



**DEPARTMENT OF BUDGET AND MANAGEMENT
COMMISSION ON HIGHER EDUCATION**

JOINT CIRCULAR NO. 01, series of 2023

Date: July 19, 2023

**TO : ALL HEADS OF STATE UNIVERSITIES AND COLLEGES
DIRECTORS OF DBM AND CHED REGIONAL OFFICES
AND ALL OTHERS CONCERNED**

SUBJECT : SUPPLEMENTAL GUIDELINES AND AMENDMENTS TO DBM-CHED JOINT CIRCULAR NO. 3, SERIES OF 2022

The Department of Budget and Management (DBM) and the Commission on Higher Education (CHED) issued Joint Circular (JC) No. 3, series of 2022 on October 18, 2022 to establish and prescribe the rules and regulations governing the implementation of the guidelines for the reclassification of faculty positions in state universities and colleges (SUCs).

In order to ensure uniform implementation of the evaluation criteria and guidelines across all SUCs in the country and to clarify issues and concerns that were not specifically stated in the JC, the following supplemental guidelines and amendments to DBM-CHED JC No. 3, s. 2022 is hereby adopted and promulgated:

ARTICLE I – AMENDMENTS TO DBM-CHED JC NO. 3, s. 2022

Section 1. Table 2.1 of DBM-CHED JC No. 3, s. 2022 is corrected to read as follows:

Table 2.1 Point System

Key Result Areas	Pts	Maximum Pts
1. Instruction a. Teaching Effectiveness b. Curriculum and Instructional Materials Development c. Thesis, Dissertation and Mentorship Services	60 30 10	100
2. Research, Invention and Creative Work a. Research Outputs b. Inventions c. Creative Works	100 100 100	100

Key Result Areas	Pts	Maximum Pts
3. Extension Services a. Service to the Institution b. Service to the Community c. Extension Involvement	<u>30</u> <u>50</u> 20	100
4. Professional Development For All Faculty a. Involvement in Professional Organizations b. Continuing Development c. Awards and Recognitions *For New Entrants Only a. Academic Experience b. Industry Experience	20 60 20 10 10	100

**Serves as bonus indicator to newly appointed faculty members from HEIs or industry who have not yet undergone the reclassification process. However, the maximum points will still be 100."*

Section 2. Item 8.4 of DBM-CCHED JC No. 3, s. 2022 is revised to read as follows:

- 8.4 There are selected indicators in KRA IV that are equivalent to automatic one sub-rank reclassification.
- 8.4.1 Completion of a doctorate degree shall be given automatic one sub-rank reclassification, subject to the conditions specified in KRA IV, Criterion B, item 1.4 of Annex II. This shall only be applicable to positions from Instructor I to Associate Professor IV positions.
- 8.4.2 National or International Awards received by the faculty from recognized organizations specified in KRA IV, Criterion C, item 1.2 of Annex II.

Section 3. Item 12 of DBM-CCHED JC No. 3, s. 2022 is amended to read as follows:

12. Funding Source

- 12.1 The expenses to be incurred by the Institutional Evaluation Committee (IEC), Regional Evaluation Committee (REC), Evaluation and Accreditation Committee (EAC), and Certification Committee (CC) during the evaluation process will be fully subsidized by the SUCs. The funds needed shall be charged against the internally generated income of the SUC, in accordance with existing policies and guidelines for the use of such income.

ARTICLE II – SUPPLEMENTAL GUIDELINES AND AMENDMENTS TO ANNEX II

Section 4. Supplemental Guidelines for KRA I: Criterion A, Indicator 1

Faculty Performance Evaluation by Students and Supervisors for Existing Faculty Members

1. For the initial evaluation cycle (July 1, 2019 to July 31, 2023), the faculty may still use the results of the student evaluation from randomly selected students based on the existing instrument for Teaching Effectiveness prescribed by the previous PASUC Zonal Centers.
2. In the subsequent evaluations starting August 1, 2023, the student evaluation results must be based on a new evaluation instrument. The SUCs shall institutionalize a mechanism that will allow all students to evaluate their faculty in all of their classes within the set institutional faculty evaluation period.
3. For the initial evaluation cycle, the divisor that will be used in the computation of the average student and supervisor's evaluation shall be eight (8) semesters.
4. The following are considerations for faculty members who were appointed to a permanent plantilla position within the evaluation period:
 - a. If the newly appointed faculty was a previous faculty of the SUC on probationary or part-time status, the student and supervisor's evaluation results prior to their appointment shall be considered.
 - b. If the newly appointed faculty was a previous faculty from another SUC whether on probationary, part-time or permanent status, the student and supervisor's evaluation results prior to the transfer shall be considered.
 - c. If the newly appointed faculty comes from a Local University or College (LUC), private higher education institution, TESDA or DepEd schools, their student and supervisor's evaluation prior to their appointment shall not be considered.
5. A faculty member who went on Sabbatical Leave where the primary intent is to conduct research or develop instruction materials, shall be evaluated similar to a faculty on study leave as stated in item 3.1.

