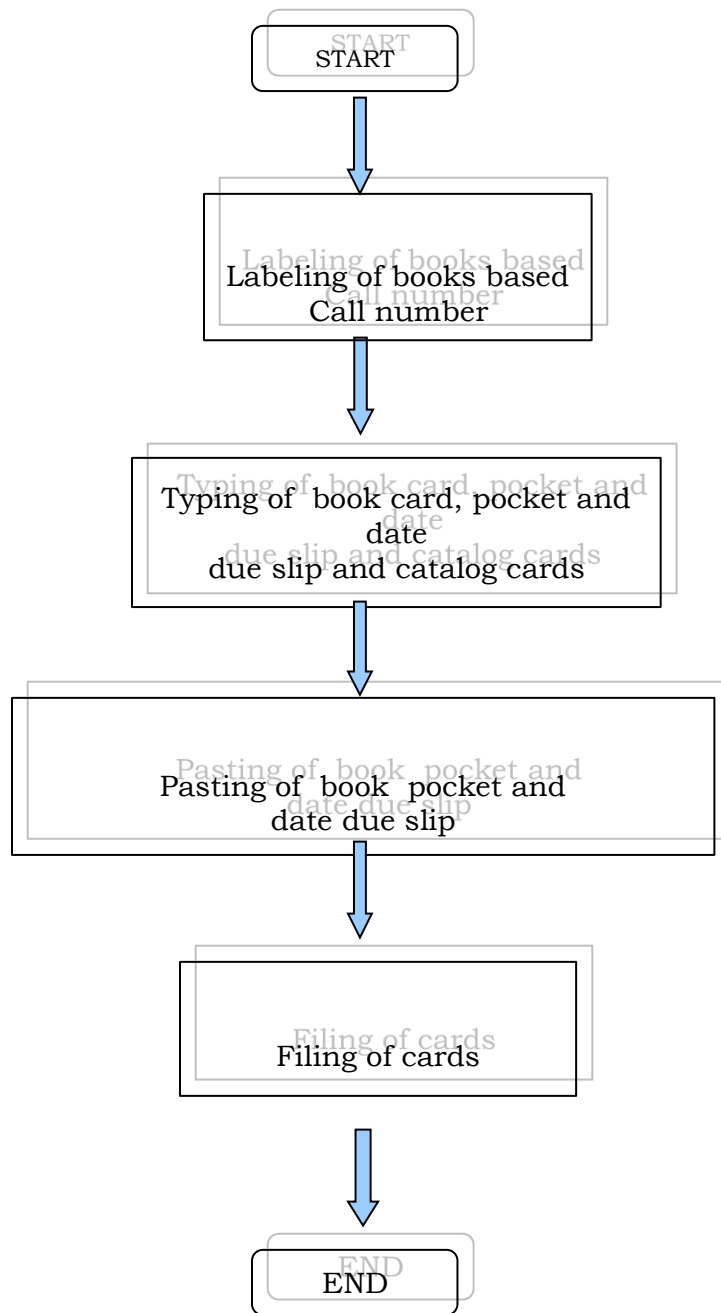


Figure 4: Mechanical / End Processing

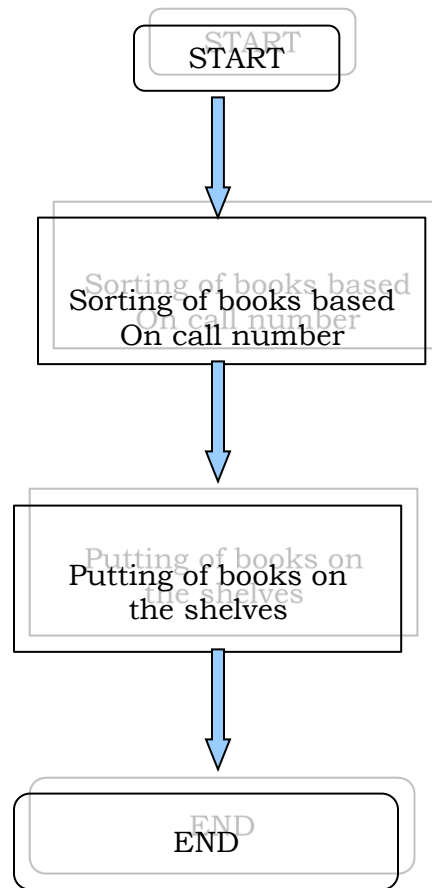


Figure 5. Shelving



## **Section 1. Job Description**

### **a) Position: University Librarian**

Specific Duties:

#### **1. Policy Making and Planning**

- To formulate objectives of the library that are reflective of the mission and objectives of the institutions
- To determine requirements for books, periodicals, equipment, and supplies for the current year
- To establish a system for acquisition of the capital resources and facilities of the library
- To formulate and implement policies and development programs for the library-holdings, staff, and facilities
- To plan and schedule the annual library development program and to prepare the annual library reports
- To prepare and recommend budget proposals for books, library materials, and equipment
- To recommend plans for library improvement.

