



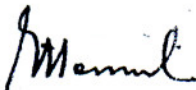
**DEPARTMENT OF BUDGET AND MANAGEMENT
and
COMMISSION ON HIGHER EDUCATION**

**JOINT CIRCULAR No. 1-A, s. 2003
October 24, 2003**


TO : THE HEADS OF STATE UNIVERSITIES AND COLLEGES (SUCs); THE REGIONAL DIRECTORS OF THE DEPARTMENT OF BUDGET AND MANAGEMENT (DBM) AND THE COMMISSION ON HIGHER EDUCATION (CHED); AND ALL OTHERS CONCERNED

SUBJECT : SUC LEVELING INSTRUMENT AND GUIDELINES FOR THE IMPLEMENTATION THEREOF

- 1.0 This Circular is issued to amend Section 3 and Annex A of DBM-CHED Joint Circular No. 1 dated May 24, 2003, providing for the SUC Leveling Instrument and Guidelines for Implementation thereof.
- 2.0 Item 3.0 thereof is hereby amended to read as follows:
 - 3.0 To implement the said Instrument, all SUCs shall submit to the CHED Regional Office concerned all pertinent documents for evaluation. The initial evaluation shall be done by a Regional Evaluation Committee (REC) composed of the CHED Regional Director as Chair, and the DBM Regional Director and the PASUC Regional Chair as members, provided that the PASUC Regional Chair shall have an alternate who will sit in his/her stead when his/her own SUC is under evaluation. The results shall be forwarded to the National Evaluation Committee (NEC) co-chaired by CHED and DBM for final approval. The NEC shall be composed of three (3) other members, one from DBM, one from CHED, and the PASUC Executive Director. Such evaluation shall be undertaken once every three (3) years starting 2003.
- 3.0 The revised SUC Leveling Instrument jointly formulated by the CHED, DBM and the Philippine Association of State Universities and Colleges (PASUC) is attached herewith as Annex A.
- 4.0 This Circular shall take effect immediately.


EMILIA T. BONCODIN
Secretary

Department of Budget and Management


BRO. ROLANDO R. DIZON
Chairperson
Commission on Higher Education

**LEVELING INSTRUMENT FOR STATE UNIVERSITIES AND COLLEGES (SUCs)
AND GUIDELINES FOR IMPLEMENTATION**

I. RATIONALE

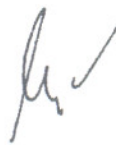
The SUC Leveling Instrument is used to determine the classification level of the SUC President and Vice President, including the allowable number of the latter. The present instrument was established in National Compensation Circular No. 12 which took effect May 1, 1979. Many of the SUCs have outgrown their levels quantitatively and qualitatively, hence, their stages of development need to be reevaluated. The leveling instrument also needs updating to make it more sensitive to the state of development of SUCs and to take into account the level of performance of an institution in the areas of instruction, research and extension, as well as management of resources.

There is therefore a need to revise the existing SUC Leveling Instrument. The *Leveling Instrument for SUCs and Guidelines for Implementation* contained herein was prepared jointly by the Commission on Higher Education (CHED), the Department of Budget and Management (DBM) and the Philippine Association of State Universities and Colleges (PASUC). The Instrument responds to the standards for SUCs set by the CHED on quality and excellence, relevance and responsiveness, access and equity; the Long Term Higher Education Development Plan, 2001-2010; and the recommendation of the Presidential Commission on Educational Reforms to make SUCs self-sustaining institutions.

II. BACKGROUND

Under NCC 12, SUCs were categorized into nine (9) levels which were determined through a quantitative evaluation of enrolment size, number of programs, faculty size and profile, resources devoted to research, extension and non-formal training activities, number of dormitories and residents, appropriations for current operating expenditures and other related factors.

Upon the implementation of RA 6758, also known as the Salary Standardization Law (SSL) in 1989, the 9 levels were compressed into four (4) levels. The seventy eight (78) SUCs existing at that time were allocated to these four levels. Since then, the number of SUCs has grown to 111. SUCs created subsequent to the initial leveling have not yet been evaluated.



