

# **GOVERNANCE AND ADMINISTRATION**

# GOVERNANCE AND ADMINISTRATION OF THE WESTERN PHILIPPINES UNIVERSITY

## 1. THE GOVERNING BOARD

### 1.1. Composition and Manner of Appointments

#### 1.1.1. *Composition of the Governing Board (GB)*

- 1.1.1.1. As stipulated in Section 2, RA 8292, the composition of the governing boards of SUCs was modified to (a) achieve a more coordinated and integrated system of higher education; (b) render them more effective in the formulation and implementation of policies on higher education; (c) provide for more relevant direction in their governance; and (d) ensure the enjoyment of academic freedom as guaranteed by the Constitution.
- 1.1.1.2. The governance of the University shall be vested in the Board of Regents pursuant to RA 9260. The composition and qualifications of the members of the Board of Regents, unless otherwise superseded by a more recent law or decree to that effect, shall follow those specified in REPUBLIC ACT 9260, which was approved on March 5, 2004.
- 1.1.1.3. **Composition of the Board of Regents.** The Governing Board of the University, the Board of Regents, shall be composed of the following: (Sec. 5, RA 9260)
  - (a) The Chairperson of the Commission on Higher Education (CHED), as chairperson;
  - (b) The President of the University, as vice chairperson;
  - (c) The Chairperson of the Committee on Education, Arts and Culture of the Senate, as member;
  - (d) The Chairperson of the Committee on Education, Arts and Culture of the House of Representatives, as member;
  - (e) The Regional Director of the National Economic and Development Authority (NEDA), as member;
  - (f) The Regional Director of the Department of Science and Technology (DOST), as member;
  - (g) The Regional Director of the Department of Agriculture (DA), as member;

- (h) The President of the Federation of Faculty Associations of the University, as member;
- (i) The President of the Federation of Student Councils of the University, as member;
- (j) The President of the Federation of Alumni Associations of the University, as member; and
- (k) Three (3) prominent citizens who have distinguished themselves in their profession or fields of specialization of the University, as members.

The term of office of the President of the Federation of Faculty Associations, the President of the Federation of Student Councils, and the President of the Federation of Alumni Associations shall be coterminous with their respective terms of office, as set forth in their respective Constitutions and By-Laws.

The three (3) prominent citizens shall serve for a term of two (2) years from the date of appointment.

#### 1.1.2. ***Manner of Appointments***

1.1.2.1. The GB Chair, Vice-Chair and the three (3) ex-officio regular members representing Congress and NEDA have the right to sit as Chair, Vice-Chair and members thereof ipso facto upon their assumption into office. (Sec. 7, RA 8292 IRR)

- ◆ The CHED Chairman is authorized to designate a CHED Commissioner as Chair of the GB.
- ◆ In the absence of the Chairperson of the CHED, a Commissioner of the CHED, duly designated by him/her, shall represent him/her in the meeting with all the rights and responsibilities of a regular member: *Provided, however,* That during this meeting, the president of the University as vice chairperson shall be the presiding officer: *Provided, further,* That is *proviso* notwithstanding, the Chairperson of the CHED is hereby authorized to designate a CHED Commissioner as the regular chair of the Board of Regents, in which case said CHED Commissioner shall act as the presiding officer. (Sec 8, RA 9260 and at WPU Code, Book 1, Section 2.3)
- ◆ If the GB members from Congress cannot attend regular or special meetings/sessions, they may designate in writing their representatives. The other GB ex-officio members from the government shall personally attend the GB meetings and sessions. (Sec. 8, RA 8292 IRR)

- 1.1.2.2. The duly elected President of the Faculty Association shall sit as member of the GB. The term of office shall be coterminous with the term of office in such capacity in accordance with the Association's Constitution and By-Laws. (Sec. 3-a-vi and 3-b, RA 8292 and Sec. 11, IRR)
- ◆ In multi-campus WPU, the President of the federation of faculty associations shall be designated member of the GB. (Sec. 3, RA 8292 and Sec. 9, IRR)
  - ◆ To ensure equity of campus representation in the GB, the federation may adopt a scheme of rotation of campus representation.
- 1.1.2.3. The President of the Federation of Student Councils of the University or the student representative elected by the student federation shall sit as member of the GB. (Sec. 3-a-vii, RA 8292)
- ◆ In the absence of a student federation president or a student representative elected, the SUC President shall schedule a one week campaign and an election of a student representative. (Sec. 3-a-vii, RA 8292)
  - ◆ WPU with multi-campus, the Students Councils shall be federated and the president of the federation shall be elected as member of the GB. This will be for a term of office which shall be coterminous with the term of office in such capacity in accordance with the Constitution and By-Laws of the Federation of Student Councils. (Sec. 9 and 46, RA 8292 IRR)
  - ◆ In the event the student loses his/her status by way of graduation, dismissal, transfer, or other causes, the duly elected representative shall cease as member of the GB. (Sec. 11, RA 8292 IRR)
  - ◆ To ensure equity of campus representation in the GB, the Federation may adopt a scheme of rotation of campus representation.
- 1.1.2.4. The President of the Federation of Alumni Associations duly elected shall sit as member of the GB. (Sec. 3-a-viii, RA 8292)
- ◆ WPU with more than one campus, their respective Presidents shall cause the federation of their alumni associations and the President of the Federation to sit as members of the GB. (Sec. 9, RA 8292 IRR)
  - ◆ The term of office of the President of the Alumni Federation as member of the GB, shall continue until his/her term of office as President of the Alumni Federation expires. (Sec. 3-b, RA 8292)

- ◆ Graduates of tertiary programs shall be given preference in electing the President of the Alumni Association. (Sec. 49, RA 8292 IRR)
- 1.1.2.5. Three (3) prominent citizens who have distinguished themselves in their profession or fields of specialization of the University, as members. (Sec. 5-k, RA 9260)
- ◆ A Search Committee (SC) composed of three (3) members shall be constituted by the SUC President and approved by the Chairman of the CHED. The SC shall elect from among themselves their Chair, provided that faculty and student sectors are represented. (Sec. 10.2, RA 8292 IRR)
  - ◆ The Board of Regents shall appoint the three (3) prominent citizens from among a list of at least five (5) persons qualified in the Province of Palawan, as recommended by the search committee constituted by the University President, in consultation with the Chairperson of CHED, and the other members of the Board, based on the normal standards and qualifications for the position set by the Board. (Sec. 5-k, RA 9260)
  - ◆ The SC shall submit the names of at least five (5) nominees to the GB within thirty (30) days from the inception of its search in accordance with the procedures laid down by the SC. (Sec. 10.4, RA 8292 IRR)
  - ◆ The GB shall select two (2) private sector representatives from among the five (5) recommended/nominated by the SC, taking into consideration their respective qualifications and the weight of their possible contribution arising from their knowledge, expertise and depth and breath of experience to the realization of the mission of WPU. (Sec. 10.3 and 10.5, RA 8292 IRR)
  - ◆ The three (3) private sector representatives selected by the GB shall be appointed through a resolution duly adopted by the GB. (Sec. 10.6, RA 8292 IRR)
  - ◆ The private sector representatives in the GB shall serve for a term of two (2) years, (Sec. 3-b, RA 8292) subject to re-appointment for another term only depending on the discretion of the GB. (Sec. 11, RA 8292 IRR)
- 1.1.2.6. The Board shall appoint a secretary upon the recommendation of the President who shall serve both the Board and the university and shall keep all records and minutes of proceedings of the GB. (Sec. 7, RA 8292 and Sec. 33 IRR)

- ◆ In the absence of a plantilla position, a Board Secretary may be designated/appointed/selected by the GB from among the academic rank holders and may opt to receive SG24 or the SG of the academic rank held, whichever is higher. (DBM-CPCB Memorandum to DBM RO dated September 30, 1999)
- ◆ Upon recommendation of the SUC President, the GB may recommend to DBM the conversion of academic position(s) to Board Secretary at Salary Grade 24. Savings cannot be used as fund source for the creation of position pursuant to EO No. 292. (Ibid.)
- ◆ On the other hand, if the GB prefers that the Board Secretary shall be designated to be coterminous with the SUC President, the option is within the prerogative of the GB. (Ibid.)

## **1.2. Board Meetings**

### **1.2.1. Regular Meetings**

- 1.2.1.1. The Board shall regularly convene at least once every quarter. However, the chairperson of the Board may, upon three (3) day's prior written notice, call a maximum of four (4) special meetings whenever necessary (WPU Code, Book I, Sec 2.3; Sec. 12.2, RA 8292 IRR)
- 1.2.1.2. The WPU President shall be responsible for the needed preparations to ensure the smooth conduct of GB Regular Meetings. (Sec. 12.3, RA 8292 IRR)
- 1.2.1.3. The Board Secretary shall issue the Notice of Regular Meetings at least seven (7) days before the scheduled meeting and shall furnish every GB member the proposed agenda and pertinent supporting documents authorized by the SUC President. (Sec. 7, RA 8292 and Sec. 33 IRR)
- 1.2.1.4. The Board Secretary shall secure the confirmation of attendance one (1) day before the GB meeting.

### **1.2.2. Special Meetings**

- 1.2.2.1. The GB Chair or Vice-Chair may call special meetings whenever necessary, provided the members of the GB have been duly notified in writing at least three (3) days before the date of the special meeting. (Sec. 12.4, RA 8292 IRR)
- 1.2.2.2. GB members may petition the Chair or Vice-Chair for a special meeting based on legitimate and urgent concerns requiring Board action and decision. (Sec. 12.4, RA 8292 IRR)

- 1.2.2.3. The agenda of special meetings shall be limited to specific matters needing urgent action/resolution of the GB
- 1.2.2.4. Upon instruction of the GB Chair or Vice-Chair, the Board Secretary shall issue a Notice of Special Board Meeting and shall furnish every GB member the proposed agenda and pertinent supporting documents. (Sec. 7, RA 8292)

### **1.2.3. *Presiding Board Meetings***

- 1.2.3.1. The CHED Chairman or the Commissioner duly designated GB Chair shall preside over regular and special meetings. (Sec. 14 and 16, RA 8292 IRR)
- 1.2.3.2. In the absence of a duly designated GB Chair, the SUC President who is the GB Vice-Chair shall preside over the scheduled regular or special meeting. (Sec. 3-c, RA 8292 and Sec. 14, RA 8292 IRR)
- 1.2.3.3. Where the GB Chair or SUC President is not in attendance, the scheduled meeting shall be deferred and rescheduled to another date as agreed upon by the GB members.

### **1.2.4. *Determining a Quorum***

- 1.2.4.1. After the GB Chair has called the board meeting to order, the Board Secretary shall call the roll.
- 1.2.4.2. Based on the number of GB members in attendance, the Board Secretary shall declare whether or not there is a quorum.
- 1.2.4.3. A majority of 50% plus one (1) of all members holding office shall constitute a quorum, provided the GB Chair or SUC President is among those present in the meeting. (Sec. 3-c, RA 8292 and Sec. 13, RA 8292 IRR)
- 1.2.4.1. If a quorum cannot be declared for reason that the attendance does not constitute the majority of the GB members, the GB Chair may convert the meeting into an executive session i.e. if the agenda is extremely urgent, provided that the actions taken shall be submitted for confirmation of the GB in the subsequent meeting.

### **1.2.5. *Securing GB Authority/Approval Through Referendum(s)***

- 1.2.5.1. In case of urgent matters requiring board action/resolution, the SUC President may secure a GB decision through a referendum i.e. if the GB cannot be convened for valid reasons.
- 1.2.5.2. Operational board matters during a board meeting may be submitted through a referendum upon instruction of the GB.

1.2.5.3. The GB shall promulgate policies pertaining to referendum(s) particularly on their scope and limitations.

1.2.5.4. Generally, the referendums shall be limited to academic and administrative matters.

#### **1.2.6. *Preparing Agenda of Board Meetings***

1.2.6.1. The SUC President shall initiate the submission of proposed agenda matters by the Vice-Presidents, Campus Directors/Heads, Integrated CSI Heads, if any, Deans, and other administrative officials at least twenty (20) days before the scheduled GB Meetings.

1.2.6.2. The SUC President shall call an administrative meeting with aforesaid officials and shall finalize the proposed agenda of board meetings based on the agreements during the executive session with the SUC President organized.

#### **1.2.7. *Preparing Minutes of Board Meetings***

1.2.7.1. The Board Secretary shall transcribe the proceedings/deliberations of the Board from a tapescript.

1.2.7.2. The Board Secretary shall prepare the Minutes of a Board Meeting based on the transcribed proceedings/deliberations following the order in the agenda and the format adopted/prescribed by the GB.

1.2.7.3. The Minutes of Board Meetings shall highlight the following:

- ◆ All lines in all pages of the Minutes shall be numbered consecutively at the right margin for citation expedience;
- ◆ The width of the left and right margins shall be in accordance with the standards set by the GB;
- ◆ All Resolutions shall be numbered and shall be consistent with discussions and deliberations. The action of the Board shall be indicated whether an agenda item is approved, confirmed, deferred or disapproved;
- ◆ The Board Secretary shall sign the minutes as certified true and correct and the SUC President shall attest as to the truth and accuracy of the minutes. The GB Chairman shall give the final approval.



### 1.2.8. **Composing a Board Resolution**

1.2.8.1. A resolution adopted/promulgated by the GB is a collective decision on an agenda item discussed and deliberated upon during board meetings.

1.2.8.2. In composing the resolution, the Board Secretary shall observe the following:

- ◆ After a thorough discussion and deliberation, a motion is filed stating the appropriate action to be taken;
- ◆ The motion should be duly seconded before the GB Chair declares a division of the house or seeks a consensus of the Board;
- ◆ The text of the resolution should be simple and straight-forward and should be consistent with the motion and the board deliberation;
- ◆ The Resolutions shall be numbered accordingly;
- ◆ The decision of the Board shall be indicated in the right bottom of the resolution;
- ◆ A resolution deferring action on an agenda item shall clearly state the reason(s) for deferment/denial and/or conditions to be complied with.

➤ Example:

Upon motion of \_\_\_\_\_ and duly seconded, the Board passed:

#### **Resolution No. 25, s. 2003**

Authorizing the President to cause the bidding of the construction of (name and description of project) and allocating the sum of (amount) for the purpose.