#### **2. Organization, Implementation and Control**

- To supervise and control the operation of the library and to implement the rules and guidelines governing the use of its facilities and capital resources
- To conduct library orientation sessions/lessons to students in coordination with the Dean of Student Affairs
- To supervise the library staff
- To file library records and correspondence
- To attend faculty meetings and other similar professional gatherings of the institutions
- To participate in conferences, seminars, and workshops related to academic library management and services



- To establish linkages with various individuals or agencies those are possible sources for the development/improvement of the library.
- To evaluate the performance of the library personnel and the library programs and services
- To prepare annual and periodic reports of the library
- To receive, approve, and act upon requisition of services from the different departments/offices directed to the center
- To advertise the university library's services and resources among faculty and students
- To act as secretary to the Library Committee
- To conduct, encourage, and participate in studies geared toward the upgrading of the programs and services of the university library
- To develop and maintain a set-up and work climate that will ensure operational work efficiency in the library.

Reports to : Vice President for Academic Affairs

Supervises : University Library Staff

Coordinates: College Libraries

**b) Position : Librarian - Technical Services**

Specific duties:

**1. Selection and Acquisition**

- To participate in the selection and acquisition of books, serials/journals and non-book materials to support the curricular offerings and research related activities of library customers
- To assist in the performance of the financial requirements for transactions made from collections selected and acquired
- To assist the head in the monitoring of financial accounts expended through acquisition activities of the library
- To collate and access selected and acquired collections

**2. Classification and Cataloging**



- To classify, assign subject headings, and prepare process slips and different catalogue cards for newly-acquired library collections
- To assist in the proofreading of new catalog cards before filing these in catalog cabinets
- To prepare bibliographic entries for newly acquired collections
- Encode library collection in the Athena Software.

### **3. Inventory**

- To initiate the inventory of the different sections of the university library
- To make an annual inventory report of the material collections of the library
- To file reports related to the technical services of the university library and submit a report of this to the unit head.

**c) Position: Librarian -  
Circulation/Reserve/Filipiniana/Reference and  
Periodical**

Specific Duties:

#### **1. Circulation Service**

- To render circulation service to users and implement the circulation policy of the library;
- To supervise:
  - the filing of catalog cards in the card catalog cabinet;
  - the shelf reading of books in the circulation section of the library;
  - the operation of the section and the implementation of the circulation policy;
  - the library aides assigned in the section; and
  - the display of newly-acquired collections of the university library
- To prepare the statistical report on circulation and submit it to the office of the university librarian for consolidation;
- To charge out and take in borrowed books

#### **2. Reserve Collection Service**



- To charge out or receive borrowed books and implement the policy for Filipiniana collection
- To monitor the operation of the section
- To prepare a statistical report of the use of Filipiniana collection.

### **3. Reference Services**

- To supervise the shelving of books in the reference sections
- To coordinate with the library staff on matters related to research needs of users
- To keep a record of all reference queries
- To implement the circulation policy of collections in the reference and periodicals section.

### **4. Periodical Services**

- To receive periodical deliveries and make periodical subscriptions accessible to users
- To acknowledge receipt of periodical subscriptions to facilitate eventual payment
- To perform statistics of periodicals used by clients and make monthly performance report
- To build subject headings of information file materials (vertical file) from flyers and/or back issues of periodicals received by the library
- To index locally subscribed periodical collections.

#### **d) Position : Library Aide**

##### **Job Description and Responsibilities:**

- Check out books and file cards.
- Record daily circulation.
- Card returned books and return them to the shelves.
- Keep a record of overdue books and send recall notices.
- Collect payments for lost books.
- Administer the Interlibrary Loan Program.
- Log, label, shelve and file periodicals.



- File new catalog and shelf list cards in their respective catalogs.
- Inventory all library and audio visual materials annually.
- Maintain bulletin boards.
- Maintain the library in a neat and orderly manner.
- Weed the collection on an ongoing basis and note books to be replaced, repaired or discarded.
- Help prepare for audits.
- Attend pertinent seminars and workshops.
- Repair books and magazines as necessary.
- Provide quick reference assistance to students and faculty.
- Perform other job related duties and responsibilities as assigned.