III. DEFINITION OF TERMS

For purposes of clarity, the following terms are hereby defined operationally:

1. Accreditation Status – Program offerings with accreditation from accrediting agencies
2. Center of Excellence/Center of Development – Programs identified as such by CHED
3. Faculty profile – Highest educational attainment or degree attained by the current members of the faculty in their respective areas of specialization, and percentage of faculty with master's and doctoral degrees
4. Income and receipts from government and non-government sources – Includes revenues from tuition, Income Generating Projects, sale of intellectual products, fees for consultancy and other services, grants or donations, and financial assistance from various sources.
5. Merit Scholarships – Grants/financial awards given to students based on merit or scholastic qualifications, awarded by donors outside the SUC (e.g. DOST, CHED, Metrobank Foundation, Inc). The sending of scholars is an indication of recognition by the donors of the quality of an HEI's programs.
6. Points Allocation – The number of points assigned to specific components or indicators of a criterion.
7. PRC Performance – Percentage passing grade in Professional Licensure Examinations compared to national percentage passing grade during the last three years preceding to the evaluation.
8. Recognized Extension Programs – Extension program approved by the SUCs board and are acknowledged by the recipients or beneficiaries in the area of implementation in the form of citation, awards or certificates issued by the community or by any civic organization or institution.
9. Research Outputs – Research outputs comprise:
 - a. research-based papers or articles that are either published in refereed publication with International Standard Book Number (ISBN) or International Standard Serial Number (ISSN) ;
 - Refereed Publication refers to any published material reviewed by peers or experts in the discipline.
 - b. research-based papers presented in national or international fora or conferences;

- c. inventions that have been patented and/or utilized and commercialized.
- Inventions utilized and commercialized - research outputs duly patented and being sold as commercial products or utilized for development/production/service provision.
10. Researchers - HEI faculty and staff who have produced at least two research outputs either as a senior or junior researcher and/or received award for research and publication within the last three years.
 11. SUC Level - The classification earned by any SUC after undergoing evaluation using the 2003 SUC leveling scheme.
 12. Total Budget - The annual appropriation to cover the operations of a SUC as provided in its Program Receipts and Expenditures inclusive of the funding in the General Appropriations Act and other internally generated sources.
 13. Weighted Enrolled Units - Total Full Time Equivalent (FTE) units per program weighted according to priority in accordance with DBM guidelines formulated in consultation with CHED.

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IV. LEVELING CRITERIA

The criteria herein established measure the SUCs' institutional performance covering areas relative to the programs, functions and operations of SUCs focusing on instruction, research, extension and management capability. The prescribed four (4) KRAs are assigned specific points allocation with a total of thirty-five (35) points for purposes of SUCs leveling. Weights are similarly assigned to sub-indicators not exceeding the total point allocation of each KRA.

<u>Criteria</u>		<u>Points</u>
A. KRA: Quality and Relevance of Instruction		17
1. Number of Weighted Enrolled Units	5	
2. Accreditation Status/ COE or COD	3	
3. PRC Performance	2	
4. Faculty Profile	5	
5. Scholarships	2	
B. KRA: Research Capability and Outputs		8
1. Research Outputs published in international/ national/local journals		
2. Research Outputs Disseminated/Presented		
3. Inventions patented/commercialized		
4. Research outputs cited		
5. Number of researchers		
C. KRA: Relations with and Services to the Community		5
1. No. of recognized extension program (minimum of 8 hours duration)	2	
2. Community/population served	3	
D. KRA: Management of Resources		5
1. Income from Non-Government Sources	4	
2. HRD Program/System including Faculty Development Program	1	
TOTAL		35

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A.1 SUC LEVELS

There shall be four levels of SUCs with Level IV as the highest, as rated in accordance with the set of criteria and weights indicated in the succeeding provisions.

Level	Description
IV	These are good in undertaking the full range of functions of a state university/college, namely, instruction, research and extension as manifested through demonstrated teaching effectiveness, research competence, active community service, and efficient management of resources. SUCs at this level must meet at least the minimum percentage points in each key result area (KRA) for level IV as indicated in Table I.
IIIA	These SUCs are effective in undertaking the functions of state universities/colleges but fall short of the qualities of a Level IV SUC. This level covers SUCs that have teaching as their core business. They may not normally undertake institutional research although faculty keep up with developments in their discipline through their personal study and the faculty development programs which aim to upgrade and update their knowledge, skills and competencies. They, however, undertake such activities as extension and networking. This level includes SUCs that meet at least the minimum percentage points in each key result area (KRA) for Level IV as indicated in Table I.
IIIB	These SUCs, by the nature of their accredited programs as indicated by their charter, are considered as research oriented colleges and universities in their areas of specialization. These include specialized colleges and universities and those that offer graduate programs with thesis/dissertation requirements. This level includes SUCs that meet the minimum percentage points in each KRA for a Level IIIB SUC as indicated in Table I.
II	This level includes SUCs that are still in the early stages of their development. They should meet the minimum percentage points in each KRA for a Level II SUC as indicated in Table I.
I	All other SUCs that do not meet the minimum percentage points in each KRA for at least a Level II SUC.