**APPROVED**

- The Board Secretary shall disseminate resolutions passed by the GB to the Officials and parties concerned, subject to the approval of the President.

### 1.2.9. **Preparing and Releasing Excerpts of Board Resolutions**

1.2.9.1. The Board Secretary shall prepare and release an excerpt of a specific Board Resolution upon a written request of the party concerned, stating thereto the purpose of the excerpt requested.

- 1.2.9.2. The Board Secretary shall secure the approval of the SUC President for the release of excerpts of Board Resolutions.
- 1.2.9.3. The party concerned shall be advised to pay to the cashier the authorized fee and the Official Receipt shall be presented to the Board Secretary.
- 1.2.9.4. The Board Secretary shall record the Official Receipt Number in the record book and in the approved request before releasing the original excerpts and retaining the duplicate as office file.
- 1.2.9.5. The excerpts of a particular Board Resolution shall contain the following:
- ◆ Official Excerpt No., e.g. Excerpt No. \_\_\_\_-2003
    - Summary of discussion and deliberation
    - Text of the resolution
    - Action taken by the Board, (e.g. Approved, Confirmed, Disapproved or Deferred) and Resolution Number, (e.g. Board Resolution No. \_\_\_\_-2003) to be indicated at the bottom of the text near the right margin.

**1.2.10. *Organizing Committees of the GB***

- 1.2.10.1. The GB may organize ADHOC committees for purposes of (a) enhancing in-depth study and analysis of specific concerns presented to the Board and (b) ensuring maximum consultation with concerned stakeholders.
- 1.2.10.2. The committees organized include curricular programs, research, faculty welfare, student welfare, infrastructure, resource generation, linkages, etc.
- 1.2.10.3. The Board of Regents may create committees, standing or special, as it may deem necessary for the proper performance of its functions. (WPU Code Book I, Section 2.5)
- 1.2.10.4. The President of WPU shall be ex-officio member of all standing committees of the Board. (WPU Code Book I, Section 2.5)

**1.2.11. *Compensation of the Board of Regents***

- 1.2.11.1. The members of the Board shall not receive any salary but shall be entitled to reimbursements for actual and necessary expenses incurred, either in their attendance to meetings of the Board or in connection with other official business authorized by resolution of the Board, subject to existing laws and regulations. (WPU Code Book I, Section 2.4)

### 1.2.12. ***Inducting/Orientating the New WPU Presidents***

1.2.12.1. The GB shall ensure a meaningful induction and orientation of a new SUC President by observing and implementing the following:

- ◆ The outgoing WPU President shall undertake a meaningful turn-over of the institution, its on-going programs and projects, finances, fixed assets, personnel profile and other concerns which the Board deems necessary. Non-compliance thereof shall mean no GB clearance.
- ◆ As a matter of progressive practice, the incumbent WPU President shall cause the preparation of legitimate turn-over of documents and term reports, six months before the end of the term, whether or not the incumbent is seeking a re-appointment for another term.

### 1.3. Powers and Duties of the Governing Board

#### 1.3.1. *General Powers*

- 1.3.1.1. The GB shall have general powers of administration and the exercise of all the powers granted to the Board of Directors of a corporation under Section 36 of Batas Pambansa Blg. 68, otherwise known as the Corporation Code of the Philippines. (Sec. 4, RA 8292)
- 1.3.1.2. Basically, the GB is a policy-making body. As such, its prime concern on the administration of the SUC is the promulgation and implementation of policies in accordance with declared state policies and pertinent provisions of the Philippine Constitution on education, science and technology, arts, culture, and sports, as well as the policies, standards, and thrusts of the CHED under RA 7722. (Sec. 5, RA 8292)

#### 1.3.2. *Specific Powers and Duties*

- 1.3.2.1. The twenty-four (24) specific powers and duties stipulated in Section 4, RA 8292 and Section 7, RA 9260 are as follows:
- ◆ to promulgate rules and regulations not contrary to law as may be necessary to carry out the purposes and functions of the university or college;
  - ◆ to receive and appropriate all sums as may be provided, for the support of the university or college in the manner it may determine, in its discretion, to carry out the purposes and functions of the university or college;
  - ◆ To import duty-free economic, technical and cultural books and/or publications, upon certification by the CHED that such imported books and/or publications are for economic technical, vocational, scientific, philosophical, historical or cultural purposes, in accordance with the provisions of the tariff and customs Code, as amended; (Section 7-c, RA 9260)
  - ◆ To receive in trust legacies, gifts and donations of real and personal properties of all kinds and to administer and dispose of the same when necessary for the benefits of the University, and subject to the limitations, directions and instructions of the donor if any;

Such donations shall be exempted from the donor's tax and the same shall be considered as allowable deductions from the gross income in the computation of the income tax of the donor, in accordance with the provisions of the National Internal Revenue Code (NIRC), as amended: *Provided*, that such donations shall not be disposed of, transferred or sold. (Section 7-d, RA 9260)

- ◆ to fix the tuition fees and other necessary school charges, such as, but not limited to, matriculation fees, graduation fees, and laboratory fees as their respective boards may deem proper to impose, after due consultations with the involved sectors.
  - Such fees and charges, including government subsidies and other income generated by the university or college, shall constitute special trust funds and shall be deposited in any authorized government depository bank. All interests that shall accrue therefrom shall form part of the same fund for the use of the university or college provided, that income derived from university hospitals shall be exclusively earmarked for the operating expenses of the hospitals.
  - Any provision of existing laws, rules and regulations to the contrary notwithstanding, any income generated by the university or college from tuition fees and other charges, as well as from the operation of auxiliary services and land grants, shall be retained by the university or college, and may be disbursed by the Board of Regents/Trustees for instruction, research, extension, or other programs/projects of the university or college; provided, that all fiduciary fees shall be disbursed for the specific purposes for which they are collected.
  - If, for reasons beyond its control, the university or college, shall not be able to pursue any project for which funds have been appropriated and allocated under its approved program of expenditures, the Board of Regents/Trustees may authorize the use of said funds for any reasonable purpose which in its discretion, may be necessary and urgent for the attainment of the objectives and goals of the university or college;
- ◆ to adopt and implement a socialized scheme of tuition and school fees for greater access for poor but deserving students;
- ◆ to authorize the construction or repair of its buildings, machineries, equipment and other facilities and the purchase and acquisition of real and personal properties including necessary supplies, materials and equipment. Purchases and other transactions entered into by the university or college through the Board of Regents/Trustees shall be exempt from all taxes and duties;
- ◆ to appoint, upon the recommendation of the president of the university or college, vice-presidents, deans, directors, heads of departments, faculty members and other officials and employees;

- ◆ to fix and adjust salaries of faculty members and administrative officials and employees subject to the provisions of the revised compensation and classification system and other pertinent budget and compensation laws governing hours of service, and such other duties and conditions as it may deem proper; to grant them, at its discretion, leaves of absence under such regulations as it may promulgate, any provisions of existing law to the contrary notwithstanding; and to remove them for cause in accordance with the requirements of the process of law;
- ◆ to approve the curricula, institutional programs and rules of discipline drawn by the administrative and academic councils as herein provided;
- ◆ to set policies on admission and graduation of students;
- ◆ to award honorary degrees upon persons in recognition of outstanding contribution in the field of education, public service, arts, science and technology or in any other field of specialization within the academic competence of the university or college; and to authorize the award of certificates of completion of non-degree and non-traditional courses;
- ◆ To establish and absorb non-chartered tertiary institutions within the Province of Palawan as branches and extension centers in coordination with the CHED, and in consultation with the Department of Budget and Management (DBM), and to offer therein programs or courses, to promote and carry out equal access to educational opportunities mandated by the Constitution; (Section 7-m, RA 9260)
- ◆ to establish research and extension centers of the SUC where such will promote the development of the latter;
- ◆ to establish chairs in the university or college and to provide fellowships for qualified faculty members and scholarships to deserving students;
- ◆ to delegate any of its powers and duties provided for hereinabove to the president and/or other officials of the university or college as it may deem appropriate so as to expedite the administration of the affairs of the university or college;
- ◆ to authorize an external management audit of the institution to be financed by the CHED and to institute reforms, including academic and structural changes, on the basis of the audit results and recommendations;

- ◆ To collaborate with other governing boards of the state colleges and universities within the Province of Palawan or the region, under the supervision of the CHED and in consultation with the DBM, and work towards the restructuring of the University to become more efficient, relevant, productive and competitive; (Section 7-r, RA 9260)
- ◆ to enter into joint ventures with business and industry for the profitable development and management of the economic assets of the college or institution, the proceeds from which shall be used for the development and strengthening of the college or university;
- ◆ to develop consortia and other forms of linkages with local government units, institutions and agencies, both public and private, local and foreign, in furtherance of the purposes and objectives of the institution;
- ◆ to develop academic arrangements for institutional capability-building with appropriate institutions and agencies, public and private, local and foreign, and to appoint experts/specialists as consultants, or visiting or exchange professors, scholars, researchers, as the case may be;
- ◆ to set up the adoption of modern and innovative modes of transmitting knowledge such as the use of information technology, the dual system, open learning, community laboratory, etc., for the promotion of greater access to higher education;
- ◆ to establish policy guidelines and procedures for participative decision-making and transparency within the institution;
- ◆ to privatize, where most advantageous to the institution, management of non-academic services such as health, food, building or grounds or property maintenance and other similar activities; and
- ◆ To extend the term of the president of the University beyond the age of retirement but not later than the age of seventy (70), whose performance has been unanimously rated by the governing Board as outstanding, after unanimous recommendation by the search committee. (Section 7-y, RA 9260)

## **1.4. GB Actions/Resolutions; DBM and COA Clarifications/Guidelines on Specific Powers and Duties of the GB**

### **1.4.1. COA Guidelines and Procedures on Use of Income**

1.4.1.1. COA Circular No. 2000-02, entitled "Accounting Guidelines and Procedures on the Use of Income of SUC to RA 8292" was issued/released on April 4, 2000 to provide guidelines and procedures on the utilization of income of WPU's constituted into Special Trust Fund (STF) pursuant to Section 4(d) of RA 8292.

#### 1.4.1.2. General Guidelines

- ◆ The following provisions of RA No. 8292 and RA No. 8745, the General Appropriations Act for CY 1999 are hereby reiterated:
  - All income of WPU from tuition fees and other necessary charges such as matriculation fees, graduation fees, laboratory fees, medical and dental fees, library fees, athletic fees, and other similar fees shall be deposited in an AGDB and constituted as STF. All interests that shall accrue therefrom shall form part of the same Fund.
  - Income from university hospitals shall be earmarked and used exclusively for the operating expenses of the hospitals.
  - All fiduciary fees shall be disbursed for the specific purposes for which they are collected.
  - In no case shall the STF be used for the payment of salaries and the creation of new positions.
- ◆ The STF shall be used to augment the maintenance and other operating expenses and capital outlays of the university and to pay authorized allowances and fringe benefits to personnel and students who render services to the school.
- ◆ A special budget for the utilization of the STF, supported by a Certification from the Chief Accountant that sufficient income has been raised, collected and deposited with an AGDB, shall be approved by the BOR of the University.
- ◆ The approved special budget shall be used by the Chief Accountant as the basis for recording appropriations and allotments.
- ◆ A copy of the approved special budget shall be furnished to the DBM and the Accountancy Office, COA within ten days after approval.



- ◆ Any balance of allotments at the end of the year shall be reverted to the Cumulative Results of Operations-Unappropriated (CROU).

#### 1.4.1.3. Specific Guidelines

- ◆ Each university/college shall open a separate bank account for the STF wherein all income collections shall be deposited. All interests that shall accrue therefrom shall form part of the same Fund and shall be reported as interest income. A monthly bank reconciliation statement shall be prepared and submitted to the Accountancy Office, COA pursuant to COA Circular No. 92-125A.
- ◆ The Chief Accountant shall maintain a separate set of books of accounts for the STF using Fund Code 164.
- ◆ The Budget Officer shall prepare a special budget for the approval of the BOR/BOT to utilize the income deposited with AGDB.
- ◆ The Budget Officer shall also furnish the DBM and the Accountancy Office COA copies of the duly approved special budget within ten days after approval by the BOR.
- ◆ Upon receipt of the duly approved special budget from the Budget Officer, the Chief Accountant shall draw a Journal Voucher to set up the appropriations and record the allotments.
- ◆ No special budget shall be approved by the BOR unless it is supported by a certification signed by the Chief Accountant that available deposits are sufficient to cover its funding requirements.
- ◆ The Chief Accountant shall follow the accounting entries shown as Annex A hereof in recording financial transactions pertaining to the STF.
- ◆ At the end of the year, the Chief Accountant shall prepare a Detailed Schedule of Allotments and Obligations Incurred (Annex B) and Breakdown of Income (Annex C) as supporting schedules of the Preliminary Trial Balance.