**e) Position : Library Clerk**

**Job Description and Responsibilities:**

- Provides circulation service with a customer friendly attitude.
- Registering patrons, charging and discharging materials, weekly running the overdue materials report, and notifying patrons of overdue materials by phone, e-mail, or postal mail.
- Helps patrons locate materials in the library.
- Maintains the book, reserve, magazine, and newspaper collections. Duties include placing materials on reserve, shelving books, filing/weeding magazines and newspapers, and shelf reading.
- Compiles and maintains library statistics in an orderly manner.
- Processes library materials by stamping ownership, attaching labels, attaching book covers, etc.
- Maintains the weekly staff schedule.
- Other duties as assigned.

**f) Position : Maintenance Personnel/Utility Men**

**Job Description and Responsibilities**

- Maintains the cleanliness and orderliness of the university library environment ;



- Assists section librarians in handling/transfer of heavy furniture;
- Monitors continued supply of water for restrooms and lavatories;
- Assists in the control area when needed
- Get supplies and other office materials from the Supply Office.

Reports to: University Librarian

**g) Position : Student Library Assistants**

The student library assistants assist the library staff in:

- Structuring (pasting & labeling) of information file materials
- Shelving and shelf reading of books
- Recording statistical data of users and book loans
- Housekeeping and maintenance of cleanliness relevant to their assigned work.





## **RULE XVIII**

### **UNIVERSITY PROFESSIONAL REVIEW CENTER**

- This operations manual is intended exclusively for use of Cavite State University which will serve as a set of policies and guidelines on the operation and management of CvSU Review Center.
- The establishment of the University Professional Review Center (UPRC) was approved on 31 July 2007 per BOR Resolution No. 56, s. 2007 with the following objectives:
  - a. increase the percentage of passing rate in the different licensure/board examinations
  - b. develop a pool of experts/ professionals in the different fields within the University
  - c. assists graduates and non-graduates of CvSU by offering them ready access to quality review
  - d. generates funds for the University
- The UPRC serves as the umbrella of all units offering review classes. It is one of the new offices of the University that envisions operating as an independent but sustainable unit.

**Article 1. Organizational Structure and Personnel.** The UPRC is organized directly under the Office of the Vice-President for Academic Affairs and is



headed by a director. Under the Director are the heads of the three committees: Promotions, Research, Monitoring and Evaluation and Examination and Review Materials Committee. Review Coordinators of the different colleges and campuses will also work with the Center.

The specific duties and responsibilities of the Center staff are as follows:

**A. UPRC Director:**

- a. takes charge of the over-all management of the center  
— — — —
- b. prepares guidelines and schedules of reviews
- c. coordinates with the deans of colleges and campuses with regard to the conduct of the reviews and organization of university review group
- d. holds regular meetings with the panel of reviewers from the different colleges/campuses, otherwise known as the University Review Group
- e. prepares the annual budget of the center
- f. heads the committee to evaluate the capability of private review centers to be commissioned as partners
- g. Performs other functions deemed necessary

**B. Head, Promotions Committee**

- a. invites experts from other reputable institutions/ agencies as resource lectures
- b. invites previous members of the Board of Examiners as resource speakers
- c. invites board/ licensure passers to speak before the reviewees for important pointers
- d. takes charge of all promotion-related activities of the University Review Center
- e. performs other functions deemed necessary.

**C. Head, Research, Monitoring and Evaluation Committee**



- a. assists the Center Director in evaluating private review centers to be commissioned as partners;
- b. monitors and evaluates the efficiency of the examinations being administered
- c. monitors and evaluates the efficiency of the review materials being given
- d. informs concerned parties on the results of the monitoring and evaluation conducted to help in the formulation of more efficient examinations and review materials; and
- e. performs other functions deemed necessary.

#### **D. Head, Examinations and Review Materials Committee**

- a. finds out competencies that are required in the examination subject for review
- b. prepares comprehensive review materials based on required competencies and course contents. If possible, each reviewer shall prepare at least 300 items in conducting review class
- c. secures copies of previously administered board/licensure/other examinations and utilizes them in conducting review classes
- d. administers pretests and posttests/preboard examinations to identify the weaknesses of the reviewees and conducts remedial measures to correct these weaknesses; and
- e. performs other functions deemed necessary.