Section 6. Supplemental Guidelines for KRA I: Criterion B, Indicator 1

Instructional Materials Developed and Approved for Use

1. Only Instructional Materials approved by the SUC's instructional materials development committee, book review committee, academic council or its equivalent shall be considered.
2. In the subsequent evaluation cycles, a mechanism for the review of instructional materials developed by the faculty shall be included in the evaluation process.



3. For instructional materials developed by a group of faculty coming from different disciplines, percentage of participation shall be considered provided that a faculty member's contribution is related to his/her field of specialization. Faculty member's contribution that is not related to his/her field of specialization shall not be considered.
4. For authorship of commissioned textbooks, there should be an evidence that the engagement of the faculty is authorized by the institution.

Section 7. Clarificatory Statement to KRA I: Criterion B, Indicator 2

Academic programs developed, revised and implemented

1. Chairpersonship or membership to a committee (e.g. curriculum review committee) that reviewed a new academic program or an existing program shall earn points in KRA III: Criterion D - Administrative Designation.
2. A committee member who was given a specific task such as the conduct of feasibility study, benchmarking activities, setting of program objectives and learning outcomes, curriculum development, or other related activities shall earn points for this indicator but will no longer earn points in KRA III: Criterion D – Administrative Designation
3. In the succeeding evaluation cycles, required for new programs implemented during the evaluation cycle is a copy of the Report on the Result of Preliminary Assessment (RRPA) or Certificate of Program Compliance (COPC). Similarly, required for the curriculum revision of existing program is a copy of the contents notation of the revised curriculum or copy of the endorsement ofCHEDRO to CHEDCO.

Section 8. Supplemental Guidelines for KRA I: Criterion C, Indicator 1

For every service rendered to students as adviser and/or panel member

1. The topic of the special project, capstone, thesis, and dissertation should be within the area of specialization of the faculty adviser and panel members.
2. For the initial evaluation cycle, advising or serving as panel in an academic program without a Certificate of Program Compliance (COPC) will be considered for this criterion. For subsequent evaluation cycles, the COPC shall be required.

Section 9. Supplemental Guidelines for KRA I: Criterion C, Indicator 2

For every service rendered to students or a group of students as mentor

1. The faculty will earn points only if the students/team of students mentored won in a competition. Consolation prize or its equivalent shall not be given points.
2. Only those academic competitions sponsored by international organizations, national government agencies, recognized/accredited private organizations including: private corporations, non-governmental organizations and established professional organizations with national membership; or those organized by a group of SUCs shall be considered in the awarding of points.

3. Academic competitions and research awards organized by the SUC for its own academic community shall not be considered.
4. The profile of the organization shall be required as additional evidence to be submitted.

Section 10. Supplemental Guidelines for KRA II: Criterion A, Indicator 1.2

Journal Articles

Journal publication as a research output requirement of the faculty to earn a graduate degree shall not be considered.

Section 11. Clarificatory Statement to KRA II: Criterion A, Indicator 2

For every translational research or research translated into project

The faculty who had the research output translated into a project shall earn points for this indicator. If this faculty becomes the designated head/leader of this project, he/she will also earn points in KRA III, Criterion D – Administrative Designation.

Section 12. Supplemental Guidelines for KRA II: Criterion A, Indicator 3

For every research publication cited

1. The cited journal article of the faculty should be published in an internationally-indexed journal.
2. The journal article where the publication of the faculty was cited should also be published in an internationally-indexed journal.

Section 13. Supplemental Guidelines for KRA II: Criterion B, Indicator 1

For every patented invention, innovation, as well as creative work; of educational, technical, scientific and/or cultural value

1. Only invention patents, utility models and industrial designs that are within the specialization/discipline of the faculty shall be considered.
2. If the patented invention involved more than one inventor, the points shall be allocated based on the percentage of contribution per inventor. If the contribution is not within the area of specialization of a particular inventor, the allocated points for this inventor shall not be awarded and is not transferrable to the other inventor/s, but the points allocated for the other inventor/s shall be awarded to them accordingly.

3. The faculty shall earn the points equivalent to the most current stage of patenting within the evaluation period. For example, if the invention was applied for a patent and was published within the same evaluation period, the faculty shall earn 20 points as the sole inventor. If the patent was granted in the next evaluation cycle, the faculty shall earn 80 points.
4. The duly accomplished Form_II-B1a must be certified by the faculty's research director or its equivalent. In case the faculty with contribution is the research director, the Form_II-B1a shall be certified by the immediate supervisor.
5. If the claimants/co-inventors are coming from different institutions, a copy of the duly accomplished Form_II-B1a of each co-inventor shall be attached to the application of the applicant faculty. (i.e. if there are 3 co-authors, the Applicant Faculty A shall attach to his/her application documents the duly accomplished Form_II-B1a from Faculty B and Faculty C, together with his/her own accomplished Form_II-B1a).