#### 1.4.2. ***On GB Power to Receive and Appropriate Income (Sec. 4-(b), RA 8292)***

- 1.4.2.1 Causes the deposit of all fees and charges collected in an authorized government depository bank (AGDB);
- 1.4.2.2 Causes the opening of a Special Trust Fund (STF) account and all interests that shall accrue therefrom shall form part of the same fund;

- 1.4.2.3. Causes the preparation of a special budget for the utilization of the STF in accordance with the Guidelines and Procedures issued by COA in Circular No. 2000-02;
  - 1.4.2.4. Authorizes the reprogramming of all unexpended balance of the STF at the end of the year for the support of programs and projects of the university or college;
  - 1.4.2.5. Directs the SUC President and the Accountant that all fiduciary funds shall be disbursed for the specific purpose for which they are collected.
- 1.4.3. ***DBM Clarification on GB Power to Retain Collections (Section 2-(b) of RA 8292)***
- 1.4.3.1. Pursuant to Section 2-(b) of RA 8292, the GB is empowered to retain all fees collected/generated and to deposit the collections as Special Trust Fund (STF) in authorized government depository banks (AGDB).
  - 1.4.3.2. The concerned SUCs shall inform the Bureau of Treasury (BT) regarding the collection deposited for monitoring purposes. (Joint Session of DBM, COA, CHED, and PASUC on August 20, 1997)
- 1.4.4. ***COA Clarification on GB Power to Appropriate***
- 1.4.4.1. Section 4-(d) of RA 8292 empowers the GB to appropriate the income of the SUCs and allocate funds with flexibility.
  - 1.4.4.2. The power of the GB to appropriate should be in accordance with law provisions and issuances of higher authorities (e.g. the President of the Philippines). The SUC GB does not have absolute power to grant benefits to faculty and employees if not covered by existing laws and issuances of higher authority. (COA)
  - 1.4.4.3. The GB may authorize the allocations of funds for personnel benefits authorized by the CSC which are incorporated in the institutional Employee Suggestion and Award System (ESIAS) like staff development, medical benefits, etc. (COA)
  - 1.4.4.4. The GB may allocate funds to implement personnel benefits authorized by DBM covered by national compensation circulars. (NCC)
- 1.4.5. ***On Power to Delegate Authority***
- 1.4.5.1. Depending on the discretion of the GB, certain powers may be delegated to the SUC President. (Sec. 4-(o), RA 8292)

- 1.4.5.2. All appointments and designations issued by the WPU President are to be submitted to the GB for confirmation.
- 1.4.5.3. The power to appoint is delegated to the WPU President by the GB and is subject to the following conditions/limitations:
- ◆ All appointments are duly processed and recommended by the Selection and Promotion Board;
  - ◆ The highest level of positions which the SUC President shall exercise to appoint, is stipulated in the Board Resolution; and
  - ◆ The level of positions, which the SUC President is not delegated to appoint but empowered to recommend to the Board, is specified in the Board Resolution.
- 1.4.5.4. Under any condition and/or limitation, the signatory to all appointments is the SUC President in his/her capacity as CEO and the action of the Board is for confirmation of the appointments.
- 1.4.5.5. If WPU is accredited by the CSC, appointments issued by the WPU President and confirmed by the GB are sent to the CSC for information and monitoring and not for approval or attestation.
- 1.4.5.6. For expeditious action of the GB, all pertinent documents shall be available during the Board Meeting.
- 1.4.5.7. The GB reserves the authority to hire, promote, reclassify or fire personnel as a general condition to the delegated power to the WPU President to appoint.
- 1.4.6. *Power to Construct/Repair (Sec. 4-(f), RA 8292)***
- 1.4.6.1. Most GBs also delegate the authority to construct and/or repair buildings and other infrastructure to the SUC President provided certain conditions are observed:
- ◆ Prior authority to undertake the construction/repair project is secured indicating the available funds for the purpose;
  - ◆ Architectural and structural plans and specifications are presented and approved by the GB;
  - ◆ Prior authority of the GB to conduct Pre-Qualification of Bidders and the actual bidding process is obtained.
- 1.4.6.2. The proposed contract together with the bidding result transmitted by the Pre-Qualification and Bids and Awards Committee (PBAC) is submitted to the COA Representative for review and to the GB for confirmation.

- 1.4.6.3. The contract becomes executory only after the confirmation by the GB.

**1.4.7. *On Power to Approve or Confirm***

- 1.4.7.1. All policies formulated are subject to the approval of the GB, e.g. curriculum, admission policy, full teaching equivalence (FTE), staff development, security matters, etc.
- 1.4.7.2. All resolutions pertaining to collection of fees and other charges are subject to the approval of the GB, e.g. tuition fee adjustments, miscellaneous fees, school paper, student government collections, rentals, etc.
- 1.4.7.3. All budget proposals involving general funds and special budgets on use of special trust funds (STF) are subject to the approval of the GB, e.g. annual budget, use of income, etc.
- 1.4.7.4. All resolutions pertaining to continuing and recurring operational transactions are subject to confirmation of the GB, e.g. appointments, graduates, MOA/MOU, bidding results, etc.
- 1.4.7.5. All resolutions pertaining to transactions without prior authority of the GB are subject to confirmation of the GB, e.g. infrastructure contracts, project implementation, etc.
- 1.4.7.6. Other concerns presented to the GB which do not require approval or confirmation shall be recorded in the minutes as noted, e.g. report of the president, board examination results, miscellaneous success stories, etc.

## **2. ORGANIZATION AND ADMINISTRATION OF WPU**

### **2.1. SUC Presidency**

#### **2.1.1. *Term of Office of SUC President***

- 2.1.1.1. The Administration of SUCs is vested in the university President who shall render full-time service. (Sec. 6, RA 8292 and Sec. 3, IRR)
- 2.1.1.2. The WPU President shall be selected and appointed by the GB upon recommendation of a duly constituted Search Committee for the Presidency. (SCP). (Sec. 6, RA 8292, Sec. 21 IRR)
- 2.1.1.3. The term of office of the WPU President shall be four (4) years with eligibility for reappointment for another term. (Sec. 6, RA 8292, Secs. 27 and 28, IRR)
- 2.1.1.4. In case the incumbent is eligible and qualified per standard set by the GB for reappointment, no search shall be conducted. The GB may prescribe the terms and conditions under which the GB discretion may be exercised such as but not limited to an evaluation of the performance of the incumbent President. (Sec. 28, RA 8292 IRR)
- 2.1.1.5. In case of vacancy by reason of death, resignation, removal for cause or incapacity of the SUC President to perform the function of his/her Office, the GB shall have the authority to designate an Officer-In-Charge within fifteen (15) days pending the appointment of a new President. The successor shall hold Office only for the unexpired term. (Ibid, Sec. 30)

#### **2.1.2. *Qualifications of the University President.***

- 2.1.2.1. The minimum qualifications of the University President shall be as follows: (WPU Code, Book 1, Sec 2.1)
  - Academically qualified; a holder of a learned doctorate degree in line with the mandate of the University;
  - Must be a natural-born Filipino citizen;
  - With relevant administrative experience;
  - With established track record on research and development and extension;
  - Possesses leadership and managerial skills within the purview of the needs, thrusts, goals and objectives of the University; and

- Of proven moral integrity.

2.1.2.2. The Board of Regents may prescribe additional qualifications as it may deem fit.

### 2.1.3. **Search Committee for the Presidency (SCP)**

2.1.3.1. Within six (6) months before the expiration of the term of office of the incumbent President, the GB shall constitute a SCP. (Sec. 22, RA 8292 IRR)

2.1.3.2. The composition of the SCP shall be determined by the GB with representative from the academic community, private sector not connected or associated with the SUC, PASUC and CHED. (Sec. 22, RA 8292 IRR)

2.1.3.3. The SCP constituted shall recruit and screen applicants and may devise its own procedure in undertaking the search. (Sec. 23, RA 8292 IRR)

2.1.3.4. The SCP shall submit the names of at least three (3) nominees to the GB citing therein the strengths and weaknesses of the nominees for guidance of GB, as well as the enumeration and description of the criteria and procedures adopted in the search process. (Ibid, Sec. 24)

2.1.3.5. The applicant for the SUC Presidency must possess the qualifications and/or standards set by the GB.

2.1.3.6. The effectivity date of the appointment shall be specifically indicated.

### 2.1.4. **Appointment of New WPU President**

2.1.4.1. Based on the SCP recommendations, the GB shall select and appoint the new President.

2.1.4.2. The appointment papers shall be signed by the GB Chairman. (Ibid, Sec. 25)

### 2.1.5. **Reappointment and Tenure of Incumbents**

2.1.5.1. Pursuant to Sec. 6, RA 8292, the SUC President shall be eligible for reappointment for another term of four (4) years, provided this provision shall not adversely affect the terms of the incumbents.

2.1.5.2. In case the incumbent is eligible and qualified for reappointment per standards set by the GB and in accordance with RA 7722, no

search need to be conducted. The GB may prescribe the terms and conditions under which the discretion may be exercised as such, but not limited to an evaluation of performance of the incumbent. (Sec. 28, RA 8292 IRR)

- 2.1.5.3. Depending upon the discretion of the GB in accordance with Sec. 4 (x) of RA 8292, the incumbent SUC President may be re-appointed for another term.

**2.1.6. *Salary of the SUC President***

- 1.1.6.1 The salary grade (SG) of the WPU President is based on the level of SUCs, e.g. SG 27 for SUC Level I and SG 30 for SUC Level IV. (DBM Index of Occupational Services, Position Titles, and Salary Grades, Vol. III, 1997.)
- 1.1.6.2 Under NCC No. 69, as amended by NBC No. 461 in June 1998, the SUC Presidents may opt to hold an academic rank and receive the corresponding pay, whichever is higher; provided that the academic rank is obtained in the same manner and process that the faculty undergoes for evaluation. (NBC No. 461, s. 1998)

**2.1.7. *Powers and Duties of WPU President***

- 2.1.7.1 As Chief Executive Officer (CEO) of the university, WPU President shall have general powers of administration and supervision similar to CEOs of private corporations.
- 2.1.7.2 The overall administration of the University is vested on the President who must render full-time service and shall be selected and appointed by the Board of Regents upon the recommendation of the Search Committee for the Presidency duly constituted by the Commission on Higher Education (CHED). (WPU Code, Book 1, Sec. 2)
- 2.1.7.3 He/She shall perform specific powers and duties as follows:
- ◆ He/She shall have general supervision and control of all business matters, as well as all administrative and financial operations of the SUC;
  - ◆ He/She shall be ex-officio head of all officers, members of the teaching staff, administrative and all other employees of the institution;
  - ◆ He/She shall carry out the general policies laid down by the GB and shall have the power to act within the limits of the said general policies. He/She alone shall direct or assign the details of executive actions;

- ◆ He/She shall have the power to determine and prepare agenda of all meetings of the GB, the Administrative Council, Academic Council and of the Research and Extension Council; provided, however, that any member shall have the right to suggest any matter for inclusion in the agenda;
- ◆ He/She shall preside at commencement exercises and other public affairs of the SUC and confer such degrees and honors as confirmed by the GB. All diplomas and certificates issued by the institution shall be signed by him/her, by the College/University Registrar and/or by the Dean/Campus Director;
- ◆ He/She shall be the official link of communication between the faculty, personnel, and students of the institution on the one hand, and the GB or the Board of Visitors on the other;
- ◆ He/She shall and can appoint competent and qualified persons to fill all vacancies and new positions as delegated by the GB. He/She shall have the authority to fill vacancies temporarily and to make such arrangements as necessary to meet all exigencies that may occur between the meetings of the GB so as not to unduly hamper the operations of the institution;
- ◆ He/She shall have the authority to transfer faculty members and employees from one department or unit of the institution to another in accordance with existing laws and rules subject to the confirmation by the GB;
- ◆ He/She shall have the authority to recommend to the GB the change of leave status of the faculty from teacher's leave to cumulative leave or vice-versa;
- ◆ He/She shall hold all officers, faculty, and employees of the institution duty-bound to the full discharge of their respective duties. When necessity arises and in the interest of public service, he/she shall, after consultation with the Dean or the Head of Office or Unit concerned, initiate the necessary proceedings for the separation from the service of the erring faculty members or administrative personnel;
- ◆ He/She shall submit an annual report to the GB at the end of the school year, highlighting the work of the past year and the needs of the current year. He/She shall also present to the Governing Board the proposed annual budget of the institution;
- ◆ He/She shall execute and sign, on behalf of the institution all contracts, deeds, and all such other instruments necessary for the proper conduct of business of the institution. However, in recurring undertakings and transactions where the action is virtually ministerial, and the conditions and terms for which



have been fixed in accordance with the existing regulations of the institution and general laws of the land, the specified cases may be made in his/her behalf, by the officers of the Administration or heads of office or units of the institution, subject to such safeguards as he/she may impose;

- ◆ He/She shall have general responsibility and final authority over the enforcement of discipline on all faculty and administrative personnel in the institution and over the maintenance of satisfactory academic standards in all its units;
- ◆ He/She shall have the authority to modify or disapprove any action or resolution of any college or school faculty or administrative section or both, if in his/her judgment the larger interest of the institution so requires. Should he/she exercise such authority, the WPU President shall communicate his/her decision in writing to the body concerned, stating the reasons for his/her actions; and thereafter he/she shall accordingly inform the GB, which may take any action it deems appropriate in connection therewith;
- ◆ He/She may invite from time to time, scholars of eminence, and other persons who have achieved distinction in some learned profession or career, to deliver a lecture or a series thereof; he/she may authorize honoraria for such service, to be taken from the SUC's budgetary allocation at such rates fixed by the GB;
- ◆ He/She shall be authorized in case of brief absence, to designate a Vice-President and/or a ranking officer of the administration to act as Officer-In-Charge who shall carry out routine management of the institution in his/her name and in accordance to his/her instructions and the policies of the GB;
- ◆ He/She shall have the power to reorganize the institution subject to the provisions of its Charter and other applicable laws. He/She shall have the power to create and abolish new colleges, offices, units or reorganize them; and transfer offices or units with due respect to the security of tenure of all employees in accordance with existing laws and Civil Service rules and regulations, subject to the approval of the GB. (From Selected SUC Codes)

## **2.2. The Vice-Presidents: Duties and Functions**

- 2.2.1. The WPU President shall be assisted by a Vice-President for Academic Affairs (VPAA) who shall be appointed by the GB upon the former's recommendation without prejudice to the appointment of more than one Vice-President when so warranted. (Sec. 6, RA 8292 and Sec. 9, RA 9260)

- The general functions of the Vice President for Academic Affairs shall be as follows: (WPU Code, Book I, Sec. 3.1)
  - Assist the President in all programs of the University in curriculum and instruction as well as in research and extension;
  - Coordinate the academic, research and extension programs of the different units of the university for effective implementation; and
  - Represent the University on matters relevant to academic, research and extension functions with appropriate agency, body or office whether in country or overseas when so designated by the University President.

2.2.2. The (VPAA) shall be directly responsible to the President for carrying out all educational policies, for implementing all programs and projects of the institution, and for supervising curricular, instructional, and other academic activities in the institution. He/She shall exercise general supervision over all colleges, institutes, and other academic related service offices. In the absence of the President he/she shall preside at meetings of the Academic Council.

2.2.3. The Vice-President for Administration (VPA) shall be appointed by the GB upon the recommendation of the President. He/She shall be directly responsible to the President on all administrative operations, planning, and finance matters, and shall preside at meetings of the Administrative Council in the absence of the President.

2.2.4. The Vice-President for Research, Extension and Development (VPRED) shall be appointed by the GB upon the recommendation of the President. He/She shall be directly responsible to the President on matters pertaining to research, extension services, non-formal education, training, and income generating units and activities.