A.2 KEY RESULT AREAS

The four Key Result Areas (KRAs) represent the major indicators that would measure the stages of development and institutional performance of the respective SUCs.

TABLE 1

MINIMUM POINTS PER KEY RESULT AREA FOR EACH LEVEL					
KEY RESULT AREA (KRA)	Maximum Points	Minimum Points			
		IV	IIIA	IIIB	II
A. Quality and Relevance of Instructions	17	14	10	8	6
B. Research Capability and Outputs Within the last three (3) years	8	6	4	6	3
C. Relations with and Services to the Community	5	4	3	3	1
D. Management of Resources	5	4	3	3	1
TOTAL	35	28	20	20	11

Each SUC must meet the minimum point score in each KRA for a particular SUC level notwithstanding that it meets the corresponding total point score. The lowest point score in any KRA shall determine the level of the SUC. Thus, a SUC that gets a total score of 28 or higher but with a score of 3 in management of resources will not be considered Level IV but will only be considered as a level III SUC.

B. POINT ALLOCATION SYSTEM

A. QUALITY AND RELEVANCE OF INSTRUCTION -

17

1. Number of Weighted Enrolled Units (WEU) - 5

Total WEU			Points
500,000	and	above	5
200,000	-	499,999	4
100,000	-	199,999	3
30,000	-	99,999	2
Less than 30,000			1

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2. Accreditation Status or COE/COD - 3

Accreditation Status

- a. Every accredited baccalaureate program at
Level I * 0.25

* refers to accreditation level conferred by certified accrediting agencies

Level II 1.00

Level III 2.00

- b. Every accredited Masteral program at

Level I 0.50

Level II 1.50

Level III 2.50

- c. Every accredited Doctorate program at

Level I 0.75

Level II 2.00

Level III 3.00

COE or COD

Every COE

1.0

Every COD

0.5

Total Points	Equivalent Points
10 and above	3
5 - 9	2
1 - 4	1

3. PRC Performance - maximum of 2 points

Every program with percentage passing
higher than national percentage passing 0.5

4. Faculty Profile - 5

Highest educational attainment attained by the members of
the faculty in their respective areas of specialization, and
%age of faculty with masteral and doctoral degree

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**For SUCs categorized under Teacher Education
Agriculture, and General Comprehensive**

Percentage of Master's Degree Holders

35% or more (inclusive of part-time faculty where
teaching hours are converted to full time equivalent) - 3

25 - 34% (inclusive of part-time faculty where
teaching hours are converted to full-time equivalent 2

Less than 25% but more than 10 % active faculty
development program wherein faculty are pursuing
their Master's 1

Percentage of Doctoral Degree Holders

20% or more (inclusive of part-time faculty where
teaching hours are converted to full-time equivalent 2

10 % - 19 % 1

Less than 10 % but with deficiency covered by
equivalent % of faculty actively working on their PhD 0.5

**For SUCs categorized under Science,
Technology and Engineering**

Percentage of Master's Degree Holders in Hard Science

More than 20% (inclusive of part-time faculty where
teaching hours are converted to full time equivalent) 5

18 - 20 4

14 - 17 3

10 - 13 2

Less than 9 1

An add-on points for PhD holders will be considered for SUCs
not getting the maximum points under this category following
the scale provided under the Agriculture, Teacher Education
and General Comprehensive SUCs

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5. Scholarships - 2

Average number of merit scholars for the last three years	Equivalent Points
30 and above	2
20 - 29	1
19 and below	0.5

**B. RESEARCH CAPABILITY AND OUTPUTS -
WITHIN THE LAST THREE (3) YEARS**

8

1. Each Research Output Published

- | | |
|---------------------------|---|
| a. International journals | 3 |
| b. National journals | 2 |