Section 14. Supplemental Guidelines for KRA II: Criterion B, Indicator 2

For every non-patentable invention, innovation, as well as creative work; of educational, technical, scientific and/or cultural value

1. The faculty shall earn points for this indicator as long as the copyright and utilization of the software products is not a requirement for graduation in a graduate degree.
2. To earn points for development of new plant variety, animal breed, or microbial strains; the propagation should have been done in a farm/laboratory other than the demonstration farm/laboratory of the institution.
3. The certification that the new plant variety or animal breed developed have been propagated shall be issued by a municipal agriculturist or its equivalent.

Section 15. Clarificatory Statement to KRA II: Criterion C, Indicator 1

For every creative work created, performed, presented, exhibited, and published

Any creation, performance, presentation, exhibition, or publication as a requirement to earn a graduate degree shall not earn points.

Section 16. Supplemental Guidelines for KRA III: Criterion A, Indicator 1

For every successful linkage, networking and/or partnership activity

1. For this indicator, successful linkage, networking and/or partnership means that it is covered by a MOA containing the list of projects/activities and corresponding timelines. Evidence of project/activities conducted during the evaluation period as specified in the

MOA must be provided. A generic MOA with no specified projects/activities shall require additional supporting evidence.

2. If the linkage, partnership and/or networking was initiated by a group of faculty members, the following shall be the distribution of points based on the role of the faculty:
 - a. as lead coordinator = 5 points
 - b. as assistant coordinator = 3 point

Section 17. Supplemental Guidelines for KRA III: Criterion A, Indicator 2

Total contribution in income generation

1. The points for the contribution to income generation covers the total gross income generated for the evaluation period.
2. For this indicator, the points to be earned by the lead contributor is the full points based on the range of generated income, while the co-contributor/s shall earn half of the full points.

Section 18. KRA III, Criterion A, Indicator 2 of Annex II is revised to read as follows:

2. **Total** Contribution in Income Generation
 - 2.1 xxx
 - 2.2 The **total income** should be based on the gross income.

Section 19. KRA III, Criterion B of Annex II is corrected to read as follows:

- “B. Criterion B – Service to the Community (maximum of **50** points)”

Section 20. Supplemental Guidelines for KRA III: Criterion B, Indicator 1.1

For services in accreditation, evaluation, assessment works, and other related educational quality assurance activities

1. For organizations/agencies that are not listed in pages 14-15 of Annex II - Implementing Guidelines of JC No. 3, series of 2022, the faculty shall provide the profile of the organization/agency and its website for verification.
2. For National Government Agencies (NGAs) in the Philippines, the engagement of a faculty with the National/Central Office shall be counted separately from his/her engagement with its Regional Office.



3. Supporting evidence for engagement by the faculty members shall include authorization from the President of his/her institution.

Section 21. Supplemental Guidelines for KRA III: Criterion B, Indicator 1.2

For services as judge or examiner for local and/or international awards and academic competitions

1. Only those academic competitions sponsored by international organizations, national government agencies, recognized/accredited private organizations including: private corporations, non-governmental organizations and established professional organizations with national membership; or those organized by a group of SUCs shall be considered in the awarding of points.
2. Academic competitions and research awards organized by the SUC for its own academic community shall not be considered.
3. The profile of the organization shall be required as additional evidence to be submitted.

Section 22. Clarificatory Statement to KRA III: Criterion B, Indicator 1.4

For services through media

For this particular indicator, online media refers to the online platform of newspaper companies, TV networks, and radio stations.

Section 23. Supplemental Guidelines for Annex II, KRA III, Criterion B, Indicator 1.5

For every hour of training course, seminar, and/or workshop conducted as resource person, convenor, facilitator, moderator, keynote speaker, plenary speaker, and/or panelist

1. Supporting evidence for engagement by the faculty members shall include authorization from the President of his/her institution.
2. Certificate of Appreciation, etc. should be signed by the Head of the Institution/ Organization or from the organizer.

Section 24. Supplemental Guidelines for KRA III: Criterion B, Indicator 2.1

For every participation in service-oriented projects or production activities

1. Services rendered as part of the regular functions of the faculty's designation will earn points in KRA III, Criterion D – Administrative Designation.

2. For faculty designated as head of Extension, only participation in activities that are within the specialization/discipline of the faculty shall be considered.