2.2.5. In the absence of plantilla positions for VPAA, VPA, and VPRED, the GB shall designate the vice presidents from among the faculty and/or research staff upon recommendation of the SUC President. (NCC No. 12, 12(a) and 12(b))

2.2.6. Designation of VPs shall be coterminous with the tenure of office of the SUC President. This scheme encourages rotational leadership and ensures institutional harmony and stability. (Ibid)

2.2.7. Designated VPs shall be entitled to receive the salary and other benefits enjoyed by appointed VPs holding plantilla positions or the salary corresponding to an academic rank which is three (3) higher than the rank of the designee, whichever is higher. (DBM)

### **2.3. Other Officers of the SUC**

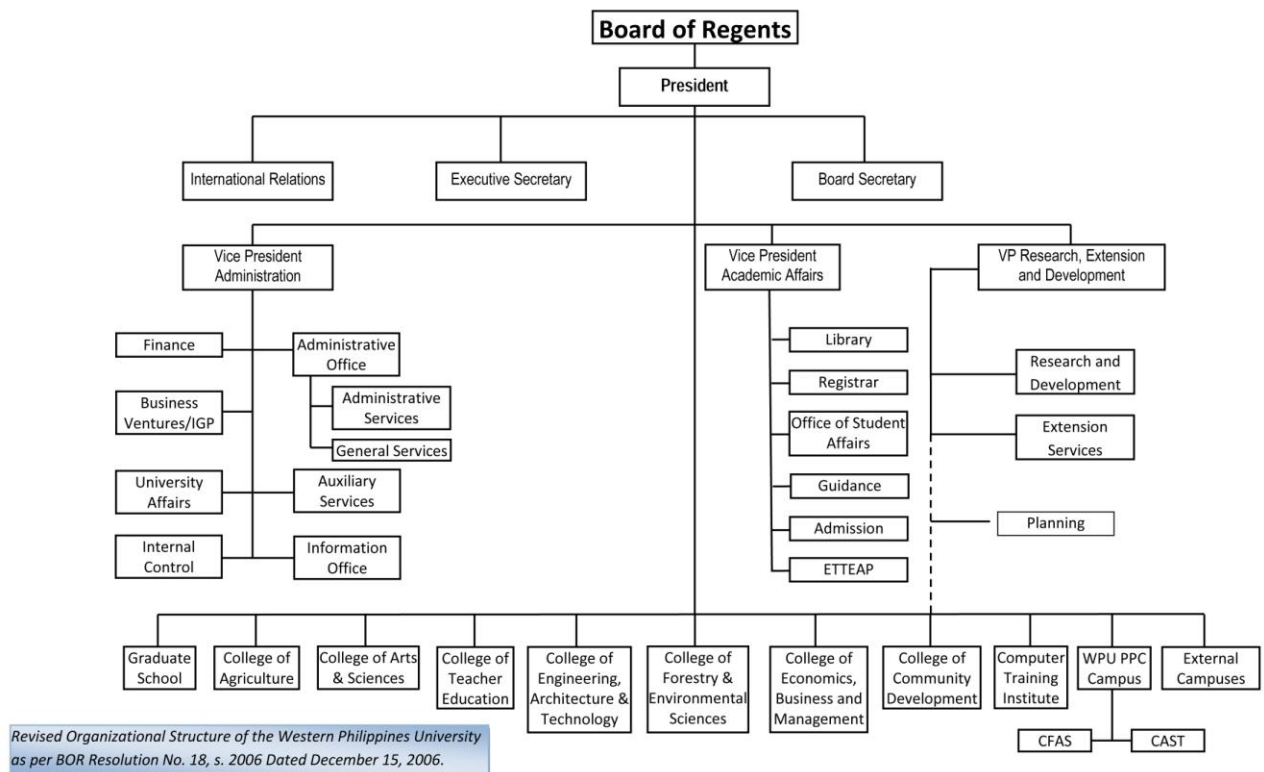
- 2.3.1. The University/College and Board Secretary – The GB shall appoint a secretary who shall serve both the Board and the university or college and shall keep all records and proceedings of the Board. He/She shall communicate notices of meetings to each member of the Board. (Sec. 7, RA 8292 and Sec. 33, IRR)
- 2.3.2. Deans/Directors of College, Other Heads of Academic Units – The President shall designate a Dean for each college, institute or non-academic office or unit, and a Director for an academic unit operating independently of a college, or a department offering academic-related or non-academic service. The Dean shall act as a presiding officer and counselor of the faculty of his/her college, institute or personnel of the department under him/her as may be provided in the SUC Charter and shall exercise such other administrative duties as the GB or the President may prescribe. The Dean or Director shall have a tenure of office as provided for in the SUC Charter or Code.
- 2.3.3. Heads of Administrative Services/Divisions
  - 2.3.3.1. The Division Heads shall be appointed by the GB upon recommendation of the President who shall each handle the Divisions of Administrative, Finance, Business Ventures and Auxiliary Services. They shall provide supportive and facilitative services to all personnel and units of the institution. They shall directly be responsible to the Vice-President for Administration.
  - 2.3.3.2. The Administrative Services Division shall be the main responsibility of the Chief Administration Officer who shall be appointed by WPU President and confirmed by the GB. It shall supervise services delivered through the Human Resource Management Office, the Records Office, the Health Services Office, the Supply Services Office, the Security Services Office, Physical Plant Management Services Office and other allied sections/units that may be created by the President in accordance with its organizational structure.
  - 2.3.3.3. The Finance Division shall be headed by a Financial Management Officer or Director for Finance who shall be appointed or designated by the SUC President and confirmed by the GB which shall directly supervise the delivery of services by the Budget Services Office, the Accounting Services Office, the Cashier's Office, and other allied sections that may be created by the President in accordance with the organizational structure of the institution. He/She shall be responsible to the Vice-President for Administration and Finance.
  - 2.3.3.4. The Business Ventures Division shall be headed by a Director for Business Ventures of WPU who shall be designated by WPU President and confirmed by the GB. He/She shall be responsible

to the Vice-President for Administration in the overall supervision of the income generation projects of the University

- 2.3.3.5. The Auxiliary Services Division shall be headed by a Director for Auxiliary Services who shall be designated by WPU President and confirmed by the GB. He/She shall be responsible to the Vice-President for Administration for the effective planning and undertaking of all kinds of services done and/or rendered by WPU other than academic, such as cafeteria, janitorial, printing press, bookstore, and other university services.

## 2.4. The Organizational Structure of WPU

2.4.1. The organizational structure of WPU as reflected in the University Code.



2.4.5. The organization chart of WPU may be restructured depending on program and service needs subject to the approval of the GB.

2.4.6. The organization chart duly approved by the GB is forwarded to DBM for appropriate action in relation to budgetary requirements and staffing pattern. (DBM Staffing Pattern Standards)

## 2.5. The Administrative Council (ADCO)

### 2.5.1. *Composition*

- 2.5.1.1. There shall be an administrative council (ADCO) consisting of the president of the University as chairperson, vice presidents, deans, directors and other officials of equal rank as members, whose duty is to review and recommend to the Board the policies governing the administration, management and development planning of the University. (Sec 10, RA 9260 and Se. 9, RA 8292)
- 2.5.1.2. In case of SUCs which have big multi-campus, a campus ADCO may be established, provided that these campuses shall have equal representation in the university ADCO. (Sec. 36 RA 8292 IRR)
- 2.5.1.3. The Chairperson, or the President, shall be the presiding officer of the Administrative Council. The presiding officer shall vote only to break a tie in the event of decision-making. (WPU Code Book 1, Sec 3.2.2)
- 2.5.1.4. In the event of the inability of the President to preside at a Council session, the University Vice President for Administration will temporarily preside over the meeting. In the absence of both officials, the Vice-President for Academic Affairs may preside.
- 2.5.1.5. The University Secretary as ex-officio Secretary of the Council shall have the duty to issue notices for meetings of the Council, keep the minutes of its proceedings, send a copy of such minutes to each member and furnish each a copy of the order of business of every regular meeting at least three (3) days in advance. (WPU Code Book 1, Sec 3.2.3)

### 2.5.2. *Functions*

- 2.5.2.1. The ADCO so formed and constituted shall review and recommend to the GB policies governing the administration, management, and development planning of the SUC for appropriate action and shall act in an advisory capacity to the SUC President in all matters pertaining to his/her office for which he/she seeks advice. (Sec. 37, RA 8292 IRR)
- 2.5.2.2. The Chairperson of the Administrative Council, or the President, shall be authorized to create committees that the Administrative Council deems necessary to enable it to discharge efficiently its functions and duties. (WPU Code Book 1, Sec 3.2.6)
- 2.5.2.3. The Administrative Council shall have the following duties and responsibilities:

- Advise the University President on administrative and financial matters;
- Assist the University President in the implementation of policies governing the administration, management and development planning of the university as approved by the Board; and
- Assist the University President in the formulation of policies governing administration, management and development of the university and operation of the different projects for approval by the governing board.

### **2.5.3. Meetings and Quorum**

- 2.5.3.1. The Administrative Council shall meet at such time as the WPU President may determine. The Administrative Council shall meet regularly once every quarter or as the need arises. Every member of the Administrative Council shall be required to attend all its meetings but any member may be excused from attendance for reasons that the President may consider justifiable (WPU Code Book 1, Sec 3.2.4)
- 2.5.3.2. Special Meetings may be called by the SUC President at any time upon the request of the majority of the Administrative Council Officials, or upon the written request of one-third of the members of the Council.
- 2.5.3.3. A quorum shall consist of fifty percent (50%) plus one of all the members.

## **2.6. Systems and Procedures on Key Administrative Transactions**

### **2.6.1. Human Resource Related Matters**

#### **2.6.1.1. Hiring**

- ◆ Human Resource Management Office (HRMO) conducts preliminary screening of applicants in consideration of civil service eligibility, personality, educational qualifications or any other relevant matters.
- ◆ HRMO ranks the qualified applicants for a final interview with the members of the Personnel Selection/Promotion Board.
- ◆ The Personnel Selection/Promotion Board deliberates and determines the most qualified applicants.
- ◆ The Chairman of Personnel Selection/Promotion Board recommends the qualified officials to the Head of Agency.

- ◆ The Head of Agency takes appropriate action on the recommendation.
- ◆ The Human Resource Management Office then issues notices to the most qualified applicant/s for the completion of pertinent documents for appointment such as:
  - ◆ original appointment
    - PDS (Personal Data Sheet)
    - Medical Certificate
    - NBI Clearance
    - Report of Rating
    - Statement of Assets and Liabilities
    - Clearance from Accountabilities (previous employer)

➤ appointment by transfer

In addition to the above requirements, the following should be submitted:

- approved permission to seek transfer
- certificate of unused leave credits
- certificate of last salary received and last day of service
- performance rating (for semester ending preceding the transfer) from the former office

➤ reinstatement

- Police of NBI Clearance
- For appointees who are 57 years old or more, secure authority for exemption under Sec. 6 of R.A. 728, as stated in CSC MC 40, s. 1998 (Omnibus Rules on Appointment and Personnel Actions).
- For retired employees, secure from the CSC Regional Office concerned approval of reinstatement as an exception.
- Medical Certificate (CS Form No. 211). Physician shall state if proposed appointee is fit for employment.

#### 2.6.1.2. Promotion

- ◆ HRMO or its duly authorized representative shall announce all vacant positions to be filled and the qualifications required for each position.
- ◆ HRMO shall, in accordance with the system of ranking positions, qualification standards, personnel qualification index, identify other employees within the University who are deemed qualified and competent for promotion, together with the incumbents of positions who are identified as next-in-rank.
- ◆ HRMO shall make preliminary evaluation of the qualification of candidates and shall submit to the Selection/Promotion Board the list of all candidates for promotion to the vacancy. Other employees who feel they are competent and qualified but not included among the next-in-rank, may submit their names to the Selection/Promotion Board for consideration and assessment.
- ◆ The Selection/Promotion Board shall then evaluate the qualification of those employees included in the promotional line-up, determine the most competent and qualified candidate for promotion, and recommend to the President/Directors the employee who may fill up the vacancy.
- ◆ The President shall assess the merits of the recommendation of the Promotion Board and selects the personnel deemed best qualified for the vacancy.

#### 2.6.1.3. Procedures for Upgrading/Reclassification of Rank/ Position

- ◆ The HRM Officer or his/her duly authorized representative shall advise all persons concerned to update their records in the HRM Office at the start of the School Year.
- ◆ The Selection and Promotion Board shall evaluate the credentials of the personnel concerned considering the Rules and Procedures pertaining to position a rank upgrading/reclassification.
- ◆ The Board shall officially transmit the evaluated documents to the President.
- ◆ Upgrading/reclassification shall not be oftener than once a year, provided the employees' performance is at least Very Satisfactory (VS) during the two rating periods.
- ◆ All promotional appointments including upgrading/reclassification shall be announced throughout the Institution to



enable aggrieved parties to file protests within 15 days from date of notice of the promotion/ upgrading/reclassification.

#### 2.6.1.4. Preparation of Appointment

- ◆ Based on approved recommendation, the appointee accomplishes the Personal Data Sheet (PDS) in four (4) copies HRMO shall thoroughly review and see to it that all questions are answered completely and duly signed by the appointee with his/her right thumb mark affixed in the box provided and his/her residence certificate indicated therein.
- ◆ HRMO prepares the appointment in prescribed PSS (Form 33, as revised in May 1990) in four (4) copies. The issuance of the appointment shall not be earlier than the date of final screening/deliberation of the Selection/Promotion Board.
- ◆ The Human Resource Management Office prepares the Position Description Form (PDF) also in four (4) copies and shall check the percentage of working time indicated for each of the duties listed. The form must be signed by the employee, the immediate supervisor and the head the agency.
- ◆ The Human Resource Management Office/ Administrative Officer shall certify that all requirements and supporting papers have been complied with, reviewed and found to be in order. A copy of the recommendation of the Selection/ Promotion Board duly signed by all the members shall be attached to the appointment.
- ◆ The Chairman of the Selection/Promotion Board then certifies that the appointee has been screened and found qualified by the Board.
- ◆ The appointment papers are then forwarded to the concerned Official/Director for recommendation and to the President for approval.
- ◆ Approved appointments are transmitted to the Civil Service Commission (CSC) within 30 days from date of effectivity.
- ◆ No prospective appointee shall assume office unless his/her appointment is approved by the President.
- ◆ An appointee shall be given a copy of the approved appointment which shall remain valid and effective until disapproved by the CSC.