- International Journal – Refereed journal published outside the Philippines or published by foreign institutions based in the Philippines such as ADB Journal, SEAMEO-INNOTECH Journal, International Journal of Psychology, Australian Journal of Chemistry, Revista Española de Micropaleontologia, etc.
- National Journal - Refereed journal published by a recognized professional, scientific, or educational institution; or a regional consortium or network in the Philippines such as Philippine Journal of Science, Philippine Journal of Psychology, Philippine Journal of Linguistics, The Philippine Statistician; etc

2. Each Research Output Disseminated/Presented

- | | |
|-----------------------------------|-----|
| a. International fora/conferences | 2.0 |
| b. National fora/conferences | 1.0 |

- International Conference - conference held outside the Philippines or held in the country but with participants coming from the Philippines and other countries.
- National Conference/forum – conference held in the country participated in mostly by Filipino nationals.

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3. Each invention patented 1.0
4. Each invention utilized/commercialized 2.0
5. Each research output cited by other researchers 1.0
6. Each research output cited by book authors 1.0

Research output cited by other researchers or by book authors - the research findings as cited by other researchers whose research has been published in nationally or internationally refereed journals or cited by authors in books published nationally or internationally.

7. Each researcher identified 1.0

For SUCs categorized under Agriculture

Total Points	Points
100 and above	8
90 - 99	7
75 - 89	6
60 - 74	5
45 - 59	4
30 - 44	3
15 - 29	2
1 - 14	1
0	0

For SUCs categorized under Teacher Education, Science and Engineering and General Comprehensive

Total Points	Points
70 - and above	8
60 - 69	7
50 - 59	6
40 - 49	5
30 - 39	4
20 - 29	3
10 - 19	2
1 - 19	1
0	0

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C. RELATIONS WITH AND SERVICES TO THE COMMUNITY

(Recognized or Acknowledged Program Within the last three (3) years) -

5

1. No. of recognized extension programs (w/ minimum of 8 hours conducted) and recognized by the board

3

No. of Extension Programs Recognized	Points
50 or more	3
25 - 49	2
5 - 24	1

2. Community /Population Served

2

No. of Trainees of training programs	Points
900 and above	2
300 - 899	1

D. MANAGEMENT OF RESOURCES -

5

1. Production and Income from Non-Government Sources - Proportion of Total Income Raised From Non-GAA Sources over Total Budget

Total Income
Total Budget

%	Points
25 and above	4
16 - 24	3
4 - 15	2
1 - 5	1

2. HRD Program/System Including Faculty Development Program
With active faculty/non-faculty development program

1

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V. GUIDELINES FOR IMPLEMENTATION

1. The four (4) levels of SUCs with the prescribed allocation points and minimum requirements in accordance with the criteria set forth in this Leveling Instrument for SUCs and Guidelines for Implementation shall be used in determining the classification and salary grade of the SUC President and Vice President, including the number of the latter.
2. To ensure expeditious evaluation, self-survey questionnaire to be designed by CHED, DBM and PASUC will be accomplished under oath by each institution. The accomplished questionnaire shall be submitted to the CHED Regional Office concerned. A Regional Evaluation Committee (REC) shall be convened composed of the regional director of CHED as Chair and the DBM Regional Director and the PASUC Regional Chair as members provided that the PASUC Regional Chair shall have an alternate who will sit in his stead when his own SUC is under evaluation. The CHED Regional Director shall designate appropriate CHED staff as Secretariat.

All quantifiable data available at the CHED and DBM Management Information System (MIS) shall be used. However, in cases where quantifiable and non-quantifiable data are not available in said data sources, data claimed by the institution may be verified by the REC through actual visit/ocular inspection.

3. The results of the REC evaluation shall be forwarded for final approval of the National Evaluation Committee (NEC) established under Section 3.0 of Joint DBM-CHED Circular No. 1, s. 2003. The NEC composition shall be the DBM Secretary and CHED Chairman as co-chairs and three (3) other members, one from DBM, one from CHED and the PASUC Executive Director. In addition to the power to review documents for evaluation, the NEC shall be authorized to conduct actual ocular visits/inspection to the SUCs concerned.
4. The first evaluation under this instrument shall be undertaken within a period of one semester from issuance.
5. All SUCs shall be subject to evaluation every three years effective June 2003.