Section 25. Supplemental Guidelines for KRA III: Criterion C, Indicator 1

Satisfaction rating for outreach and extension projects

1. The results of the satisfaction/evaluation ratings shall be certified by the Extension Head or Director of the institution.
2. For the subsequent evaluations starting August 1, 2023:
 - a. The satisfaction/evaluation rating for outreach and extension projects shall be based on the new evaluation instrument that is common to all SUCs.
 - b. The SUC shall institutionalize a mechanism for the administration of the satisfaction/evaluation of the outreach and extension projects.

Section 26. Clarificatory Statement to KRA III: Criterion D, Indicator 1

Administrative Designation

This indicator refers to permanent faculty members who were given an administrative designation in addition to their teaching loads within the evaluation period.

Section 27. Supplemental Guidelines for KRA IV: Criterion A, Indicator 1

For current individual membership and active role/contribution in relevant, recognized/registered professional organization, learned/honor/scientific society.

1. If the applicant faculty is the highest-ranking officer of the organization, his/her certification of contribution shall be signed by the second highest ranking officer of the organization.
2. The profile of the organization shall be required as additional evidence to be submitted.

Section 28. Supplemental Guidelines for KRA IV: Criterion B, Indicator 1

Educational qualifications

1. Doctorate degrees and additional masters degrees earned from a foreign HEI through a scholarship program duly authorized by the SUC shall be considered without the need for a certificate of equivalency.

2. Doctorate degrees or additional masters degrees earned from a foreign HEI that was through personal financial capacity, the faculty shall be required to provide a certificate of equivalency from CHED.
3. Doctorate degrees or additional masters degrees earned from a Philippine HEI shall be required to provide a CAV.
4. Graduate degrees earned from non-CHED recognized programs/institutions shall not be considered.

Section 29. Supplemental Guidelines for KRA IV: Criterion B, Indicator 2

For every participation in conferences, seminars, workshops, industry immersion and other capacity building activities

Virtual conferences shall be considered but the attendance of the faculty member must be approved by the SUC president.

Section 30. Supplemental Guidelines for KRA IV: Criterion B, Indicator 3

For every paper presentation in conference

1. If a paper has been published in an internationally-indexed journal and was presented in a conference within the same evaluation period, the faculty shall earn points for this indicator and shall also earn points in KRA II, Criterion A - Research Outputs Published.
2. If the paper has been counted for paper presentation in the previous evaluation cycle, the faculty may still earn points if the same paper has been published in an internationally-indexed journal during the next evaluation period.

Section 31. Supplemental Guidelines for KRA IV: Criterion C, Indicator 1

For every award of distinction received in recognition of achievement in relevant areas of specialization/profession and/or assignment of the faculty concerned

1. If the award is given other than those recognized organizations, the following must be submitted:
 - a. the nature of the award
 - b. the guidelines/criteria used,
 - c. the list of nominees
 - d. list of panel members signed by the award-giving body's authorized representative; and
 - e. the website of the organization for verification.



Section 32. Supplemental Guidelines for KRA IV: Criterion D, Indicator 2

For every year of industry experience

The industry experience must be related to the field of discipline of the department where the faculty belongs. Additional evidence to support is a brief job description.

Section 33. Indicator 1.4 of KRA IV: Criterion B is revised to read as follows:

- 1.4 A faculty, with a rank from Instructor I to **Associate Professor IV**, who completed his/her first doctorate degree shall be given an automatic one sub-rank reclassification, subject to the following conditions:

xxx

Section 34. Item 1.4.5 of KRA IV: Criterion B is amended to read as follows:

- 1.4.5 All such recognitions, accreditation, designation, rankings and ratings must be possessed by the Philippine or Foreign HEI during the time of study. For the purpose of this JC, the "time of study" shall be interpreted as follows:

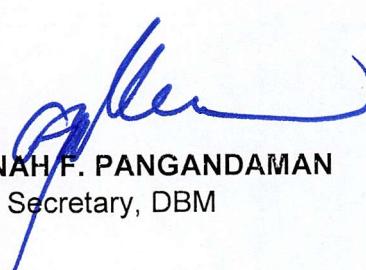
1.4.5.1 xxx

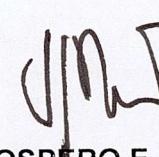
1.4.5.2 xxx

1.4.5.3 **The recognition, accreditation, designation, ranking and rating is/are possessed by the HEI at the time the faculty entered the program but lost the status before graduation shall still be considered.**

Section 35. Effectivity

This Joint Circular shall take effect fifteen (15) days after its publication in the Official Gazette or in a newspaper of national circulation and shall remain in force and effect until otherwise revoked or suspended.


AMENA H. F. PANGANDAMAN
Secretary, DBM


J. PROSPERO E. DE VERA III
Chairman, CHED