- ◆ The following requirements and guidelines shall also be observed and the necessary documents submitted when applicable:
  - Erasures or alterations made on the appointment and other supporting papers shall be duly initialed by the duly authorized officer and accompanied by a communication authenticating the changes made stating specifically what the alterations are.
  - If the appointee has had an administrative or criminal case, a certified true copy of the decision rendered shall be attached to the appointment, if CSC has not yet been furnished a copy.
  - If there is a change in the civil status of a female employee and the same has not yet been noted in the records of the CSC Regional Office concerned, a request for change of name together with a certified true copy of marriage contract shall be attached to the appointment. If she passed a civil service examination or was granted a board or bar eligibility under RA 1080, as amended, under her maiden name, a certified true copy of her marriage contract shall be attached to the appointment.
  - If there is a discrepancy in the name of the appointee as appearing in the Report of Rating of Examination passed, a request for correction of name together with the required documents prescribed in CSC Memorandum Circular No. 40, series of 1998, and the original Report of Rating shall be attached to the appointment and the corresponding fee remitted to the CSC Regional Office concerned.
  - If the appointment is submitted to CSC Regional Office beyond sixty (60) days from the date of its preparation, a valid and justifiable explanation as to the delay shall be attached to the appointment. For appointments coursed through other national agencies, the date of receipt in the said agencies shall be considered as the date of submission to CSC Regional Office.
  - All supporting documents which are not original copies shall be submitted as certified true copies by the Records Officer or a duly authorized official of the agency.

#### 2.6.1.5. Change of Status

- ◆ A temporary appointee upon qualification in an appropriate civil service examination may be issued a new appointment by

change of status from temporary to permanent effective not earlier than the date of BOT/BOR confirmation.

- ◆ For positions under the Trades and Crafts Group and those covered by Resolution 435, implementing Guidelines of CSC Memorandum Circular No. 11, s. 1996 should be strictly followed.
- ◆ For appointments involving change of status from temporary to permanent for purposes of retirement, the following shall be submitted to the CSC Regional Office concerned:
  - Duly certified statement of service record
  - Certification as to the last day of actual service of the appointee

#### 2.6.1.6. Rules on Promotion for Administrative Support Staff

- ◆ Promotion may be from one department or agency to another or from one organizational unit to another in the same department or agency.
- ◆ Whenever a vacancy occurs, the employees who occupy positions deemed to be next-in-rank to the vacancy, shall be considered for promotion.
- ◆ In no instance, however, shall a position in the first level be considered next-in-rank to a position in the second level.
- ◆ An employee who holds a next-in-rank position and is considered the most qualified and competent; who possesses the appropriate civil service eligibility, and meets the other conditions for promotion shall be considered to the higher position in case of vacancy.
- ◆ In the event of changes in the organization structure or occupational grouping, the line of promotion shall be determined on the basis of the new organizational grouping.
- ◆ The comparative degree of competence and qualification of employees shall be determined by the following criteria:
  - Performance – this shall be based on the last two performance ratings of the employee. No employee shall be considered for promotion unless the last two performance ratings are very satisfactory.
  - Education and training – these shall include educational background and the successful completion of training courses, scholarships, training grants and others,

which must be relevant to the duties and responsibilities of the position to be filled.

- Experience and outstanding accomplishments – these shall include occupational history, work experience and accomplishments worthy of special commendation.
  - Physical characteristics and personality traits – these refer to the physical fitness, attitudes and personality traits of the employee which must have some bearing on the position to be filled.
  - Potential – this refers to the employee's capability to perform not only the duties and responsibilities of the position to be filled, but also those of higher and more responsible positions.
- ◆ Civil service awards and other awards for outstanding accomplishments shall be given due consideration.
  - ◆ In cases where the qualifications of employees are comparatively equal, preference shall be given to the employee in the organizational unit where the vacant position exists. In case all things are still equal, seniority in the job or functionally related jobs shall be considered.
  - ◆ A next-in-rank employee who is qualified and competent may not be promoted if he/she waives the new assignment as a result of the promotion because of geographical location. The vacancy may be filled by one who may not be next-in-rank but qualified, competent and willing to accept the new assignment.
  - ◆ No other civil service eligibility shall be required for promotion to a higher position in the same level of the career service and within the same or functionally related grouping of positions. Agencies shall not be precluded from prescribing their own internal standards for purposes of promotion.
  - ◆ When an employee has a pending administrative case, he/she shall be disqualified for promotion during the pendency thereof. If he/she is found guilty, he/she shall be disqualified from promotion for a period based on the penalty imposed by the appointing authority.
  - ◆ When an employee who is entitled to promotion has a pending administrative case, the position to which he/she is proposed shall not be filled until after the administrative case shall have been finally decided. However, when the exigencies of the service so require, then it shall be filled by temporary appointment to end as soon as the employee entitled to it is exonerated.

- ◆ To ensure objectivity in promotion, a Selection/Promotion Board shall be established in the SUCs which in turn shall be responsible for the adoption of a formal screening procedure and formulation of criteria for the evaluation of candidates for promotion. CSC MC3, s. 2001 (Merit Promotion Plan for regular monitoring)
- ◆ An appointment, though contested, shall take effect immediately upon its issuance, if the appointee assumes the duties of the position and the appointee is entitled to receive the salary attached to the position. However, the appointment, together with the decision of the University Head shall be submitted to the Civil Service Commission for appropriate action within thirty (30) days from the date of its issuance otherwise, the appointment shall become ineffective thereafter. Likewise, such an appointment shall become ineffective in case the protest is finally resolved in favor of the protestee, in which case he/she shall be reverted to his/her former position.

#### 2.6.1.7. Protest

- ◆ Who may file a protest

Only officers or employees who are qualified next-in-rank on the basis of the approved System of Ranking Positions may file a protest against an appointment or a promotion.

- ◆ Form and contents of the protest

The protest shall be typewritten on legal size paper and shall have a caption. The aggrieved party shall be called the "Protestee". Provided that where the president, after evaluation, finally decides in favor of the protester, the protestee who decides to file his/her protest shall be called the "Protester-Appellant" and the former protester, the "Protester-Appellee".

The protester shall identify his/her present position and the contested position by official title, item number and the calendar year budget involved. The salary attached to the position and the organizational unit where the position belongs shall also be indicated. The protester shall state clearly the grounds for his/her protest and the reasons why he/she believes he/she should be the one appointed to the contested position. Failure to file protest within the prescribed period shall be deemed a waiver of one's right and no protest thereafter shall be entertained.

- ◆ Procedure in filing protest
  - The aggrieved party shall file his/her protest in triplicate directly to the President within fifteen (15) days from the date of the notice of the issuance of an appointment.
  - The President shall decide the case within thirty (30) days from receipt of the protest. He/She may refer the case to a person or group of persons to assist him/her in evaluating the case.
  - The constituted body assigned to study the case shall, within fifteen (15) days from receipt thereof, evaluate the reasons/grounds presented by the protestant and submit in writing to the President its findings and recommendations. The President shall finally decide the protest within fifteen (15) days.
  - A copy of the final decision of the President shall be furnished the official or employee affected, within five (5) days from receipt by the Human Resources Management Officer.
  - If the aggrieved party is not satisfied with the decision, he/she may elevate his/her protest to the Merit Systems Board, Civil Service Commission within fifteen (15) days from receipt thereof. (CSC MC2, 1991; Grievance Machinery dated January 26, 2003).

#### 2.6.1.8. Permit to Study

- ◆ Request for permission to study either on full or part-time release basis with or without pay, shall be submitted to the Office of the President, through proper academic administrative channels at least two weeks before the opening of classes.
- ◆ Study permit shall be required of University personnel who desire to study in this institution, subject to the terms already mentioned herein.
- ◆ Study permits shall be secured every semester, unless the original approval is for a longer period.
- ◆ The procedures to be observed by Administrative Personnel who desire to study after office hour shall be as follows:
  - Prepare request for Permission to Study in duplicate copies.

- Forward the accomplished form to immediate supervisor for appropriate action.
- Forward to the President/Director the recommended favorable action for approval.
- Submit to the HRMO the action taken by the President/Director for proper monitoring/recording in the employee's 201 file.
- At the end of the term, the employee concerned must submit the required documents.

#### 2.6.1.9. Permit to Teach Outside

- ◆ Request for permission to teach outside the school after office hours shall be submitted to the Office of the President, through proper academic/administrative channels, at least two weeks before the opening of classes. The letter request engaging the services of the employee shall, invariably, be attached to the request for permission to teach, stating the subjects to be taught and number of days and time schedule.
- ◆ The number of hours devoted to teaching outside shall be determined by the university concerned duly approved by the respective Board and in accordance with the existing CSC Rules and Regulations.
- ◆ The permit to study and/or permit to teach outside should be revoked if the study or outside teaching interferes with his/her duties or impairs his/her efficiency.
- ◆ An efficiency rating not lower than "Above Average" obtained during the rating period immediately preceding the term for which the permit is desired, is a condition precedent to approval of the request.
- ◆ Other cases/situations not embraced by these rules and regulations shall be treated individually on their merits.

#### 2.6.1.10. Scholarship/Training

- ◆ Scholarship grantees shall be governed by their scholarship agreement and existing CSC Study Leave laws and regulations and other important issuances promulgated by competent authorities.
- ◆ Grantees shall submit the following documents:
  - Foreign Training

- Letter of nomination
  - Acceptance by Donor Country
  - Approval
  - Scholarship Agreement
  - Clearance from Money and Property Responsibility
  - Certification that no clothing allowance has been received for the past 24 months in claims for clothing allowance
- Local Training
- Travel Order
  - Approved itinerary of travel
  - Certificate of completion of travel
  - Certificate of appearance
  - Tickets
  - Receipts in case entitled to travel representation allowance
- ◆ The grantee shall fulfill the requirements in the scholarships/ training agreement and submit a report and recommendations within 60 days upon return.
  - ◆ Serve the institution for a specified period as stated in the contract.
  - ◆ Submit transcript of Records of Certificate of Performance at the close of each quarter, term or semester.
  - ◆ All above documents should be filed in grantee's 201 file.

#### 2.6.1.11. Leave of Absence

- ◆ All kinds of leave of absence applied for and taken by an employee shall be governed by existing SCS leave laws, rules and regulations and other pertinent issuances promulgated by competent authorities.



- ◆ Before an employee goes on leave of absence, he/she should see to it that an application for leave has been approved by proper authorities.
- ◆ Application for vacation or sick leave for one full day or more shall be made on the application form which is to be accomplished at least in duplicate.
- ◆ Application for vacation leave shall be filed in advance, or whenever possible five (5) days before going on such leave.
- ◆ Application for sick leave filed in advance, or exceeding five (5) days shall be accompanied by a medical certificate. In case medical consultation is not availed of an affidavit should be executed by the applicant.
- ◆ An employee who is absent without approved leave shall not be entitled to receive his/her salary corresponding to the period of his/her unauthorized leave of absence.
- ◆ An employee who is absent without official leave (AWOL) for thirty (30) days shall be notified in writing by the agency to report within five (5) days from receipt of notice, otherwise, he/she shall be dropped from the rolls.
- ◆ An application for leave of absence, for thirty (30) calendar days or more shall be accompanied by a clearance from money and property accountability. However, for leave of absence of more than thirty (30) days, the VPAD shall indorse the same to the President for appropriate action. For faculty members from campuses, leave of absence of more than 6 months shall be approved by the President.
- ◆ In the application for leave of absence, the employee shall clearly indicate the purpose or reason for such leave whether it be for employment in private or other government offices, inside or outside the country, otherwise such application shall be denied.
- ◆ Any employee who makes any misrepresentation in the application for leave shall be subjected to disciplinary action.

#### 2.6.1.12. Vacation Leave Credits

- ◆ Faculty members with teaching loads during vacation period shall be granted Service Credit equivalent to their official time on days of actual teaching provided they are not paid honorarium.

- ◆ Faculty members who are assigned teaching loads in excess of the approved FTE are also entitled to Service Credits provided they are not paid honorarium.
- ◆ Faculty members who are given special assignments during the vacation period by their Department Head and/or Program Directors and sanctioned by the President are entitled to service credits.
- ◆ Faculty members who report for work during term breaks, holidays, and other non-working days as authorized by the President will also be given Service Credits.
- ◆ Service credit shall be converted to vacation and sick leave using the following formula pursuant to LOI No. 1509:

If X is the number of unused service credit in work days:

$$\frac{30X + 69}{2} = \text{No. of vacation and sick leave}$$

- ◆ Unused service credits shall be converted to vacation and sick leave using the formula stated in item stated above. The total vacation and sick leave that may accumulate to the credit of a teacher may exceed 300 days.
- ◆ Commutation of teacher's accumulated leave service credits converted to vacation and sick leave shall be allowed only to those who resign, retire or are separated from the service.
- ◆ Payment of terminal leave shall be made only after confirmation of the total accumulated leave of the teacher. For the purpose of confirmation, the claim shall be supported by pertinent records showing dates, times, and places when and where service credits were earned.
- ◆ The submitted documents to ascertain entitlement of vacation service credit claimed by the faculty concerned shall be evaluated by the head of HRMO.
- ◆ The corresponding inclusive days of attendance in the employee's record shall be posted by the HRMO. For errors and for balances on computation to be easily detected and corrected indicated in the Employee Leave Card to be reliable, computations of leave credits must be reviewed by the immediate head before recording.

- ◆ The individual employee's leave card which shall be made available to parties concerned upon request shall be updated by the HRMO.

#### 2.6.1.13. Time Keeping System

- ◆ A timekeeping procedure should be maintained in the institution to monitor of employee's whereabouts during office hours.
- ◆ Designate a Timekeeper to monitor if employees reflect the actual time of arrival and departure from office.
- ◆ All staff should be required to sign the Daily Time Record Book as to the actual time of arrival and departure. At the end of the month, the immediate head should check entries in the time cards against entries in the Daily Time Record Book and should certify correctness of entries in the time card.
- ◆ Computation of leave credits should be reviewed by the immediate head before recording so that errors can be easily detected and corrected. The immediate head sign/certifies time cards before recording in the corresponding employee leave cards.
- ◆ Locator Slips shall be used in monitoring the whereabouts of the personnel during office hours – the nature whether on official or personal business; destination; purpose; date and time shall be indicated in the form. The slip shall be approved by the designated official regardless of the nature of the business. A Locator Slip will not entitle one to the use of official hours for private purpose. Thus, if on personal business, the same shall be charged against the leave credits of the employee concerned.