#### **E. Review Coordinators**

- a. recommend to the College Dean and UPRC Director the panel of reviewers and hold regular meetings with the group;
- b. coordinate the preparation of review materials based on the required course contents and competencies;
- c. facilitate review classes in coordination with the Review Center Director:



1. prepare guidelines and schedule of review classes
  2. coordinate the preparation and submission of review, pre-test and pre-board examination questions
  3. coordinate the speedy preparation and release of Diploma and TOR of reviewees, and application for licensure examinations
- d. assist the Center Director and Head of Research, Monitoring and Evaluation in evaluating the capability of private review centers to be commissioned as partners;
  - e. prepare and maintains the database of reviewees, board takers and passers
  - f. assist the Head of the Promotions Committee in promoting the review-related activities of the college
  - g. assist the Center Director and Head of Research, Monitoring and Evaluation in the conduct of researches related to licensure examination
  - h. perform other duties as assigned by higher authorities

**F. Liaison Officer**

- a. coordinates with the deans and review coordinators of colleges and campuses with regards to the conduct of the reviews
- b. facilitates the communication between the UPRC and the colleges/campuses
- c. performs other duties deemed necessary

**G. Panel of Reviewers**



- a. prepares Review Modules based on required competencies and course contents
- b. prepares a set of examinations for pre-test, post-test and /or pre-Board. The examinations should approximate the format given in the board/licensure examinations.
- c. handles review classes diligently
- d. makes a comprehensive monitoring and evaluation of the students reflective of their attendance, behavior and performance

## **Article 2. Selection of Review Partners and Reviewers**

### **A. Review Partners**

The following criteria shall be considered in selecting agencies/review centers for specific disciplines as partners:

- a. With CHED licenses to operate and conduct review classes
- b. Reputability in terms of the ability of the center to produce high passing rates in the board/licensure examinations as evidenced by the number of board/licensure topnotchers produced and passing rates of groups/schools handled
- c. Availability of efficient, effective and capable resource speakers in all areas covered by the examinations as evidenced by their reviewers' profile
- d. Sufficiency of quality review materials and hand-outs as evaluated by a panel of evaluators from CvSU
- e. Affordability of review fee
- f. Commitment and concern of the center to help CvSU graduates obtain passing rates in the board/licensure/other examinations

After a partner has been identified and prior to official start of review sessions, a memorandum of agreement (MOA) between the Head of the agency and the University President will be signed. This will be witnessed by VPAA,



UPRC Director and the concerned Dean and a representative from partner agency.

To facilitate the implementation of review programs, partnership with professional organizations will be considered. UPRC will also keep updated with PRC advisories.

### **B. Panel of Reviewers**

The following shall be the criteria for selection of Reviewers:

- a. Faculty or employee the University with minimal lateral assignments and is a specialist or handling courses included in the board/licensure examinations
- b. must have the rank of at least an Assistant Professor, or a board passer, or must have taught in the collegiate level for at least two years

### **Article 3. Conduct of Review Classes and Schedule**

**The schedule of the annual review classes shall be as follows:**

College of Veterinary Medicine and Biomedical Sciences	}	April to June
College of Agriculture, Forestry, Environmental and Natural Resources		
College of Education-		May to August
College of Economics, Management and Development Studies		November to May

College review coordinators shall prepare proposal for the review three months before the review date. Proposal for the conduct of the review classes shall be submitted to UPRC for the endorsement to the President. The proposal shall include the review schedule, competencies, and schedules, designations of reviewers, honoraria, incentives and budgetary estimates.

Upon approval of the proposal, announcements/promotions of the review classes shall be undertaken through posters, tarpaulins and posting in the CVSU website by the UPRC.

Moreover, college review coordinator will facilitate the conduct of the review workshop which aims to update/prepare review modules & review questions. Prepared materials shall be submitted to the evaluation committee of UPRC.



College review coordinators shall also facilitate the registration and conduct of orientation. The orientation shall cover the following topics: schedule of the review, requirements for licensure exam application, house rules, etc. Monitoring of attendance & performance of the reviewees will also be undertaken. The UPRC monitoring committee shall likewise evaluate the conduct of the review.

Evaluation of the review classes by the reviewees right after each topic shall be conducted. In addition, pre-Board/Mock board examination shall be administered upon completion of the review classes facilitated by the review coordinators. Announcement of the result shall be done during the post-review activity. Likewise, final briefing for the actual board exam will also be done.

Certificate of participation shall be awarded to the reviewees who completed the review classes. Likewise, certificate of recognition will also be given to the reviewers.

**Section 1. The Review Center shall be open to graduates of other institutions**

Reviewees, upon registration, will be required to pay 100 percent of the fees. Payment will be done at the Cashier's office. Official receipts will be recorded in the concerned college and the UPRC.