#### 2.6.1.14. Retirement

The following documents are required for submission upon application for retirement:

- ◆ GSIS Retirement Gratuity Adjudication
- ◆ GSIS Certificate of Clearance
- ◆ Complete Service Record
- ◆ Clearance from money, property and legal accountability
- ◆ Fiscal's clearance (place of assignment)
- ◆ Fiscal's clearance (place of residence)

- ◆ Affidavit of applicant that he/she has no pending criminal case
- ◆ Statement of assets and liabilities
- ◆ Last appointment
- ◆ Appointment showing highest salary received if salary under last appointment is not the highest.

#### 2.6.1.15. Resignation

- ◆ A resignation letter should be coursed through the immediate official for recommendation of approval, 30 days before the effectivity of the regulation.
- ◆ An employee who intends to resign shall be required to accomplish clearance from money and property accountability before resignation is accepted.
- ◆ Other documents required are Statement of Assets and Liabilities and Fiscal's Clearance (place of assignment/residence)
- ◆ Current I.D. of the employee should be surrendered upon resignation.

### 2.6.2. ***Infirmary Headed by the University Physician***

#### 2.6.2.1. Scope

The University shall maintain an Infirmary which shall be managed by a Physician, Dentist, Nurse, and Assistant/Aide.

#### 2.6.2.2. Medical Consultations

- ◆ Medical consultation and check-up for students, faculty and staff shall be free of charge.
- ◆ Consultation hours every day shall be from 8:00 A.M. to 5:00 P.M. except on Saturdays, Sundays, and Holidays.
- ◆ Medical services after office hours, Saturdays, Sundays and Holidays shall be on call basis and not free of charge.
- ◆ Medical cases which cannot be handled by the Infirmary due to limitations in its facilities shall be referred to a hospital.
- ◆ All new students shall undergo medical examination upon enrollment.
- ◆ Old students shall undergo medical examination on schedule.

- ◆ Outsiders may be entertained by the Infirmary for medical consultations, treated as an extension program/activity, free of charge but have to pay for the cost of the medicine and other medical supplies and materials used.

#### 2.6.2.3. Dental Services

- ◆ Dental check-up including general cleaning, extraction, and cementing of damaged tooth shall be free to all students of the University.
- ◆ Faculty and staff of the University shall be free from paying services fee for dental check-up, general teeth cleaning, cementing of damaged tooth but shall pay the cost of medicines and other dental supplies and materials used.
- ◆ All students shall undergo dental check-up on schedule.
- ◆ Artificial dentures for students, faculty and staff shall be paid at cost.
- ◆ Dental check-up for outsiders may be rendered free of charge as a form of extension activity of the unit. However, the medicine and other supplies and materials shall be paid at cost.
- ◆ Artificial dentures ordered by outsiders shall be charged for the cost including the service fee. Such charges should be paid directly to the campus cashier who shall issue an official receipt. It shall be deposited in a Trust Fund (Fund 184). This fund shall be used by the Medical/Dental Unit to purchase dental supplies and materials, and maintenance or purchase of dental equipment upon approval of the Board of Regents/Trustees.

#### 2.6.2.5. Medicine/Drug Acquisition and Dispensation

- ◆ Medicines/drugs may be acquired through students' medical/dental fees, administration funds, donations, and commercial suppliers.
- ◆ Medicines/drugs acquired through students' medical/dental fees shall be used exclusively for the students. The Medical and Dental Unit in every campus shall keep and maintain up-to-date records of medicines/drugs acquired and disposed of, which shall specify, among others, the name of the student, name and quantity of medicines/drugs used or received bearing the signature of the student, date used or received. The Student Body Organization shall have access to such records.

- ◆ Only medicines for common sickness may be provided free for students. Medicines for students referred to hospitals will be shouldered by parents/or guardian of the students.
- ◆ Medicines/drugs purchased from university funds shall be limited to first aid treatment and may be used for initial dosage only. The Physician shall issue medicine/drug prescription to faculty and staff. The patients in turn have to purchase them from the drug store. A report of the actual use of the medicines/drugs bearing the names of the patients, date used received, etc., shall be submitted to the Supply Officer before any subsequent request for purchase is processed.
- ◆ Funds allocated by the administration for medicines/ drugs shall be used to purchase medicines commonly used for common sickness and for emergency cases.
- ◆ Medicines/drugs and other medical/dental supplies and materials donated by other agencies/institutions shall be dispensed to patients free of charge. Students shall be given priority for the use of such donated medicines/drugs.
- ◆ Medicines/drugs supplied by commercial suppliers on consignment basis may be allowed for as long as a Memorandum of Agreement (MOA) between the Campus and the commercial establishment/drug store exists.

### 2.6.3. **Procurement**

#### 2.6.3.1. Property and Supply Office

The Procurement Unit shall only be concerned with the purchase of supplies/materials/equipment and fixed assets regardless of the mode of procurement. The functions of the office are:

- ◆ Preparation of Annual Procurement Program (APP)

An APP shall be prepared for supplies and materials in four (4) copies in order to properly plan purchases, prevent over stocks and minimize frequent emergency purchases. Copy distribution is as follows:

|               |   |                        |
|---------------|---|------------------------|
| Original      | - | Administrative Officer |
| Duplicate     | - | Procurement            |
| Triplicate    | - | Supply Officer         |
| Quadruplicate | - | Requisitioner/End-user |

The APP shall emanate from all operating units, each shall submit on the last quarter of the current year an itemized

list of supplies and materials needed on a quarterly basis for the ensuing year based on allocation from the Budget Office.

- ◆ Preparation of Requisition and Issue Voucher (RIV)

RIV shall be prepared in four (4) copies by the Requisitioner/End-user and approved by the designated approving authority. Proper distribution of the form shall be observed as follows:

|               |   |                        |
|---------------|---|------------------------|
| Original      | - | Attached to DV         |
| Duplicate     | - | Supply Office          |
| Triplicate    | - | Procurement Unit       |
| Quadruplicate | - | Requisitioner/End-user |

#### 2.6.3.2. Purchases

The Procurement Unit shall maintain a list of Accredited Suppliers to lessen time spent on the pre-qualification process. Only those non-accredited suppliers shall be required to submit necessary documents. Those previously pre-qualified shall be included in the listing. However, the list shall be regularly revised to determine if the suppliers are still in good standing with the agency.

#### 2.6.3.3. Bidding

- ◆ Based on approved requisitions, invitations to bid are prepared with specific descriptions and quantities of items called for.
- ◆ At least one week before bidding day these invitations are sent to prospective qualified and reputable bidders.
- ◆ On bidding day, which is usually on the 1<sup>st</sup> month of the quarter, the committee convenes for the opening of the bids in the presence of attending bidders.
- ◆ Bid tenders are abstracted as they are opened and read, at the same time verifying whether bond requirements are complied with. (Acceptable bonds are either CASH, CERTIFIED CHECKS OR GSIS SURETY BONDS, equivalent to 10% of the total bid and 10% performance bond in case of award.)
- ◆ Tenders are initiated by the members of the committee to indicate that they have passed upon such offers.
- ◆ Based on the tenders and abstract of bids, award is made to the offer which the committee considers most advantageous to the University, considering among others, 1) price, 2) quality, and 3) reliability of the supplier.

- ◆ The members of the committee sign the abstract to signify their approval of the award.
- ◆ The COA representative signs as witness to the proceedings of the bidding.
- ◆ Based on the award made by the committee the Procurement Division prepares a Letter Order in six copies and requests for obligation of allotment (RDA) in six copies.
- ◆ The Head of the Procurement Unit reviews and initials LO.
- ◆ The Accounting Unit certifies to availability of funds.
- ◆ From the accounting division, documents are forwarded to Internal Audit Division for attestation.
- ◆ The Authorized official approves the same.
- ◆ The Procurement Unit transmits the L.O. to winning bidders. A fine of 1/10 of 1% for each day of delay is charged the dealer in case of delays.
- ◆ Copies are distributed as follows:
  - One copy each of requisition and LO – Property Division
  - Original and duplicate of LO – Supplier
  - One copy of LO – Auditor

#### 2.6.3.4. Negotiated Purchase

Negotiated purchases are resorted to when the items requisitioned are exclusively manufactured or distributed and there is no substitute available in the market.

- ◆ Procedure
  - Quotations are secured from the exclusive manufacturer or distributor with a certification as exclusive manufacturer or distributor applicable to their respective status.
  - Based on the price quotations and certificate of manufacturer or sole distributorship, supported by the approved requisition, a negotiated form to purchase is prepared by the procurement unit.
  - The Procurement Officer reviews records and initials documents.



- Documents (Request to negotiate, requisition, quotation and certificate of manufacturer or sole distributorship) are recorded in the logbook and forwarded to the Chairman of the Bidding Committee.
- Chairman of the Committee on Bids and Awards endorses the request for negotiation with the OVPA/Campus Director otherwise, the request is returned with comments.
- The President/Campus Director approves the negotiated purchase/contract.
- The Procurement Unit prepares notices of approval to all units concerned.
- The Procurement Division prepares LO based on supporting documents.

#### 2.6.3.5. Emergency Purchase

Emergency purchases without public bidding is allowed under Section 6 of Executive Order No. 302, S-1940 in any of the following instances:

Whenever the supplies, materials, furniture, equipment or repair of an equipment are exceptionally urgent or absolutely indispensable to prevent immediate danger to, or loss of, life and/or property.

Whenever the suppliers are to be used in connection with the project or activity which cannot be delayed without prejudice to public service.

##### ◆ Procedure

- Canvass of prices is obtained from at least three reputable suppliers.
- Based on the lowest responsive offer and amount up to P1,000.00 the unit may be purchased directly without the need for a requisition or an LO, provided there are available funds for the purpose.
- Reimbursement or direct payment may be effected by accomplishing a disbursement voucher (General Form 5A) supported by a ROA, an official Receipt or invoice duly signed by the company, taxpayer's certificate, report of inspection and a statement by the unit head that:

The price paid or contracted for is reasonable and that it is the lowest obtainable at the time of purchase or order.

- For amounts over P1,000.00 up to P5,000.00 a requisition has to be accomplished supported by at least three canvass of prices plus statement of the department head on the emergency nature of the purchase and a certification that the price is the lowest obtainable at the time of canvass.

If the above requirements are complied with, a LO shall be prepared in the same manner as the other modes of purchases.

#### 2.6.4. **Records Management**

It is the policy of WPU to strictly adhere to the efficient, effective and economical implementation of the records management program as it is a vital tool for the provision of an accurate and timely information whenever and wherever it is needed in the university system.

##### 2.6.4.1. Records Creation

- ◆ It is the phase of the organizational operations where exchange of written communications between two sources occurs, thereby starting the life cycle of the record. This may be in the form of either: 1) incoming communications coming from outside the office; or 2) outgoing and/or intra-department communications originating from the office.
- ◆ Records are generally grouped into four (5) kinds:
  - Correspondence (Plain letters, Endorsements)
  - Administrative Issuances (Executive Orders, Administrative Orders, Proclamations, Intra-Office Circulars like Office Circulars, General Circulars, Memorandum Circulars, Office Memorandum, Office Orders, Bulletins, Manuals, Handbooks, Special Orders, Travel Orders)
  - Reports (Special, narrative, inspection, investigation, statistical, etc.)
  - Forms (Information sheets, service record, employment application, etc.)
  - Other kinds of records such as legal opinions, research studies, minutes, etc. may be created.

#### 2.6.4.2. Records Maintenance

- ◆ It is the phase of record management which deals with the active growth, keeping and using records. It deals with the recording, handling, routing, classifying cross-referencing, sorting and servicing records. This involves the use of maintenance facilities, control systems and operating procedures.
- ◆ All official correspondence intended for the University whether addressed to the President or any other official, shall be coursed through the Records Section for recording and routing to proper action units.
- ◆ There shall be no direct deliveries of incoming communications to action units by individuals. All communications delivered directly will first be made to pass through the Records Section for proper recording. As much as possible, there shall be no hand carrying of correspondence within the university by outside parties. All officials and employees shall inform the transacting public of this regulation and shall adhere to it.
- ◆ The Records Section adopts the following standard operating procedures:
  - Receiving
  - Sorting
  - Opening
  - Stamping
  - Routing
  - Assigning of correspondence numbers
  - Recording
  - Logging
  - Delivery to action units.

#### 2.6.4.3. Classifying and Filing Records

- ◆ Records should first be filed according to their subject classification. The following procedure is suggested:
- ◆ Determine whether the records are ready for filing. This involves:
  - Seeing that the action necessary to the communication has been completed;
  - Examining whether enclosures, attachments, etc. mentioned in the communication are complete;
  - Checking up on signatures and initials on the communication; and

- Inspecting the page sequence when the material to be filed involves more than one page.

Often times, the file copy is marked “File” or “Released” and signed or initialed by the appropriate official to show that the paper has been officially released and is ready for filing.

- ◆ Select from the file classification guide the appropriate primary as well as secondary classification for the file material. This may be extended further to use tertiary classifications.
- ◆ Write the complete filing designation on the upper right hand corner of the materials, in clear, legible writing.
- ◆ Sort the material to be filed. Materials are sorted first according to major subject categories, then by secondary categories.
- ◆ After the papers have been classified, sorted and assembled, file the material.

#### 2.6.4.4. Records Disposition

- ◆ It is the phase of records management which deals with the systematic removal from office to storage of records that are needed for everyday operation, identification and preservation of permanently valuable records and the destruction of valueless ones.
- ◆ Not all records are preserved for permanent use of the agency, as doing so would mean a need for more space and equipment. To keep space and equipment needs at a minimum inactive or non-current, records should be kept in temporary storage until their retention period expires.
- ◆ Permanent records which are worthy of preservation usually reflect those of the administrative history of the agency, the policies they follow, the reasons for their adoption, the working methods, specific individual transactions, including personnel service and the general, social, economic, or other conditions which the agency is dealing with.
- ◆ Non-current records have varying periods of usefulness to the agency that maintain them. Because of this, it is necessary to determine how long they should be retained in retirement to satisfy their administrative and legal requirements. Non-current records awaiting the termination of their prescription period may be transferred to less expensive storage areas. Non-current records which are of no record value to the agency, or temporary records whose retention periods have expired, should be disposed of.

- ◆ All requests for storage of non-current records submitted by units of the agency shall reflect information containing a brief description of the record series turned over, and inclusive dates covered by the record and volume.
- ◆ The University observes standard procedure in disposing of records:
  - The university shall prepare an inventory of its records holding in the prescribed form as an initial step in developing the Records Disposition Schedule (RDS) and for whatever purpose it may deem necessary.
  - The University shall observe the General Disposition Records Schedules in determining the disposal of its valueless records.
  - The University first secures authority from the Director of the Records Management and Archives Office before destroying or selling any record.
  - Upon receipt of request for authority to dispose of records, the Chief of the Current Records Division, acting for the director, shall assign a Records Management Analyst to appraise and examine the disposable records of the University and recommend the manner or method of disposal, such as by burning or direct sale or shredding before sale in the prescribed form.
  - The Records Officer who is in custody of the records holding shall be responsible for the safekeeping of the valueless records until their disposal is authorized.
  - The Records Management and Archives Office together with representatives of DECS and COA may reappraise and reexamine records for disposal as the need arises.
  - To safeguard the sanctity of the records and to check that records to be disposed of are of the same records which were appraised and examined and that no insertions had been done, the actual disposal of records shall be witnessed by a representative of the University, the RMAO and COA.
  - A Certificate of Disposal shall be prepared in triplicate by the University and witnessed by the representatives of the Commission on Audit, Records Management and Archives Office and the owning agency upon the delivery of the disposable records to the paper mills or warehouse of the winning bidder.

- The Certificate shall indicate the nature of the records, the manner, place and date of disposal and their approximate volume in cubic meters and weight.
- The original copy goes to the University, a copy for the Records Management and Archives Office and a copy for the Commission on Audit.
- The University shall submit a report on the disposal of valueless records to the Records Management and Archives Office.
- All proceeds realized from the sale of disposed valueless records shall be remitted to University Funds.
- The University shall determine when to have its file breaks. File breaks are generally set during the slack periods of filing and servicing. A file break may be set at the end of the fiscal year or calendar year.

Records shall be disposed of periodically, usually once a year, soon after a file break.

#### 2.6.4.5. Reference Service

- ◆ Reference service is a process by which non-current records stored in the record storage center are made available to office personnel government agencies and the public in general. While non-current records which are in temporary storage in the records center, can be referred to as needed.
- ◆ Reference service in the record storage center should be made in accordance with the approved procedures to avoid loss or misplacement of records. Significant aspects to consider which may serve as guide are as follows:
  - The office should designate personnel for all contacts with the record storage center. This pinpoints responsibility and clarifies accountability.
  - Priority in the request for non-current records should be given to those coming from government agencies.
  - Other requests should be attended to on a "first come, first served" basis.
  - Ample allowances for time to service records needed should be considered; and

- Proper accomplishment of a reference service request slip and prompt return of borrowed records at the prescribed period after use should be observed.

#### 2.6.4.6. Finance

##### ◆ Functions of the Finance Director

- Recommends policies for the improvement and direction of the overall management and financial service functions of the institute;
- Monitors inputs and information on the supervision and coordination of program project development, human resource development, fiscal matters, innovations and inventions to ease administrative and financial problems;
- Develops policies and procedural guidelines for uniform application of the institute towards the attainment of effective, efficient, economical and work-simplified targets;
- Develops and establishes networking system for the internal and external environment of the institute in such management aspects as financial organizing, planning, forecasting and control for implementation and dissemination;
- Evaluates the outcomes and makes adjustments in the Finance and Management system;
- Represents the head of the institute (as directed in administrative and financial concerns in inter-agency conferences) in government and non-government bodies involving faculty and staff development, budgeting and control, property and supply management, institutional and fiscal planning and other related matters;
- Supervises the work of the accounting, cashier, procurement, budget and management divisions of the institute including the coordination with the campuses;
- Exercises professional leadership and undertakes other functions and responsibilities as may be assigned by superior authorities.

##### ◆ Functions of the Budgeting Office

- Develops and improves budgetary methods and procedures, and justifications.

- Provides budget subject to budgetary ceiling fund estimate in support of WPU operations, plans and programs.
  - Prepares annual financial work plans.
  - Allocates available funds to programs on the basis of approved guidelines and priorities
  - Reviews performance report to determine conformity with set standards.
  - Prepares financial report for management guidance as required by higher authorities.
- ◆ Preparation of Budget Proposals
- The annual budget of WPU shall be prepared in accordance with the budgetary policies of the government and the rules and regulations prescribed by the Board of Regents/Trustees.
  - Budget preparation shall start at the unit level of the different operating units of the university.
  - The campus coordinators for Instruction, Research, Extension, Production, Administration and Planning shall prepare estimates or budgetary requirements for their respective programs/projects.
  - Heads of operating units shall submit their estimates or budgetary requirements to the Budget Office together with the justifications not later than every 20<sup>th</sup> of January.
  - The Budget Office of the Administration shall consolidate these estimates/budgetary requirements for approval by the Board of Regents/Trustees. These shall then be submitted to the Department of Budget and Management in the form of Budget Proposals on or before May 2 of each year or on the date as specified in the budget call.
  - In budget preparation, focusing resources towards agricultural modernization, poverty reduction, information and communications technology must be considered in order to support the long-term goals of sustained growth and equitable development.
  - Baseline budgeting approach shall continue to be used. This refers to the minimum level of expenditures at which the SUC still continue to operate at the budget year's level and be able to perform its basic mandate and functions.



- In the budgetary process, mandatory expenditures shall have precedence over other types of expenditures.
  - The DBM and CHED subsequently shall schedule a Technical Budget Hearing to take up the necessary corrections in the Budget Proposals submitted.
  - Congress and Senate will issue additional requirements to support the year's submitted budget proposal on the last week of July.
  - Budget Hearing at the House of Representative is held usually during the 1<sup>st</sup> week of September of each year.
  - Senate Hearing is usually held during the last week of September or 1<sup>st</sup> week of October of each year.
- ◆ Budget Implementation
- No transfer of funds shall be allowed/authorized except for justifiable and actual emergency situation. In such emergency cases, WPU President with the approval of the Board of Regents/Trustees may direct the transfer of funds from one item to another but not to exceed 33 1/3 percent of the amount appropriated for such item.
  - Pending the approval of the budget for the ensuing year, WPU shall operate based on the previous year budget.
  - Any additional request for fund made by any of the operating units should not be paid without being out as authorized by the Board of Regents/Trustees. In cases where it is no longer possible to sub-allot to the requesting operating units, emergency expenditures shall be processed at the Administration or at the operating unit, which has generated savings at the end of the fiscal year.
  - Fund releases for Capital Outlay (Infrastructure projects) are kept with the Administration. To ensure participation of the operating units, who are end users, the heads are automatic members of the Pre-qualification, Bid and Award Committee. They are likewise signatories to the accomplishment report, a document required to support payment of actual progress billings for infrastructure project. For Equipment Outlay, the funds shall be released to the operating units which shall be responsible for acquisition and payment.

- The SUC President shall be authorized to order the closing of accounts of completed and dormant projects and direct the reversion of any balance to the original funds from which these funds were drawn or to the general unassigned funds of WPU.
- Income from tuition fees and other necessary charges such as: matriculation fees, graduation fees, laboratory fees, medical and dental fees, library fees, athletic fees and other similar fees, and the net income from auxiliary services shall be deposited in an authorized government depository bank as special trust fund. The said trust funds shall be used to augment the maintenance and other operating expenses and capital outlays fund of the university. They may also be used to pay authorized allowances and fringe benefits to teachers, employees, and students.
- WPU is likewise authorized under Letter of Instruction Nos. 872 and 1026 to retain as Revolving Fund income from food production and manufacturing operations as Revolving Fund.
- SUC Board of Regents is authorized to disburse such income from tuition fees and other charges as well as those generated from the operation of auxiliary services and land grants, for instruction, research, extension or other programs/ projects of SUC. Such disbursements require a special budget duly approved by the Board of Regents/Trustees which is empowered by R.A. 8292 to appropriate the income of the university, and allocate funds with flexibility.

2.6.4.7. Use Of Income From Tuition Fees, Other Miscellaneous Fees, And Net Income From Operations Of Auxilliary Services And Income Generating Projects

- ◆ Operating units are required to remit their collections from tuition fees and other fees to the Administration within 15 working days after enrollment.
- ◆ Net income realized from operations of Auxilliary Services and Income Generating Projects shall likewise be deposited to the Administration not later than the end of January of each year.
- ◆ As the need arises, the Special Budget Committees shall convene to prepare a special budget out of the income deposited from the different operating units as certified by the Chief Accountant for recommendation to the Board for approval. The said Committee shall be composed of the following:

Chairman : VP for Administration  
 Co-Chairman : Director for Finance  
 Members : University Planning Officer  
                   Heads Operating Units  
                   Auxiliary Services Chief  
                   Chief Accountant  
                   University Budget Officer

- ◆ The approved budget shall be sub-allotted to the different operating units.

#### 2.6.4.8. Fund Releases

The operating units receive their share from the WPU's budget through sub-allotments issued by the Administration on a monthly basis.

To facilitate effective management in the transfer of allotments to the different operating units, the following policy guidelines shall apply:

- ◆ Monthly sub-allotments to operating units shall continue to be released by the Central Administration on the basis of their actual needs and subject to the available Notice of Cash Allocation issued by the Department of Budget and Management.
- ◆ The policy on "No report, no release" shall be strictly adhered to in the issuance of sub-allotment to the different operating units which will serve as the basis for the succeeding monthly release.
- ◆ Any unexpended balance during the previous month shall be deducted from the regular monthly release.
- ◆ Any authorized amount due to the operating unit that remains unissued but subsequently needed by the unit can still be requested for release within the calendar year subject to the submission of status report that will justify the said request.
- ◆ The following guidelines shall be maintained in the issuance of sub-allotments to the operating units:

| <u>Program/Project</u>                         | <u>Criteria</u>  |
|--|--|
| A. General Administration and Support Services | 1. Number of personnel<br>2. Physical facilities both buildings and equipment<br>3. Activities of the unit   |
| B. Auxiliary Services                          | 1. Number of personnel<br>2. Existing service projects<br>3. Physical facilities and equipment   |
| C. Advanced Education<br>D. Higher Education   | 1. Number of personnel<br>2. Enrollment<br>3. Number of programs offered<br>4. Programs for accreditation<br>5. Number of scholars<br>6. Textbook requirements<br>7. Physical facilities and equipment |
| E. Research Services                           | 1. Number of personnel<br>2. Physical facilities and equipment<br>3. Number of research projects to be conducted   |
| F. Extension Services                          | 1. Number of personnel<br>2. Physical facilities and equipment<br>3. Training/seminars for OSY, Farmers/GAD  |

#### 2.6.4.9. Accounting Office

##### ◆ Functions of the Accounting Office

- Gives advice on financial matters
- Prepares and submits financial reports to management and other government departments and agencies authorized to receive such reports;
- Maintains basic and subsidiary accounting records and books of accounts to reflect accurate and current financial information required by existing auditing rules and regulations and by management;

- Certifies to the availability of funds, obligates funds, and issues treasury warrants to liquidate obligations;
- Prepares billings to debtors of the national government.
- ◆ Internal Accounting Control for Disbursement
  - No money shall be paid out to any public treasury or depository except in pursuance of an appropriation, law or other specific statutory authority.
  - Government funds shall be spent or used solely for public purposes.
  - Trust funds shall be available and may be spent only for the specific purpose for which the trust was created on the funds received.
  - Fiscal responsibility shall, to the greatest extent, be shared by all those exercising authority over the financial affairs, transactions and operations of the government agency.
  - Disbursement or disposition of government funds or property shall invariably bear the approval of the proper officials.
  - Claims against government funds shall be supported with complete documents.
  - All laws and regulations applicable to financial transactions shall be faithfully adhered to.
  - Controlling accounts should be used as extensively as possible. Controlling accounts serve as a proof of accuracy between account balances and between duly segregated employees.
  - All necessary sets of books should be maintained and reports should be regularly prepared and tied-up with the respective controlling accounts.
  - Accounting and disbursement functions should not be vested on one individual. An employee should not have control of the operations giving rise to entries in the records i.e., the general ledger bookkeeper should not have access to the cash or to the records of cash sales.
  - Payments should be properly approved and be made by check whenever necessary and issued to the name of the payee.

- All collections should be properly receipted and deposited intact and promptly in accordance with pertinent regulations.
- Accountable officers should be properly bonded.
- ◆ Accounting for Allotments and Obligations
  - The approved budget is not self-executory. It can be utilized only upon the release of allotments: the GARO and the SARO. These GAROs and SAROs serve as the authority to incur obligations. GAROs are released annually by allotment class and in accordance with the itemization in the budget. SAROs are released monthly or upon approval of the Department of Budget and Management of the request of the University for payment of accounts payable and retirement gratuity or terminal leave pay of retirees.
  - To prevent the incurrence of overdraft, funds are earmarked for each proposed expenditure.
  - For each obligation, a Request for Obligation of Allotment (ROA) is prepared to take up the incurrence of expenditures for any lawful act made by an accountable officer for and in behalf of the agency in the performance of its functions and goals.
  - Disbursements shall be covered by a disbursement voucher and obligations are paid either by check or in cash.
  - Payments by checks are those obligations which are due to creditors for payment of deliveries of supplies and services, advertisements, newspapers subscriptions, traveling expenses, seminar fees, regular expenses such as light and power, telephone bills and other obligations payable to other agencies.
  - Checks issued including those which are cancelled or voided are recorded chronologically in the report of checks issued and cancelled and these reports are prepared monthly and by funds.
  - Payments in cash are those obligations such as salaries and wages, commutable allowances and in some instances, payments of honoraria and other similar compensation benefits.