Prospective graduates and/or graduates apply  
for review

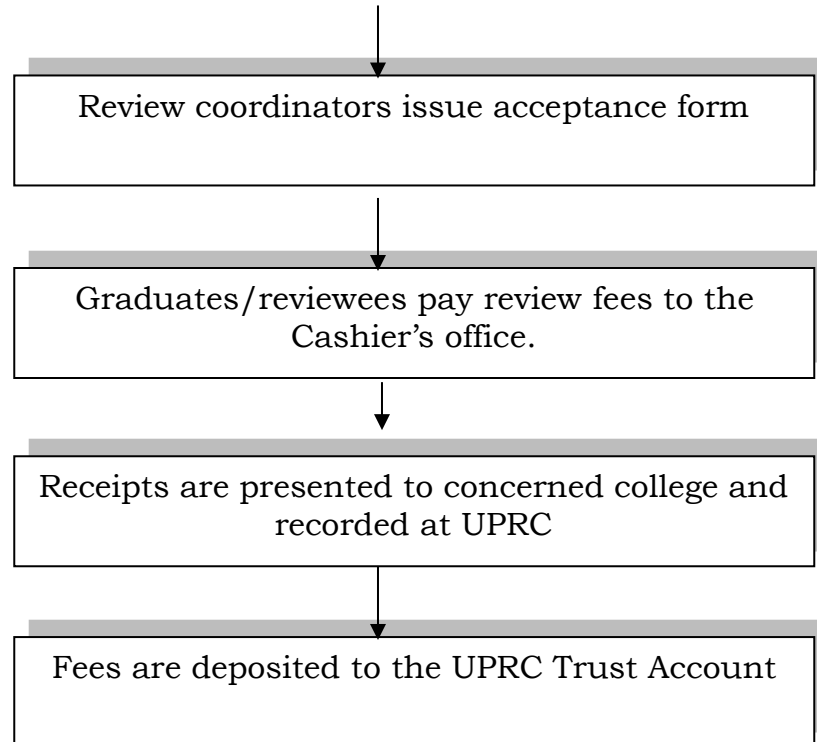


Figure 1. shows the process flow of fee collection.

#### **Article 4. Funding and Resource Development/Financial Management**

The UPRC was put up on the assumption that it is self liquidating. However, because it is still new, initial funds should come from a portion of the University budget. However, additional funds will later





come from the review fees the amount of which will vary depending on the program, college and from year to year. The fees will be deposited to the account (trust) of UPRC and these shall be used to defray the cost of review materials, honoraria of reviewers and technical management group or personnel and other incidental expenses. Income that will be generated will be used in the procurement of equipment and supplies for smooth operation of the Center.

Since the UPRC is in its infancy stage, proposals for resource generation and budget allocation will be prepared.

After each review program, financial report and operating expenses shall be reported by the Unit concerned to the UPRC. All financial transactions shall be noted by the college dean, to be recommended by the UPRC director and approved by the VPAA and/or the University President.

## **Article 5. Incentives**

### **A. Board Passers**

Board passers will be given recognition on form of streamers and testimonial lunch/dinner. Board placers will receive plaques of recognition and cash incentives of Php 10,000.00 each for top 1 to 3 while PhP 5,000.00 each for top 4 to 10.

### **B. Reviewers**

Reviewers will receive an honorarium of ideally 500 to 1,000 pesos per hour but this will depend on the number of reviewees and available funds to support the giving of honorarium and other operating expenses. Therefore, if the number of reviewees did not meet the quota, lesser amount of honorarium will be given to reviewers.

Reviewers may also be given cash incentive for every module/review material prepared and published.

### **C. Research, Monitoring and Evaluation**

An annual analysis of the results of licensure/board/other examinations shall be conducted to find out the weaknesses of



graduates/reviewees so that appropriate means may be devised to address such weaknesses.

#### **Article 6. Data Bank**

- UPRC will serve as depository of all review materials and relevant pieces of information pertaining to the operation of the Review Center. Likewise, records of all takers and board passers in all campuses will be its main concern.

#### **Article 7. Reviewees-Related Policies and Guidelines**

1. Attendance in review classes should be encouraged among CVSU graduates before they take the licensure examinations.
2. Outsiders who are interested to attend the review classes in the university can be accepted provided that they will abide to the rules and regulations of the CvSU Review Center.
3. In cases when there is a need to start the review sessions early,(i.e. students have classes like BS Nursing schedules will be properly arranged.
4. Students shall be confined in designated review classrooms properly ventilated, with adequate learning space and conducive for review activities.