- No payment of any nature shall be received by a collecting officer without immediately issuing an official receipt in acknowledgment thereof.
- The cashier shall deposit all intact collections as well as collections turned over to him/her by designated collectors with the authorized depository bank daily or as the need so requires.
- The cashier should prepare a report of collections and deposits and a copy of the report shall be submitted to the accountant.
- The cashier shall also record in the cash book all collections received. The cash in treasury account shall be debited with the collections received, and credited with the collections deposited with the authorized depository bank.
- The Cash Section shall submit the following to the Accounting Section.
  - Reports of checks issued and cancelled – RCIC – All Funds – 101, 161, 184, Zonal Center Fund, 164 (3) MDS, MDS (A/P) on or before every the last working day of the month.
  - RDDO – Report of disbursement by deputized disbursing officer 101, 161, 184, Zonal Center Fund, 164 (3) not later than the last working day of the month.
  - Reports of collection and deposit – RCD 101, 161, 184 164 (3), TOP not later than the last working day of the month.
  - Completed accountable forms to be submitted to COA every month.
  - RCIC, RDDO, RCD shall also be submitted to COA.

◆ Reports

SUCs shall submit the required reports to the different government agencies in accordance with existing guidelines set forth, as follows:

➤ Department of Budget and Management

- MONTHLY – On or before the 10<sup>th</sup> day of the following month
  - Consolidated Trial Balance – Fund 101
  - Statement of Allotment Obligations and Balances – Fund 101
  - Breakdown and Status of Sub-Allotment (Cash Advances) released to different campuses – fund 101
  - Charges to Accounts Payable (BAF 305) – Fund 101
  - Summary of Taxes Withheld – Fund 101 – on or before the 25<sup>th</sup> day of the month.
  - Consolidated Trial Balance – Fund 164
  - Statement of Allotment Obligations and Balances – Fund 164
  - Charges of Accounts Payable (BAF 305) – Fund 164
  
- QUARTERLY – On or before the 10<sup>th</sup> day of the following month
  - Statement of Allotment Obligations and Balances – By Project – Fund 101
  - Report of Actual Income – Fund 164
  
- ANNUALLY – On or before the 14<sup>th</sup> and 28<sup>th</sup> day of February of the following year
  - Preliminary Consolidated Trial Balance Fund – 101
  - Statement of Accounts Payable (BAF 304) Fund 101
  - Preliminary Consolidated Trial Balance Fund 164
  - Statement of Accounts Payable (BAF 304) Fund 164
  - Final Consolidated Trial Balance –Fund 101
  - Final Consolidated Trial Balance Fund 164

}

On or  
before  
the  
14<sup>th</sup> day  
of  
February



➤ Commission on Audit

- QUARTERLY –On or before April 30, July 30 & October 30
  - Consolidated Trial Balance – Fund 101
  - Statement of Allotment, Obligations and Balances – Fund 101
  - Detailed Statement of Cumulative Obligations Incurred, Obligations Liquidated/Disbursement and Unliquidated Obligations – Fund 101
  - Report of the Result of Expended Appropriations – Fund 101
  - Consolidated Trial Balance – Fund 184
  - Consolidated Trial Balance – Fund 161
  - Consolidated Trial Balance – Fund 164
  - Statement of Allotment, Obligations and Balances – Fund 164
  - Detailed Statement of Cumulative Obligations Incurred, Obligations Liquidated/Disbursements and Unliquidated Obligations – Fund 164
  - Statement of Accounts Payable - Fund 164
- ANNUALLY
- Preliminaries – On or before the 14<sup>th</sup> day of February
  - Consolidated Preliminary Trial Balance – Fund 101
  - Statement of Allotment, Obligations and Balances – Fund 101
  - Detailed Statement of Cumulative Obligations Incurred, Obligations Liquidated/Disbursements and Unliquidated Obligations p-Fund 101
  - Report of the Result of Expended Appropriations – Fund 101
  - Consolidated Preliminary Trial Balance – Fund 161

- Consolidated Preliminary Trial Balance – Fund 164
- Statement of Allotment, Obligations and Balances – Fund 164
- Detailed Statement of Cumulative Obligations Incurred, Obligations Liquidated/Disbursements and Unliquidated Obligations – Fund 164
- Breakdown of Income – Fund 164
- Consolidated Preliminary Trial Balance – Fund 184
- Final – On or before the 28<sup>th</sup> day of February
  - Final Consolidated Trial Balance – Fund 101
  - Comparative Consolidated Balance Sheet – Fund 101
  - Comparative Statement of Operations – Fund 101
  - Analysis of Account 8-99-000 – Fund 101
  - Statement of Income – Fund 101
  - Closing Entries – Fund 101
  - Consolidated Final Trial Balance – Fund 161
  - Comparative Consolidated Balance Sheet – Fund 161
  - Closing Entries – Fund 161
  - Consolidated Final Trial Balance – Fund 184
  - Comparative Consolidated Balance Sheet – Fund 184
  - Closing Entries – Fund 184
  - Consolidated Final Trial Balance – Fund 184
  - Closing Entries – Fund 164

#### 2.6.4.10. Cashier's Office Headed by a Chief

##### ◆ Functions of the Cashier's Office

- Advises management on the collections and disbursements of funds;
- Prepares and submits financial reports to management and other government agencies;
- Coordinates with the depository banks on the status of funds;
- Deposits all collections and income to the authorized bank.

#### 2.6.5. ***Functions of the Business Venture Division Managed by a Director.***

2.6.5.1. The Director for Business Ventures shall be directly responsible to the Vice President for Administration and shall perform the duties and responsibilities specified in Section 12.3, Book I of University, to wit:

- Assist the VP for Administration in the overall supervision of the income-generating projects of the University;
- Supervise the maintenance and operations of the different business ventures/income generating projects of the university;
- Initiate the evaluation of university income-generating projects to determine the strengths, weaknesses and financial sustainability and recommend to proper authorities the expansion and/or diversification of viable business ventures;
- Identify existing non-income generating projects of the university that could be harnessed as a potential money maker;
- Establish linkages for efficient market/disposal of products and to facilitate the enter into contracts with business partners;
- Formulate and implement operational policies of university business undertakings;
- Prepare and submit feasibility studies of other possible business ventures;

- Conduct internal audit and request for the conduct of external audit as to the operation of on-going business to have fair presentation of the financial statements;
  - Prepare and submit annual plans, targets and budgets for the maintenance, operations, expansions or diversification of projects for approval by proper authorities;
  - Administer the budgetary appropriation of the division;
  - Submit monthly financial reports and annual accomplishment reports of the division to the University President through the VP for Administration;
  - Rate all personnel of the division based on their actual performance for two rating periods a year and submit to the proper authority for approval;
  - Recommend to the University President through the Board of Management/Merit and Promotion Board a list of qualified and deserving employees of the division for rewards/awards/promotion/ incentives; and
  - Perform other related functions as the Vice President for Administration may assign from time to time.
- 2.6.5.2. Initiates, reviews and develops proposals and guidelines on income-generation projects consistent with the available resources of the different sectors of the University;
- 2.6.5.3. Undertakes a continuing study of the requirements of the University as regards the production;
- 2.6.5.4. Plans, implements, directs, controls and appraises all activities of the division involving all commercial work orders and prototype construction and all other activities concerning the manufacture of products/articles/ services;
- 2.6.5.5. Supervises and facilitates the coordination of production with instructors in all production areas;
- 2.6.5.6. Provides leadership in production of prototype for every course of the college;
- 2.6.5.7. Evaluates and consolidates reports of production, data and cost estimated for ready references;
- 2.6.5.8. Coordinates with instructors in undertaking commercial work orders;

**2.6.6. Functions of the Auxiliary Services Division Managed by a Director.**

2.6.6.1. The Director for Auxiliary Services shall be designated by the University President through the recommendation of the Vice President for Administration to be confirmed by the Board. He/she shall be directly responsible to the Vice President for Administration and shall perform his/her duties and responsibilities mentioned in Section 11.3, Book I of the University Code, to with:

- Supervise the maintenance and operation of housing services, food services, infirmary, printing and university store; and other projects under his division;
- Assist all section heads in preparing their plans and budgets for the maintenance, operations and expansions of different projects;
- Undertake the office budget analysis and submit recommendations for office annual budget;
- Administer the budget appropriation of the auxiliary services division in consultation with the section heads and other university officials;
- Coordinate with section heads of the auxiliary services division for efficiency of services;
- Monitor and evaluate the performance of the different sections for improvement of the services;

2.6.6.2. Evaluates the effectiveness of various auxiliary services in meeting the needs of students and employees of the institute; and

2.6.6.3. Evaluates the effectiveness of various auxiliary services in meeting the needs of students and employees of the institute;

## APPENDIX A

### Sample of Minutes of Board Meeting/Session

The common agenda format used in SUCs is shown in the following sample:

**THIRD REGULAR BOARD MEETING  
SUC BOARD OF T/R  
Venue  
Date and Time**

**AGENDA**

| <b>I. Preliminary Matters</b>   | <b>Desired Action</b> | <b>Index</b> |
|---|-----------------------|--------------|
| A. Call to Order  |                       |              |
| B. Roll Call to Determine Quorum  |                       |              |
| C. Approval of Agenda   | Approval              | "A"          |
| D. Minutes of the Previous Meeting                                      | Approval              | "B"          |
| E. Business from Minutes  | Identification        |              |
| F. Report of the President  |                       |              |
| ♦ On Board Resolutions  | Notation              | "C"          |
| ♦ On Highlights of Institutional Activities During the Previous Quarter | Notation              | "D"          |
| <br>  |                       |              |
| <b>II. New Business</b>   |                       |              |
| <br>  |                       |              |
| A. <b>Academic Matters</b>  |                       |              |
| 1. Enrolment by Course  | Notation              | "E"          |
| 2. Curricular Revision  | Approval              | "F"          |
| 3. Etc.   |                       |              |
| <br>  |                       |              |
| B. <b>Administrative Matters</b>  |                       |              |
| 1. Proposed Policy Recommended by the Administrative Council            | Deliberation/Approval | "G"          |
| 2. Authority to undertake Infrastructure Project                        | Approval              | "H"          |
| 3. Renewal of Contract on _____   | Approval              | "I"          |
| 4. Result of Bidding  | Approval              | "J"          |
| 5. Personnel Benefits   | Approval              | "K"          |
| <br>  |                       |              |
| <b>III. Other Matters</b>   |                       |              |
| 1. As requested/presented   |                       |              |
| <br>  |                       |              |
| <b>IV. Adjournment</b>  |                       |              |

Submitted by:

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Board Secretary

## CONTENTS

|  | <b>Page</b> |
|--|-------------|
| 1. The Governing Board .....   | 2           |
| 1.1 Composition and Manner of Appointments .....   | 2           |
| 1.1.1 Composition of the Governing Board (GB) .....  | 2           |
| 1.1.2 Manner of Appointments .....   | 3           |
| 1.2 Board Meetings .....   | 6           |
| 1.2.1 Regular Meetings .....   | 6           |
| 1.2.2 Special Meetings .....   | 6           |
| 1.2.3 Presiding Board Meetings .....   | 7           |
| 1.2.4 Determining a Quorum .....   | 7           |
| 1.2.5 Securing GB Authority/Approval Through Referendum(s) .....   | 7           |
| 1.2.6 Preparing Agenda of Board Meetings .....   | 8           |
| 1.2.7 Preparing Minutes of Board Meetings .....  | 8           |
| 1.2.8 Composing a Board Resolution .....   | 8           |
| 1.2.9 Preparing and Releasing Excerpts of Board Resolutions .....  | 9           |
| 1.2.10 Organizing Committees of the GB .....   | 10          |
| 1.2.11 Compensation of the Board of Regents.....   | 10          |
| 1.2.12 Inducting/Orienting the New WPU Presidents .....  | 11          |
| 1.3 Powers and Duties of the Governing Board .....   | 12          |
| 1.3.1 General Powers .....   | 12          |
| 1.3.2 Specific Powers and Duties .....   | 12          |
| 1.4 GB Actions/Resolutions; DBM and COA Clarifications/Guidelines on<br>Specific Powers and Duties of the GB ..... | 16          |
| 1.4.1 COA Guidelines and Procedures on Use of Income .....   | 16          |
| 1.4.2 On GB Power to Receive and Appropriate Income<br>(Sec. 4-(b), RA 8292) .....                                 | 17          |
| 1.4.3 DBM Clarification on GB Power to Retain Collections<br>(Section 2-(b) of RA 8292) .....                      | 18          |
| 1.4.4 COA Clarification on GB Power to Appropriate .....   | 18          |
| 1.4.5 On Power to Delegate Authority .....   | 18          |
| 1.4.6 Power to Construct/Repair (Sec. 4-(f), RA 8292) .....  | 19          |
| 1.4.7 On Power to Approve or Confirm .....   | 20          |

|  | <b>Page</b> |
|--|-------------|
| 2. Organization and Administration of SUCs .....                               | 21          |
| 2.1. SUC Presidency .....  | 21          |
| 2.1.1. Term of Office of SUC President .....                                   | 21          |
| 2.1.2. Qualifications of the University President.....                         | 21          |
| 2.1.3. Search Committee for the Presidency (SCP) .....                         | 22          |
| 2.1.4. Appointment of New SUC President .....                                  | 22          |
| 2.1.5. Reappointment and Tenure of Incumbents .....                            | 22          |
| 2.1.6. Salary of the SUC President .....                                       | 23          |
| 2.1.7. Powers and Duties of the SUC President .....                            | 23          |
| 2.2. The Vice-Presidents: Duties and Functions .....                           | 25          |
| 2.3. Other Officers of the SUC .....   | 26          |
| 2.4. The Organizational Structure of SUCs .....                                | 28          |
| 2.5. The Administrative Council (ADCO) .....                                   | 29          |
| 2.5.1. Composition .....   | 29          |
| 2.5.2. Functions .....   | 30          |
| 2.5.3. Meetings and Quorum .....   | 30          |
| 2.6. Systems and Procedures on Key Administrative Transactions .....           | 30          |
| 2.6.1. Human Resource Related Matters .....                                    | 30          |
| 2.6.2. Infirmary Headed by the University Physician .....                      | 44          |
| 2.6.3. Procurement .....   | 46          |
| 2.6.4. Records Management .....  | 50          |
| 2.6.5. Functions of the Business Venture Managed by a Director .....           | 67          |
| 2.6.6. Functions of the Auxiliary Services Division Headed by a Director ..... | 69          |

## **Appendix**

|  |    |
|--|----|
| A Sample of Minutes of Board Meeting/Session ..... | 70 |
|--|----|